

**INTERREG VI-A NEXT  
HUNGARY-SLOVAKIA-ROMANIA-UKRAINE PROGRAMME**

**GUIDELINES FOR APPLICANTS**

**PART OF THE APPLICATION PACKAGE**

**OF THE 1<sup>st</sup> CALL FOR PROPOSALS**

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## **1. INTERREG VI-A NEXT HUNGARY-SLOVAKIA-ROMANIA-UKRAINE**

### **1.1 Background**

The Interreg VI-A NEXT Hungary-Slovakia-Romania-Ukraine Programme (the Programme) is implemented under the Cohesion Policy within the 2021-2027 European Union financial framework under the Neighbourhood, Development and International Cooperation Instrument NDICI), the main financial instrument for the EU's external action, established by the Commission Implementing Regulation (EU) No 2021/947 (NDICI Implementing Regulation) and implemented by the Common Provision Regulation (CPR) No 2021/1060 of the European Parliament, as well as (Interreg) Regulation (EC) No 2021/1059 of the European Parliament.

In the current Programme, the four countries co-operate in a joint structure through shared management and joint decision making, with common financial resources available. The Programme summarizing the priorities and objectives, as well as the main implementation modalities has been developed mutually, and it was approved by the EC by its decision C(2022) 8029 on the 3 November 2022. The Programme is available on the Programme's official website: <http://next.huskroua-cbc.eu>.

Similarly, as the quadrilateral HUSKROUA ENI CBC Programme the new HUSKROUA Interreg NEXT Programme aims at serving the development of the Hungarian-Slovak-Romanian-Ukrainian border region and has a special commitment to catch up with the Ukrainian programme area.

### **1.2 Notice**

The Guidelines for applicants are compiled to provide assistance to the potential Applicants for the elaboration of the project application of the 1<sup>st</sup> Call for proposals of the INTERREG VI-A NEXT Hungary-Slovakia-Romania-Ukraine Programme 2021-2027.

The present Programme builds on the results of the Hungary-Slovakia-Romania-Ukraine ENI CBC Programme 2014-2020 and on several planning documents relevant for the Programme area. Most of the basic requirements remained the same as in the previously implemented Programme but there are many specific details, which have been changed. Therefore, we strongly recommend to all applicants to read all the documents of the Application package carefully.

The present Guidelines were elaborated in line with the Programme document and relevant legislations. All applicants must respect and follow the legislations governing the Programme, the provisions of the

Call for Proposals and those of the present Guidelines. Please note that these Guidelines do not in any way replace the obligations and provisions set out in the respective EU and national legislation. In case of doubt, the latest provisions prevail.

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

**Please note that this Call for Proposals has been issued under two Suspension Clauses.**

**The first entails that following the award and the signature of the subsidy contract the payment of the EU contribution is therefore subject to the conclusion of the Financing Agreement between the European Commission, Hungary and Ukraine.**

**Secondly, the current call has been launched with the condition that the programme modification will be adopted by the European Commission until MC decision on selection of projects.**

### **1.3 Basic definitions of terms used in the Guidelines for Applicants**

**Activities** are the actions (tasks) that have to be taken to produce results mainly at project or, if applicable, at project-part level. Therefore, the main identified activities are the summary of what the project must do – by means of applied inputs/resources – in order to deliver results. Thus results have to be expressed in terms of a tangible output ('delivered / produced / conducted, etc.') which are the measurable consequence of the activity ('to prepare / design / construct / conduct a research, etc.) being implemented.

**Applicant:** Under the present Call the term refers to **both** the potential lead partner (LP), the potential partners applying in a partnership for subsidy from the Programme's funds and which are fulfilling the same eligibility criteria. Taking into account that potential partners not receiving financial support are also the parts of the partnership therefore they are also applicants.

**Application:** set of documents comprised of application form (with Annexes) and required supporting documents. Application form needs to be filled in electronically via INTERREG+ Application Module available at <https://interregplus.eu>

**Application package:** Documents containing all provisions and relevant information for the present Call for Proposals available for download on the Programme's official website: <http://next.huskroua-cbc.eu>. The Application package is comprised of all the guides, documents, annexes and appendices necessary

for the application process (for the full list, please read Chapter 13. “Annexes and Appendices to the Application package”).

**Partnership:** Projects have to be implemented in partnership (following the “lead partner principle”) including a lead partner and partner(s). A partnership should be formed by at least two partners, one from each side of the border. The LP takes full financial and legal responsibility for the implementation of the entire project. The partnership can also contain partners who participate in the project but are not receiving any financial support. However, it is necessary that the project contains at least one partner from Member State receiving financial support and at least one partner from Ukraine receiving financial support.

**Partner:** an organisation actively participating in the implementation of a project with a responsibility to properly implement its project part in particular and assisting the lead partner in order to meet project level objectives. Partner is an organisation that is explicitly listed as a partner in the application, one that receives funding and, therefore, has a budget in the application form.

**Partner not receiving financial support:** an organisation that is assisting in activities, has a very specific singular role in the application form, does not receive funding and, therefore, has no budget in the application form. However, their contribution to the project implementation needs to be justified.

**Lead partner:** the organisation assuming the leading role in the partnership, as defined by the “Lead partner principle” in the Article 26 of the Interreg Regulation 2021/1059. Accordingly, all partnerships have to designate one partner among them to act as the lead partner who will submit the application on behalf of the entire partnership and will be responsible for the overall project implementation towards the programme management structure. The project is represented by the lead partner, acting as the only direct contact between the project and the joint management bodies of the Programme. It is the responsibility of the lead partner to create a well-working consortium among the project partners based on a partnership agreement. Nevertheless, the lead partner also acts as a “Partner” in connection to its own project part.

**Project:** this term refers to a coherent set of interconnected activities, directed towards a common goal and necessary for its achievement to contribute to indicators, deliver outputs and results, implemented by the partnership in a defined timeframe and matched by the corresponding budget.

**Project part:** a group of activities within the project, implemented by one of the partners, in a defined timeframe (indicated in the application form/subsidy contract) and matched by the corresponding budget (see separate budget tables for each partner in the application form). The implementation of a specific project part is the responsibility of the designated partner (including the lead partner as well), both from a professional and a financial point of view. Moreover, each partner is responsible for any

irregularity established regarding their project part. The verification of project expenditures is conducted by the respective Controllers at the partner level.

**Application module of INTERREG+ manual:** The main objective of the Manual is to provide instructions to the Applicants of the Programme on how to use the INTERREG+ Monitoring and Information System. It will be available for downloading on the Programme's official web site: <http://next.huskroua-cbc.eu>

## 1.4 Priorities and Objectives of the Programme

The programme has the following Priorities and Objectives:

### Priority 1: A resilient and green border region

**Objective 1.1:** Climate change adaptation, risk prevention (SO 2.4)

**Objective 1.2:** Biodiversity and reduced pollution (SO 2.7)

### Priority 2: A healthy and attractive border region

**Objective 2.1:** Equal access to health care (SO 4.5)

**Objective 2.2:** Culture and tourism (SO 4.6)

### Priority 3: A cooperating border region

**Objective 3.1:** Harmonious neighbourly relations through cooperation (ISO1 b)

**Objective 3.2:** A safer and more secure Europe (ISO2)

**The present Call for Proposals is open for all Priorities and Objectives of the Programme.**

**However please, note that the projects solely focusing on tourism activity cannot be submitted and supported. Nevertheless, a cultural project might have such activity, which might have an impact on tourism, those projects can be submitted and might be eligible for funding.**

Under each Objective a number of typical actions (Types of Actions) have been outlined. The typical actions are meant to provide an orientation framework for the implementation of the Programme, especially to outline the objectives and preferred activities of the Calls for Proposals. Thus, Types of Actions are meant as a tool for organizing diverse activities into a system showing logical progression towards achieving the Programme's Objectives.

**Types of Actions per Priorities and Objectives** are summarized in the next part. Eligible projects may fit to one or more of the Types of Actions under the same Objective. Under each Type of actions corresponding possibly implementable activities (Possible activities) are listed, compiled on the basis of the identified challenges and needs of the region.

The indicative lists of activities and of potential partners may help the orientation of the potential Applicants when planning their projects (Please also consult Chapter 2. "Eligibility of Applicants" of the present Guidelines).

**General rule:** Please note that **either development of the technical documentation for the infrastructure component or the implementation of infrastructure development** can be supported, but not both of them within one project. The costs of technical documentation developed in the preparation phase of the project are eligible as preparatory costs.



## Priority 1: A resilient and green border region

### Objective 1.1: Climate change adaptation, risk prevention

#### ***SO 2.4 Promoting climate change adaptation and disaster risk prevention and resilience, taking into account eco-system-based approaches***

In order to efficiently respond to the identified problems and mitigate the effects of the climate change, this Objective focuses on two types of actions (ToA). ToA contribute to the Objective predominantly by increasing preparedness and resilience of the region to natural hazards such as floods, droughts, extreme temperatures (such as heatwaves), landslides and ice jams on rivers as well as man-made disasters, such as industrial disasters and forest fires. Additionally, actions are expected to contribute to the mitigation of the impacts of the climate change. Activities should promote Nature-based Solutions (NbS)<sup>1</sup>.

The ToA closely relate to Priority Area 5 of the EUSDR “To manage environmental risks” of the EUSDR.

#### **Type of Actions 1.**

#### **Joint actions aimed to reduce the impact of climate change and human threats on nature: technical preparation of common infrastructure development projects and implementation of common interest infrastructure development projects**

The aim of this ToA is to promote the implementation of targeted development that help increase the level of the responsive capacities of the relevant institutions to human-made and natural threats and disasters and adverse impacts of the climate change.

#### *Possible activities can include, but are not limited to:*

- *implementation of infrastructure development projects in order to increase preparedness for natural and human-made threats and/or disasters and adverse impacts (existing or potential) of the climate change including*
  - *Joint interventions and prevention activities aimed to mitigate the effects of extreme weather conditions with increased frequency due to climate change (e.g. prevention of floods, prevent and respond to emergencies related to floods and forest fires, retention of waters to reduce the negative effects of droughts, monitoring and protection of cross-border ground water bodies);*

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<sup>1</sup> <https://www.iucn.org/our-work/nature-based-solutions>

- *Joint interventions and prevention activities aimed to mitigate natural and human-made environmental risks, including the protection of forests (e.g reforestation programs, joint measures to protect forest from the negative effects of climate change, close to nature forest management – silviculture measures, forest protection, forest infrastructure, joint measures against illegal logging, etc), improvement of the chemical status of transboundary waters, increasing the intervention capacity in case of industrial accidents, etc.*

- *Develop specific monitoring and warning systems and cooperation protocols that enable the regional institutions to effectively forecast, monitor and manage adverse effects of the climate change and accidental natural and human-made disasters.*

Applicants considering large scale ideas fitting to this ToA are invited to submit **Large-Scale Projects**. Large-scale infrastructure projects will be considered as operations of strategic importance.

#### **Type of Actions 2.**

#### **Joint education, awareness raising and knowledge sharing activities in the field of climate change adaptation and risk prevention for better understanding, increasing preparedness and prevention**

The aim of this ToA is to increase the capacities of local institutions and the formal and informal groups of the society, as well as of the individuals to understand and manage threats of natural and human-made disasters and the adverse impacts of the climate change.

*Possible activities can include, but are not limited to:*

- *Joint learning and knowledge-sharing actions to increase organisational capacity of relevant national and crossborder organisations, local and regional governments public institutions, schools and civil organisations (NGOs);*
- *Information campaigns and public dissemination events targeting various groups of inhabitants (such as seniors, students or businesses as local agricultural producers) of the border areas severely impacted by climate change risks or damages;*
- *Development of joint data collection instruments and creation of joint databases, based on primary data sources;*
- *Joint education events for children and young people, such as fieldtrips, trainings, school events, joint outdoor programmes, thematic camps connected to climate change. This type of activities may be complemented with other horizontal elements which support cooperation in this specific field, such as mutual language-learning programs for participating students, sessions on digital “hygiene” (safe usage of internet tools and sources, etc).*

*Under both ToA (1.1 and 1.2), the eligible activities can be complemented by the development of partnership-based risk-management risk prevention, climate change strategies and action plans at local and regional level, closely linked to the focus of the projects. Any strategies and action plans can gain support only if are prepared with the involvement of relevant partners and there is a commitment of these partners to consider these strategies and plans to be implemented in their future operations.*

### **Objective 1.2: Biodiversity and reduced pollution**

#### ***SO2.7 Enhancing protection and preservation of nature, biodiversity and green infrastructure<sup>2</sup>, including in urban areas, and reducing all forms of pollution***

In order to efficiently respond to the identified problems, protect and preserve the nature, safeguard biodiversity and reduce and eliminate pollution, this Objective focuses on two types of actions (ToA). The ToA contribute to the Objective by supporting the proper protection and management of natural assets and the biodiversity of the region as well as helping reduce the burden of pollution on air, soil and waters of the area of the borders. Especially pollution of waters by poorly managed communal waste, contaminated soil on abandoned industrial and mining sites as well as contaminated transboundary groundwater bodies and transport-originated air-pollution will be in the in the focus us of the actions. Activities should promote Nature-based Solutions (NbS)<sup>3</sup>.

The ToA closely relate to Priority Area 6 “To preserve biodiversity, landscapes and the quality of air and soils” of the EUSDR.

#### **Type of Actions 1.**

**Joint initiatives for ensuring the sustainable development of natural areas: technical preparation of common infrastructure development projects and implementation of common interest infrastructure development projects**

*Possible activities can include, but are not limited to:*

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<sup>2</sup> strategically planned network of natural and semi-natural areas, designed and managed to deliver a wide range of ecosystem services, while also enhancing biodiversity- e.g. protecting large open natural spaces, ecological corridors etc

<sup>3</sup> [https://research-and-innovation.ec.europa.eu/research-area/environment/nature-based-solutions\\_en](https://research-and-innovation.ec.europa.eu/research-area/environment/nature-based-solutions_en)

- *Joint interventions for reconstruction/protection, restoration or revitalization of natural habitats, aimed to protect and restore local and regional ecosystems, protection of forest genetic resources improving biodiversity and connectedness of habitats;*
- *Creation of educational trails in nature, interconnected between the borders (either geographically or by thematic focus);*
- *Re-introduction of native species to cross-border habitats, control of invasive species;*
- *Joint interventions to map pollution sources and/or development of up-to-date solutions to eliminate or reduce various pollution sources and pollutants from air, soil, or water;*
- *Develop specific joint monitoring systems that enable the regional institutions to effectively forecast, monitor and manage changes in status of environmental elements and biodiversity, including the development of warning mechanisms for pollution or cross border inventory of forests.*

Applicants considering large scale ideas fitting to this ToA are invited to submit **Large-Scale Projects**. Large-scale infrastructure projects will be considered as operations of strategic importance.

#### **Type of Actions 2.**

#### **Joint education activities, and awareness raising and knowledge sharing in the field of nature protection and biodiversity**

The aim of this Type of Action is to increase the capacities of relevant local institutions, the formal and informal groups of the society and the individuals to understand the importance and to manage natural assets and biodiversity, ecological approaches and networks. Additionally, increased capacity to understand main drivers, mechanisms and potential tools and measures to reduce or eliminate pollution of environmental elements – with a focus on surface- and groundwater bodies, soil and air – across the border is expected, as result of the actions implemented.

Possible activities can include, but are not limited to:

- *Organisation of information campaigns, social events, online events on the sustainable use of natural resources;*
- *Implementing joint awareness raising programs, with the objective of developing environmental awareness, understanding the impact of human consumption and other activities in the deterioration of natural habitats in order to develop environmental consciousness;*

- *Joint learning and knowledge-sharing activities in the field of environment and nature protection, aimed to increase organisational capacity of relevant national and cross-border organisations, local and regional competent public institutions (including public administration, if the case) and civil organisations;*
- *Joint education events for children, such as fieldtrips, trainings, school events, joint outdoor programmes (e.g. hiking, camping, birdwatching), thematic camps for children/youth connected to nature and environmental protection, This type of activities may be complemented with other horizontal elements which support cooperation in this specific field, such as mutual language-learning programs for participating students, sessions on digital “hygiene” (safe usage of internet tools and sources, etc);*
- *Development of joint data collection instruments and creation of joint databases, based on primary data sources;*

*Under both types of actions (2.1 and 2.2), the eligible activities can be complemented by the development of partnership-based risk-management, sustainable development and biodiversity-related strategies and action plans at local and regional level, closely linked to the focus of the projects. Any strategies and action plans can gain support only if are prepared with the involvement of relevant partners and the commitment of these partners to consider these strategies and plans to be implemented in their future operations.*

## **Priority 2: A healthy and attractive border region**

### **Objective 2.1: Equal access to health care**

#### ***SO 4.5 Ensuring equal access to health care and fostering resilience of health systems including primary care, and promoting the transition from institutional to family-based and community-based care***

In order to appropriately and efficiently respond to the identified problems and challenges of the region, this Objective focuses on four types of actions. The ToA contribute to the objective by building the capacities of the stakeholders in the healthcare sector to act effectively together and across the borders in epidemic and emergency situations, to improve accessibility of healthcare services by using digital technologies and by implementing joint programmes of healthcare screening and health promotion. The implementation of the Actions will be coordinated with similar interventions financed under ERDF or ESF+ in the participating Member states.

### **Type of Actions 1.**

### **Creation of the legislative, administrative and technical framework for common epidemiological measures and the cross-border rescue services**

The aim of this ToA is to make necessary framework conditions available for a meaningful cooperation of the relevant stakeholders of national healthcare systems.

To achieve this aim, indicative activities can be the following ones:

- *development of joint data collection and harmonisation methods and create joint databases*
- *studies to identify and elaborate solutions to unblock legal, administrative and technical obstacles of cooperation and to elaborate jointly applicable processes and protocols*
- *trainings, workshops and other cooperative learning events to construct, interpret, test and further develop cooperation processes and protocols*
- *solutions for eliminating legal, administrative and other obstacles*

### **Type of Actions 2.**

#### **Investments for improving cooperation in epidemiology and in cross-border rescue services**

The aim of this ToA is to provide investment support for infrastructure developments (including refurbishment of buildings and purchase of equipment) necessary to pilot-test and operate joint services in the field of fight against epidemics and of provision of joint emergency services across the border(s).

To achieve this aim, indicative activities can be the following ones:

- *infrastructure developments including the renewal of necessary parts of buildings and purchase of equipment for healthcare institutions*
- *trainings, workshops and other cooperative learning events to share information and experiences related to improved services*

### **Type of Actions 3.**

#### **Enhancing the use of digital technologies in healthcare and health development**

The aim of this ToA is to boost the use of telemedicine solutions and digital technologies in healthcare and health development in order to improve the accessibility of medical and health development services. Actions are expected to result in cooperating cross border networks of competent professionals on the basis of jointly elaborated procedures and protocols using digital technologies for remote diagnostics and consultation or supervision and some pilot investment in necessary small-scale investment, especially purchase of the necessary equipment. Solutions are expected to cover a wide variety of potential intervention areas like the joint promotion of treatment of rare diseases, or the prevention and prophylactics of widespread diseases like overweight or obese diabetes, as examples. EU standards in eHealth and guidelines of eHealth Network, and of MyHealth@EU should be respected, whenever it is relevant.

Accessibility of services also for vulnerable groups will be promoted via awareness-raising and training elements, specific to the needs of the groups concerned.

To achieve this aim, indicative activities can be the following ones:

- *conducting targeted feasibility analyses on cross border applicability of digital technologies in healthcare and health development*
- *trainings, workshops and other cooperative learning events to construct, interpret, test and further develop cooperation processes and protocols*
- *small-scale infrastructure developments (including and refurbishment of buildings and purchase of equipment) to pilot-test and operate joint services.*

#### **Type of Actions 4.**

##### **Implementation of health screening and health promotion programmes**

The aim of this ToA is to raise awareness and build up knowledge and awareness with regard to the prevention of diseases (with the focus on cardiovascular diseases) and the importance, methods and skills of health promotion and increase the efficiency of health prevention in the region. Accessibility of services also for vulnerable groups will be promoted via awareness-raising and training elements, specific to the needs of the groups concerned as well as via need-specific design of programmes.

To achieve this aim, indicative activities can be the following ones:

- *design and implementation of local and regional health screening programmes*
- *carry out local and regional awareness raising and training programmes on health prevention and health development*
- *implementation of skills development and training programmes on health prevention and health promotion*
- *infrastructure developments (including and refurbishment of buildings and purchase of equipment) necessary to pilot-test and operate joint programmes*

#### **Objective 2.2: Culture**

##### **SO 4.6 Enhancing the role of culture and sustainable tourism in economic development, social inclusion and social innovation**

In order to efficiently respond to the identified challenges of the region and enhance and promote its cultural values, this Objective focuses on three types of actions (ToA). The ToA contribute to the specific objective by promoting cultural cooperation and increasing the offer of environmentally and socially sustainable tourism on the basis of the valorisation of the cultural and natural heritage assets, including the built heritage of the region. The implementation of the Actions will be coordinated with similar interventions financed under ERDF or ESF+ in the participating Member states.

The ToA closely relate to Priority Area 3 “To promote culture and tourism, people to people contacts” of the EUSDR.

**Please, note that the projects solely focusing on tourism activity cannot be submitted and supported. Nevertheless, a cultural project might have such activity, which might have an impact on tourism, those projects can be submitted and might be eligible for funding.**

#### **Type of Actions 1.**

##### **Development of common or joint cultural assets and heritage including development of cross-border networks and routes**

The aim of this ToA is to help design, organise and establish cross border networks of cultural assets and heritage and provide common tools to market and reach these networks.

To achieve this aim, indicative activities can be the following ones:

- preparation of cross border thematic routes and networks of cultural and natural heritage attractions and services, including potential sites and attractions linked to Culture Route identified under the DiscoverEU initiative, covering currently the Literature route, extending to Slovakian and Hungarian territories of the programme area.
- investment (including technical design, feasibility analysis and implementation) in infrastructure necessary for the brand identity and the consistency of the quality of services in joint and networked cultural and natural heritage sites and the accessibility of the networked/connected sites.
- investment (including technical design, feasibility analysis and actual implementation) in infrastructure to
  - restore, upgrade or transform built elements of the cultural heritage appropriate for a contemporary use as cultural venues or tourist attraction sites in compliance with ICOMOS’ Guidance on European Quality Principles for EU-funded Interventions with potential impact on Cultural Heritage.
  - improve accessibility of new or existing cultural or natural heritage site, including the provision of a barrier-free access to sites, provision of making digital guides, tutorials, exhibits or other digital means of information available, including multilingual services on sites and in networks or making soft mobility offers available, such as “solutions for the last mile”, mobility on demand, or improving public transport and connections of attractions.

#### **Type of Actions 2.**

##### **Promotion of local and regional cooperation in culture and arts**

The aim of ToA is to preserve and enrich the shared cultural traditions, including community sports traditions and to encourage the creation of new joint cultural and artistic products including the involvement and education of youth on cultural values.



To achieve this aim, indicative activities can be the following ones:

- *organisation or creation of joint cultural community level sport and artistic events or products, including ones built on the basis of preserving and developing local cultural traditions*
- *trainings, workshops and other cooperative learning events to promote cultural cooperation and intercultural dialogue*
- *investment in public cultural and community sports infrastructure to support preservation and development efforts*

### **Type of Actions 3.**

#### **Pilot actions to boost social innovation and the inclusion of vulnerable groups of the society in cultural activities**

The aim of this ToA is to identify and test cooperative innovative approaches to the provision of cultural activities locally, especially in less developed and peripheral locations, including ways and processes to involve individuals from vulnerable groups including the involvement and education of youth on cultural values.

To achieve this aim, indicative activities can be the following ones:

- *Selection, implementation and monitoring of innovative local projects*

### Priority 3: A cooperating border region

#### Objective 3.1 Harmonious neighbourly relations through cooperation

***ISO1 b) Enhance efficient public administration by promoting legal and administrative cooperation and cooperation between citizens, civil society actors and institutions, in particular with a view to resolving legal and other obstacles in border regions***

#### Type of Actions 1.

##### Institutional cooperation between public and civil society organisations

The ToA contribute to the Objective by providing opportunity of cooperation for a wide range of partners in topics not being selected for the thematic concentration of the programme, but are relevant in the areas, especially for the exploration of opportunities for further topics of cooperation in the future.

Special area of priority within this ToA is to enhance cooperation across the border to increase the economic performance of the region, mostly by

- strengthening cooperation in border control by joint protocol, training, and purchasing necessary equipments<sup>4</sup>
- creating and developing operational networks (like clusters, networks of science- and industrial parks and logistic centres) of relevant stakeholders and facilitating the sharing and transfer of knowledge
- collaborative development of place-based ways and methods of stimulating entrepreneurship in the border area, with emphasis on innovative approaches to and forms of economic activities that match specific local demand
- enhancing the transfer of knowledge among and building capacities of local authorities, business, academia and civil society in the field of smart specialization to build synergies and create added value by cross-border cooperation.

Possible activities can include, but are not limited to:

- *conducting preliminary studies and planning on future structures and areas of cooperation, including the preparation of strategic actions and projects to be implemented e.g. in the next period of programming*

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<sup>4</sup> Projects related to border management shall be based on previous consultations between competent authorities.

- *exchanging experiences and sharing information, data and knowledge necessary to solving current cooperation problems or avoiding potential perspective conflicts or risks or to exploit opportunities jointly*
- *harmonising existing and developing new tools, methods, processes and procedures for a more effective and efficient cooperation, networking and for an enhanced institutional performance*
- *institutional level organisational development and skills development of staff for a more effective and efficient cooperation, networking and for an enhanced institutional performance*
- *upscaling technical conditions (e.g. purchase of equipment and necessary trainings) for border management*

Potential thematic fields of activities can include, but are not limited to:

- *smart specialization, entrepreneurship and business development, digitisation*
- *energy efficiency and renewable energy*
- *education, with focus on vocational training improving equal access to inclusive and quality services in education*
- *socioeconomic inclusion of marginalized communities*
- *coordination of cross border transport development plans, including public transport developments and development of transport accessibility of the border stations*
- *Border management for passenger and freight transport, operation of border guard and customs services, border- and border-crossing controls, cooperation among such bodies*
- *analysation and elimination of obstacles of different fields*

Harmonised solutions as well as enhanced and new forms of cooperation would significantly improve the overall cohesion of the whole area regardless thematic focus to tackle joint challenges and utilize joint potentials lie in SME and business development, entrepreneurship and digitisation, energy efficiency and renewable energy, education, with focus on vocational training including green skills, inclusion of marginalized communities, coordination of transport development, operation of border guard and customs services especially. By taking into account the cooperation character of the ISO1 between the relevant actors of other sectors than the one of selected SOs, **only soft projects of smaller and regular scale might be foreseen, such as cooperation, exchange of experience, knowledge transfer, skills development, plans and strategies. In relation to the above activities, it is possible to purchase equipment, however, implementing infrastructural interventions are not supported.**

## Objective 3.2 Safer and more secure Europe

### ISO2 Safer and more secure Europe

#### Type of Actions 1.

#### Cooperation on border control and management

Special attention is given to types of actions is to enhance cooperation of border control and management bodies. The programme tries to maximize the 5% limit for “A more safe and secure Europe initiative” with the aim of intensified operation of border guard and customs services, border- and border-crossing controls.

Possible activities can include, but are not limited to:

- exchanging experiences and sharing information, data and knowledge necessary to solving current cooperation problems to exploit opportunities jointly
- harmonising existing and developing new tools, methods, processes and procedures for an enhanced institutional performance
- organisational development and skills development of staff and
- education with focus on border control training
- analysis and elimination of obstacles of different fields
- conducting preliminary studies, preparing plans and permits for border and transport investments.
- equipment and smaller scale developments and solutions for upgrading border crossing points

The ToAs under 3.1 and 3.2. closely relate to Priority Area 10 “to step up institutional capacity and cooperation” and Priority Area 11 “Security” of the EUSDR.

## 1.5 Financial allocation of the present Call for Proposals

The total available EU contribution for the present Call for Proposals is **49 993 185 EUR**. The below table shows the **indicative distribution** of the total available EU amount between the Priorities and Objectives within the present Call, indicating the minimum and maximum available **EU contribution** per project-types.

- The EU contribution to a **Small-scale project**<sup>5</sup> (marked with SSP) can be above or equal to 70 thousand and below 300 thousand EUR,
- **Regular-scale project** (RSP) can be above or equal to 300 thousand and below 2,5 million EUR (please, be noted that the Regular-scale project can be implemented with or without infrastructure element, this aspect can determine also the use of simplified cost option, as well as the submission deadline, please, consult the Chapter 10 and Annex III Eligibility of expenditure.
- **Large-scale project** (LSP) can be above or equal to 2,5 million EUR and below or equal to 5,0 million EUR. Moreover, pursuant to Art. 57 of EU Regulation 2021/1059, a further condition to an LSP project is that the budget share of a total cost of at least 2,5 million EUR is allocated to the acquisition, construction or modernisation of infrastructure on project-level.

Priority	Objective	SSP (70K≤x<300K)	RSP (300K≤x<2,5 M)	LSP (2,5 M≤x≤5M)	TOTAL
P1 – A resilient and green border region	1.1 Climate change adaptation, risk prevention	2 500 000	3 000 000	6 000 000	<b>11 500 000</b>
	1.2 Biodiversity and reduced pollution	2 000 000	2 500 000	6 000 000	<b>10 500 000</b>
P2 – A healthy and attractive border region	2.1 Equal access to healthcare	1 200 000	15 000 000	0	<b>16 200 000</b>
	2.2 Culture	1 800 000	1 800 000	0	<b>3 600 000</b>

<sup>5</sup> Small-scale projects are intended to be projects with soft elements with possible equipment in justified cases where the equipment is necessary for the execution of the project professional content.

P3 – A cooperating border region	3.1 Harmonious neighbourly relations through cooperation	2 000 000	2 500 000	0	<b>8 193 185</b>
	3.2. A safer and more secure Europe	1 000 000	2 693 185	0	
<b>Total</b>		<b>10 500 000</b>	<b>27 493 185</b>	<b>12 000 000</b>	<b>49 993 185</b>

*Table 1. Indicative financial allocation breakdown of the present Call*

Please, note that regular-scale projects with infrastructure element in health care can exceed the maximum budget size in case of justified need.

On project level, **the Union co-financing rate is maximum 90%** of the total eligible expenditure. The Union co-financing rate shall not exceed 90% on project and on partner-level.

## 1.6 Programme area

The programme area covers the following NUTS III level equivalent regions in Hungary:

Szabolcs-Szatmár-Bereg  
Borsod-Abaúj-Zemplén

in Slovakia:

Košický kraj  
Prešovský kraj

in Romania:

Maramureş  
Satu Mare  
Suceava

and in Ukraine:

Zakarpattia oblast  
Ivano-Frankivsk oblast  
Chernivtsi oblast

## 2. ELIGIBILITY OF APPLICANTS

### 2.1 General eligibility of Applicants

Applicants have to fulfil eligibility criteria with respect to their legal status, their operational background, their geographical location and their professional and financial background. At the same time, they must not be subject to any of the exclusion criteria. Last, but not least, the proposed partnership has to meet the respective requirements.

**Each Applicant** has to fulfil all of the following criteria:

- be a legal person and
- be non-profit making<sup>6</sup> and
- be directly responsible for the preparation and management of the proposed project activities both from a professional and financial point of view and must not act as intermediaries and
- in general, the following organisations are eligible to apply for the EU contribution allocated to the Programme:
  - 1) **Public authorities**, meaning legal entities established and governed by public law, assigned with special competencies and performing tasks in public interest; **or**
  - 2) **Bodies governed by public law**, meaning organisations
    - established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character,
    - having legal personality, and
    - which are either
      - financed, for the most part, by the state, regional or local authorities or by other bodies governed by public law; or
      - subject to management supervision by those bodies; or
      - have an administrative, managerial or supervisory board, with at least half of the members appointed by the state, regional or local authorities or by other bodies governed by public law; **or**
  - 3) **Non-profit organisations governed by private law**, established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character

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<sup>6</sup> With exceptional status by law, ministries and state owned companies having portfolio of public interest are eligible.

- Applicants have to prove **an operation of at least one year**, counted back from the day of official opening the present call for proposals. Cases of legal succession can be accepted when proving the necessary operational background, provided that the predecessor- and the successor organisation together can cover at least one year of continuous operation.
- As a general rule Applicants have to have their headquarters in Hungary or Slovakia or Romania or Ukraine, and their headquarters or a regional/local branch office has to be registered and acting in the eligible Programme area or if not registered there but having legislative scope of authority to act in the programme area (NUTS III, or equivalent regions covered by the Programme) as defined in the present Guidelines.

In a situation **where the headquarters of the partner is not located in the eligible Programme area**, two setups can be distinguished:

- a) in case the national/regional organisation's headquarters in Hungary or Slovakia or Romania or Ukraine is not registered in the eligible Programme area and the **local branch is a legal entity registered in the Programme area** then the local branch office has to be the Applicant and in case of contracting it shall be the lead partner / partner. In this case, the local branch has to prove at least one year of operation in the eligible Programme area, counted back from the day of opening the present call for proposal and the leader of the branch office has to be an authorised representative of the legal person to act in connection to the implementation of the relevant project part. Furthermore, local staff of the branch has to be involved in project management.
- b) **a central/national public sector body** (irrespective of the place of its registration within the concerned participating country (Hungary or Slovakia or Romania or Ukraine)) may act as a Lead Applicant or as an Applicant and in case of contracting it shall be the lead partner / partner. In this case, the organisation shall prove its distinct role in the border region and take into consideration that project activities have to be implemented in the eligible Programme area and must have a cross-border character. The participation of a partner from outside of the eligible Programme area can be justified if the organisation/ institution is legally appointed and authorised for a professional task.

**NOTE! Applications in which any of the Applicants fails to meet the eligibility criteria will not be further evaluated.**

## **2.2 Grounds for exclusion**

Any member of the partnership falling under any of the grounds for exclusion listed below may not participate in the partnership or be awarded subsidy. These are:



- a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b) they have been convicted of an offence concerning professional conduct by a judgment which has the force of *res judicata* (i.e., against which no appeal is possible);
- c) they have been guilty of grave professional misconduct proven by any means which the Managing/National Authority can justify;
- d) they have not fulfilled obligations related to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the National Authorities or those of the country where the contract is to be performed;
- e) they have been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;
- f) they have been declared to be in serious breach of contract for failure to comply with their contractual obligations in connection to a procurement procedure or other grant award procedure financed from the Union budget;
- g) they are guilty of misrepresentation in supplying the information required by the Managing/National Authority as a condition of participation in the Call for Proposals or fail to supply this information;
- h) they have attempted to obtain confidential information from decision-making and management bodies or influence any stage of the assessment/project selection process of current or previous Calls for Proposals;
- i) they are currently subject to an administrative penalty due to one of the situations referred to in points (f) and (h);
- j) In case the Managing Authority/Joint Secretariat has evidence that (any of) the Applicant(s) have any unduly paid and/or not recovered amounts under the HUSKROUA ENI CBC Programme 2014-2020 at the time of submission of the Project proposal, the respective Applicant(s) may not be allowed to participate in the Call for Proposals or be awarded grants under the Interreg NEXT HUSKROUA Programme 2021-2027. As a consequence, the applications submitted with its participation **may be disqualified from the decision making process** unless the concerned Applicant(s) repay their debt to the HUSKROUA ENI CBC Programme 2014-2020 until the award decision.

**Note! All Applicants are obliged to certify declaration annexed to the application (Annex I) in which they declare that they are not subject to any of the grounds of exclusion listed above.**

Please, note that an application may still be excluded in the contracting phase in case the monitoring committee awarded decision is conditional and if it is determined that the applicant has not fulfilled conditions until the specified deadline.

### **2.3 Summary of eligibility of Applicants**

To summarize, the conditions to be fulfilled simultaneously by all Applicants are:

- being a non-profit legal person governed by public or private law for the purposes of public interest (except with exceptional status by law state owned companies having portfolio of public interest),
- being the headquarters or a regional/local branch office (being a legal entity) registered in the eligible Programme area (or if not, are being in line with the special rules on geographical location, described in Chapter 2.1 of the present Guidelines),
- having stable and sufficient professional and financial resources,
- being experienced in order to be able to manage activities similar to the ones in the application,
- being directly responsible for the project and not act as an intermediary, and
- not falling under the listed exclusion criteria.

### 3. ELIGIBILITY OF PARTNERSHIPS

The members of the partnership, i.e. the later partners have to be classified according to their responsibilities in the project:

- Lead partner (LP)
- Partners (Ps)

In the course of the implementation of the Programme, only **jointly prepared and implemented** projects are to be supported. These joint applications will be submitted by the lead partner on behalf of the members of the partnership.

Legal representatives of all Applicants establishing a partnership are required to sign and stamp the following:

- **Declaration by the applicants** (Annex I of the Application package)
- **De minimis declaration by the applicants** (Annex II of the Application package) (except for Applicant not receiving financial support)

and submit them via INTERREG+ system (for details regarding submission of applications, please refer to chapter 10).

In case the submitted application is selected for funding, a **Partnership Agreement** has to be signed by the lead partner and each member of the partnership and submitted to the Joint Secretariat (JS) before contracting. The **draft Partnership Agreement** is available as part of the Application package on the website of the Programme. However, members of the partnership may modify this template according to the specificities of the partnership, keeping in mind that the modification must not be in conflict with principles, objectives and rules of the present Call for Proposals and of the draft Partnership Agreement.

**Note! Partnership Agreement has to be signed only in case the application is selected for funding.**

#### 3.1 Lead Partner (LP)

According to the lead partner principle set out in Article 26 of the Interreg Regulation, the Applicants have to designate a lead partner for their project and that particular organization will be responsible for representing and mediating the whole project towards the Programme management bodies. In all cases the lead partner has to have the necessary financial and human resources in order to coordinate the management and implementation of the project. The LP will ensure smooth cooperation and communication within the partnership as well as oversee the fulfilment of the activities of each partner, in particular:

- The LP will sign the Subsidy Contract for EU Contribution on behalf of the members of the partnership;
- The LP shall conclude a Partnership Agreement with partners laying down the arrangements for its relations with them, inter alia, provisions guaranteeing the sound financial management of the funds allocated to the project, including the arrangements for recovering amounts unduly paid;
- The LP will bear the responsibility to ensure the full implementation of the project, (however, each partner bears full responsibility for the appropriate implementation of its own project part and its budget);
- The LP shall ensure, that the expenditure presented by the partners receiving financial support has been paid and was incurred for the purpose of implementing the project and corresponds to the activities agreed between the partners and to those listed in the Subsidy Contract for EU Contribution;
- The LP will be accountable for project reporting and administrative actions on project level;
- The LP will have to transfer the EU contribution to the partners receiving financial support, according to the approved Application for Reimbursement in full, no amount shall be deducted or withheld and no specific charge or other charge with equivalent effect shall be levied.

The responsibilities of the LP are set out in the Subsidy Contract for EU Contribution as well in the Partnership Agreement (please see the model Subsidy Contract and the draft Partnership Agreement as part of the Application package on the website of the Programme).

### 3.2 Partners

The role of the partner is as important in the implementation of joint projects as that of the lead partner. Each partner is responsible for irregularities regarding the expenditure(s) which they declare. All partners are required to have the necessary financial and human resources and capacity in order to implement their own project part.

In accordance with the above, each partner (including the lead partner) will be required to **fill in and sign individual Declaration by applicants (Annex I of the Application package) and De minimis declaration by the applicants<sup>7</sup> (Annex II of the Application package)** and make sure to provide to the lead partner all

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<sup>7</sup> Applicant without financial support is not required to issue **De minimis declaration by the applicants.**

the necessary information needed for filling in the application form. The separate declarations by the partners has to be submitted as part of the application.

**Note!** Eligibility of expenditures is a separate document available for download on the Programme's website and is Annex III of the Application package.

### **3.3 Minimum requirements for partnership**

The Programme's objective is to facilitate the development of balanced partnerships with an efficient division of tasks and responsibilities. Partnerships shall be composed of partners who are able to carry out the implementation of project activities professionally and will significantly contribute to the partnership. One-sided partnerships will not be recommended for funding.

The partnership shall involve **at least one Applicant from one of the Member States** participating in the Programme **and at least one Applicant from Ukraine**, each and all satisfying the eligibility criteria for Applicants. Additional cross-border and/or domestic partner/s - satisfying the eligibility criteria for Applicants - can be involved in the implementation of the project, provided the content of the project justifies so. **The number of partners is maximum 6, including the lead partner.**

**Note!** The budget of the applications has to be planned in a balanced way, proportionate to the planned activities (except those partners not receiving financial support).

## 4. PROJECT DURATION

The planned implementation period of a project must not be less than 8 months.

- For Small-scale projects (SSP) the project must not exceed 12 months of its planned duration.
- For Regular-scale projects (RSP) the project must not exceed 24 months of its planned duration.
- For Large-scale project (LSP) the project must not exceed 36 months of its planned duration.

The **period of implementation** of a project must not start before the deadline for submission of applications defined for this CfP expires. **After the submission deadline, the lead partner and partners can start implementing their project taking the risk of being not selected for funding** and keeping in mind that the approved project activities might differ from the ones planned in the application, as the MC has the right to select a project for funding with reductions of the budget and/or with certain conditions to be fulfilled. These conditions shall be detailed in the Notification Letter sent to the lead partner. As a general rule, only those expenditures which are clearly connected to project activities and included in the Project can be reimbursed.

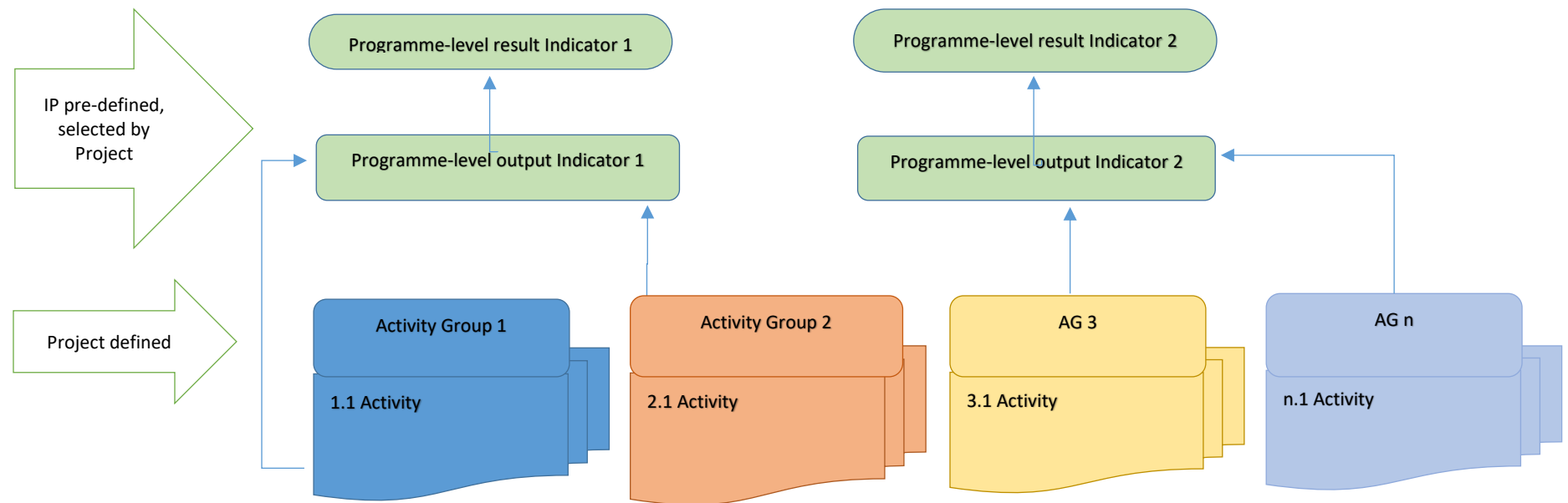
The start and end date for the implementation of the project shall be specified in the Subsidy Contract for EU Contribution. Based on the declaration by the Lead Partner, a date that is earlier than the signature date of the Subsidy Contract can be fixed as start date of the project implementation, if it is the case.

**Note!** As general rule once project selected, the partnership shall submit all relevant documentation for contracting within a couple of months (as stipulated in the notification letter of the managing authority) and right after the subsidy contract signature the partnership should start implementation **without delay**.

In extraordinary situations and due to objective circumstances beyond the control of the partners, the MC may approve prolongation of a project duration.

## 5. PROJECT LOGIC

The project planning starts from the definition of the **project's objective**, which must fit to one of the Programme's objectives. Only then, the applicant starts planning the **activities**, which lead to accomplishment of the set objective. Activities are grouped in such way that each group leads to an **output**. Therefore, each activity must be necessary, purposeful and logically coherent with other activities within the given Activity Group (AG). The accomplishment of the project output must be tangible and measurable by at least one pre-defined programme-level indicator. The output indicator shall correspond to at least one pre-defined programme-level result indicator, which are in most of the cases paired by the Programme.



*Scheme 1. Project logic in view of connections between Activity Groups and indicators*

- A minimum of 1 and maximum of 5 activities can be grouped together. Each group is defined by the desired output of those activities.
- One project can have a minimum of 1 and maximum of 6 AGs, which means the maximum number of activities is 30.

## 6. INDICATORS

Indicators are relevant to measure whether the project – and the Programme as a sum of projects – has achieved its objectives. Therefore, the achievement of specific objectives of each project will be measured by specific output and result indicators.

### 6.1 Programme-level Indicators

Programme-level indicators are defined in the Interreg Programme. This means that they are predefined and the applicant cannot change them.

Given the definition of the common output and result indicators, there is a direct link between the output and result indicators, so that projects contributing to the value of any of the output indicators, are expected to contribute to the value of the corresponding result indicator, too.

As a general rule, projects are **expected to directly contribute to at least one output and one result indicator**, pre-defined for the relevant (Specific) Objective. The partnership can select more than one programme-level indicator in case their project correspond to more of those.

In most of the cases, a programme-level output indicator is tied to a programme-level result indicator (See table below, indicators marked with \* are tied to the indicator next to them). Technically it means that by selecting the output indicator the tied indicator is also selected automatically.

The schedule and timing for measuring the indicator values is also predetermined and clearly defined. Accordingly, the selected output indicators are measured upon the finalisation of the project, result indicators – in most of the cases - are measured up to one year after project completion.

The next table presents the full list of Programme-level indicators<sup>8</sup>:

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<sup>8</sup> For more details, please consult Indicator guide





Priority	Objective		Type of Action	Output Indicator		Result Indicator	
				Code	Name	Code	Name
P1 A resilient and green region	SO 2.4. “(iv) promoting climate change adaptation and disaster risk prevention and, resilience, taking into account eco-system based approaches”	1.1 Climate change adaptation, risk prevention	1.1.1. Joint actions aimed to reduce the impact of climate change and human threats on nature	RCO26	Green infrastructure built or upgraded for adaptation to climate change*	RPR01	Population benefiting from protection measures against climate related natural disasters (flood, wildfire, other)
			1.1.2. Joint education, awareness raising and knowledge sharing activities	RCO87	Organisations cooperating across borders *	RRC84	Organisations cooperating across borders after project completion
				RCO115	Public events across borders jointly organised		
	SO 2.7. “(vii) enhancing protection and preservation of nature, biodiversity and green infrastructure, including in urban areas, and reducing all forms of pollution”	1.2 Biodiversity and reduced pollution	1.2.1. Joint initiatives for ensuring the sustainable development of natural areas	RCO36	Green infrastructure supported for other purposes than adaptation to climate change*	RPR02	Population benefitting from better ecosystem services (biodiversity, green corridors, improved ecological status, etc.)
			1.2.2. Joint education activities, and awareness raising and knowledge sharing	RCO87	Organisations cooperating across borders *	RRC84	Organisations cooperating across borders after project completion

Priority	Objective		Type of Action	Output Indicator		Result Indicator	
				Code	Name	Code	Name
				RCO115	Public events across borders jointly organised		
P2 A healthy and attractive border region	SO 4.5 “(v) ensuring equal access to health care and fostering resilience of health systems including primary care, and promoting the transition from institutional to family-based and community-based care”	2.1 Equal access to health care	2.1.1. Creation of the legislative, administrative and technical framework for common epidemiological measures and the cross-border rescue services	RCO117	Solutions for legal or administrative obstacles across border identified*	RCR 82	Legal or administrative obstacles across borders alleviated or resolved
				RCO87	Organisations cooperating across borders*	RCR84	Organisations cooperating across borders after project completion
			2.1.2. Investments for improving cooperation in epidemiology and in cross-border rescue services	RCO69	Capacity of new or modernised health care facilities*	RCR73	Annual users of new or modernised health care facilities
				RCO81	Participations in joint actions across borders		
			2.1.3. Enhancing the use of digital technologies in healthcare and health development	RCO85	Participations in joint training schemes*	RCR81	Completion of joint training schemes
				RCO81	Participations in joint actions across borders		
	2.1.4. Implementation of health screening and health promotion programmes	RCO85	Participations in joint training schemes*	RCR81	Completion of joint training schemes		
		RCO81	Participations in joint actions across borders				
SO 4.6 “(vi) enhancing the role of culture and sustainable tourism in economic development,	2.2 Culture	2.2.1. Development of common or joint cultural assets and heritage	RCO85	Participations in joint training schemes*	RCR81	Completion of joint training schemes	
			RCO81	Participations in joint actions across borders			

Priority	Objective		Type of Action	Output Indicator		Result Indicator	
				Code	Name	Code	Name
	social inclusion and social innovation”		cooperation in culture and arts  2.2.3. Pilot actions to boost social innovation	RCO87	Organisations cooperating across borders*	RCR84	Organisations cooperating across borders after project completion
				RCO77	Number of cultural and tourism sites supported*	RCR 77	Visitors of supported cultural and tourism sites
				RCO87	Organisations cooperating across borders*	RCR84	Organisations cooperating across borders after project completion
P3 A cooperating region	Interreg Specific Objectives (ISO) 1 – “enhance efficient public administration by promoting legal and administrative cooperation and cooperation between citizens, civil society actors and institutions, in particular with a view to resolving legal and other obstacles in border regions”	3.1 Harmonious neighbourly relations through cooperation	3.1.1. Institutional cooperation between public and civil society organisations	RCO87	Organisations cooperating across borders*	RCR84	Organisations cooperating across borders after project completion



**Interreg**



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**NEXT** Hungary – Slovakia – Romania – Ukraine

Priority	Objective		Type of Action	Output Indicator		Result Indicator	
				Code	Name	Code	Name
	Interreg Specific Objectives (ISO) 2 – border crossing management and mobility and migration management, including the protection and economic and social integration of third-country nationals including migrants and beneficiaries of international protection	3.2 A safer and more secure Europe	3.2.1. Cooperation on border control and management	RCO87	Organisations cooperating across borders*	RCR84	Organisations cooperating across borders after project completion

*Table 2. Programme-level indicators*

## Obligatory indicators for certain objectives

Each project must correspond with the following indicators:

RCO87	Organisations cooperating across borders	RCR84	Organisations cooperating across borders after project completion
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Each **Large-scale project and regular-scale project with infrastructure** under **Objective 1.1 Climate change adaptation, risk prevention** must correspond with the following indicators:

RCO26	Green infrastructure built or upgraded for adaptation to climate change	RPR01	Population benefitting from protection measures against climate related natural disasters (flood, wildfire, other)
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Each **Large-scale project and regular-scale project with infrastructure** under **Objective 1.2 Biodiversity and reduced pollution** must correspond with the following indicator:

RCO36	Green infrastructure supported for other purposes than adaptation to climate change	RPR02	Population benefitting from better ecosystem services (biodiversity, green corridors, improved ecological status, etc.)
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### NOTES:

- In each case when the theme of the project corresponds with the Programme-level indicator applicants should select the indicator in question. For example, projects under Objective 1.1 with protection measures against climate related natural disasters, should select the corresponding indicator number RPR01. For detailed explanation of each indicator, please check the Indicator guide (Annex IV of the Application package).
- Special attention will be paid to Indicators during the assessment.
- The Indicators must be carefully chosen and their values realistically set because they will be used in the monitoring of the project implementation and evaluation of the project's achievements and during the follow-up period.
- Indicators are a measurement tool to count/quantify the success of the project. They are vital for the understanding of the goals of the projects and are carefully graded during assessment. However, the number of indicators are not proportional with the quality of the project; more indicators do not mean a better project. The assessors will assess the overall achievements, the interconnectivity of elements, the intervention logic, and how the applicants envisage to reach the specific objectives of the project.

## 7. HORIZONTAL AND OTHER PRINCIPLES

### 7.1 Horizontal principles

Horizontal principles, in the context of EU funded work, are core principles of importance that cut across and have relevance to all areas of the work of EU funded projects.

The Programme horizontal principles are aligned to Article 9 of Regulation (EU) 2021/1060 (CPR) which stipulates that all projects must respect four horizontal principles:

- respect for **fundamental rights** and compliance with the Charter of Fundamental Rights of the European Union<sup>9</sup>
- **equality between men and women, gender mainstreaming** and the integration of a gender perspective
- appropriate steps to **prevent any discrimination** based on gender, racial or ethnic origin, religion or belief, disability, age or sexual orientation
- **sustainable development** as set out in the Treaty on the Functioning of the European Union (TFEU) Article 11, taking into account the UN Sustainable Development Goals, the Paris Agreement and the "do no significant harm" principle as well as climate resilience<sup>10</sup>.

Moreover, to pursue the Programme priorities and objectives, all projects need to have a full respect of the Union environmental *acquis*. Compliance with the horizontal principles of the Programme will be thoroughly evaluated during the assessment of the applications.

Applicants shall describe in their applications how their project considers and complies with horizontal principles. In case the project will promote and strengthen any of horizontal principles, applicants shall explain which specific actions within project activities are implemented in reference to them. The quality of specific actions will be evaluated and, if applicable, the points will be awarded during the assessment of applications. In case of project selection, specific actions relevant for horizontal principle(s) will be monitored by the Programme.

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<sup>9</sup> [EUR-Lex - 12012P/TXT - EN - EUR-Lex \(europa.eu\)](#)

<sup>10</sup> Commission Notice:

<https://op.europa.eu/en/publication-detail/-/publication/23a24b21-16d0-11ec-b4fe-01aa75ed71a1/language-en>  
and related Interact materials <https://www.interact-eu.net/events/investments-climate-resilience>

Among horizontal principles sustainable development, in line with the Article 22 (4) of the Interreg Regulation, in selecting projects, the monitoring committee shall ensure that, for investments in infrastructure with an expected lifespan of at least five years, an assessment of expected impacts of climate change is carried out. In this regards, the applicants have to present the result of their analysis in the application form in a narrative section in case they have an infrastructure with an expected lifespan of at least five years. It will be checked during the quality assessment.

It is crucial for the Programme that projects respect horizontal principles during all phases of the project cycle; from the project design and preparation to its implementation, monitoring, reporting, and evaluation. Therefore, the Applicants are strongly encouraged to (re)familiarize themselves with the concepts related to horizontal principles and ensure compliance from the early stage of project planning.

The Programme also promotes the application of the nature-based solution and new Bauhaus initiatives<sup>11</sup>.

## 7.2 “Do no significant harm” principle

In addition, the Programme’s SEA and the DNSH report will be considered when determining the eligibility of projects, in particular where actions are carried out in Natura 2000 sites and where infrastructures are planned. More specifically, all selected projects need to show full respect for the EU Water Framework Directive<sup>12</sup>, the Natura 2000 sites, and both the Birds Directive and the Habitats Directive.

Special consideration will be given to the DNSH principle in case of applications, which includes infrastructure works, partial rebuilding of existing infrastructure or purchase of equipment.

DNSH will be assessed by YES/NO criteria whether the projects applications are in line with the types of actions assessed already as do not significantly harm the environment. **If applications are in line with DNSH, they go for further evaluation, if they are not in line, the applications will be rejected.**

In line with the DNSH<sup>13</sup> principle, the Programme considers harmful any project which:

- leads to significant greenhouse gas emissions
- leads to a worsening of the negative effects on the current or expected future climate or on people, nature or assets

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<sup>11</sup> [https://new-european-bauhaus.europa.eu/index\\_en](https://new-european-bauhaus.europa.eu/index_en)

<sup>12</sup> [https://ec.europa.eu/environment/water/water-framework/index\\_en.html](https://ec.europa.eu/environment/water/water-framework/index_en.html)

<sup>13</sup>For more information, please see the DNSH report of the Programme here: <https://huskroua-cbc.eu/download?id=6475e79d6ad82a24a0023ec4>



- is detrimental to the good status or ecological potential of water bodies, including surface and underground waters
- leads to significant inefficiencies in the use of materials or in the direct or indirect use of natural resources, or leads to a significant increase in production, incineration or disposal waste, or if long-term disposal of waste can cause significant and long-term damage to the environment
- leads to a significant increase in emissions of pollutants in the atmosphere, water or soil

and significantly harms the good condition and resilience of ecosystems or harms the conservation status of habitats and species, including those of interest to the EU.

## 8. SOURCES OF FUNDING

On project level, **the Union co-financing rate is maximum 90%** of the total eligible expenditure. The Union co-financing rate shall not exceed 90% on project and on partner-level.

**The remaining amount (as a general rule 10%) shall be financed from national sources** (state contribution and/or own contribution of Applicants), which may differ per participating counties.

In case of **partners from Hungary**, as a general rule, **5% of total eligible cost** of the respective project part must be provided by the Applicant **as own contribution**, and the remaining **5% will be provided by the Hungarian state budget**. It is also important to mention that based on Hungarian national legislation (Gov. decree 241/2023 (VI.20.)) in case of certain organisational forms, the own contribution will be fully covered by the Hungarian State, meaning that as a general rule, 10% of the total eligible costs will be provided from the Hungarian state budget.

In case of **partners from Slovakia**, as a general rule, **5% of total eligible cost** of the respective project part must be provided by the Applicant **as own contribution**, and the remaining **5% will be provided by the Slovak state budget**. In case the partner is a central state owned budgetary organization, the own contribution will be fully covered by the Slovak State, meaning that as a general rule, 10% of the total eligible costs will be provided from the Slovak state budget.

In case of **partners from Romania**, as a general rule, **5% of total eligible cost** of the respective project part must be provided by the Applicant **as own contribution**, and the remaining **5% will be provided by the Romanian state budget**. In case the partner is a central state owned budgetary organization fully financed from the state budget, from the state social insurance budget or from the budgets of special funds, the own contribution will be fully covered by the Romanian State, meaning that as a general rule, 10% of the total eligible costs will be provided from the Romanian state budget.

In case of **partners from Ukraine**, as a general rule, **10% of total eligible cost** of the respective project part must be provided by the Applicant **as own contribution**.

**NOTE:** The ratio of own contribution is calculated based on the eligible costs of the given partner's budget, that is, the given project part.

### **IMPORTANT NOTE FOR APPLICANTS:**

The final applicable sources of funding of the respective project part will depend on the classification of Applicants determined by the Managing Authority based on legal classifications.

**The ratio** of the state contribution as well as the own contribution of the respective Applicant depends on the type of organisation applying for the Programme and also on the applicable **State aid rules** (on the latter please consult Annex VII State Aid<sup>14</sup>).

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<sup>14</sup> The European Commission provides further clarification on the key concepts relating to the notion of State aid in *Commission Notice on the notion of State aid as referred to in Article 107(1) of the Treaty on the Functioning of the European Union (2016/C 262/01)*

[https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52016XC0719\(05\)](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52016XC0719(05))

## 9. MANAGEMENT STRUCTURE OF THE PROGRAMME

The Programme is to be implemented through shared management under the responsibility of a single Managing Authority and Audit Authority. Slovakia and Romania regulate their relations and responsibilities with the Managing Authority in Memorandum of Understandings, whilst Ukraine in form of a Financing Agreement. The Programme has *joint* institutional structure established jointly by the Partner Countries, as well as *national* institutional structures established by each Partner Country in order to support programme implementation at national level.

The management structure of the Programme is the following:

- **European Commission:** Donor of the EU contribution.
- **Monitoring Committee (MC):** supervises and monitors the programme implementation, responsible for project selection. Its operations are regulated by the Rules of Procedures of the MC.
- **Managing Authority (MA):** bears the overall responsibility for the management and implementation of the Programme towards the European Commission. The Ministry of Foreign Affairs and Trade of Hungary acts as the Managing Authority.

**Body carrying out the accounting function:** The main task is drawing up applications for payments and submitting them to the European Commission. The accounting function is carried out by the Ministry of Foreign Affairs and Trade, Hungary.

- **Audit Authority (AA):** body functionally independent from the Managing Authority, National Authorities and the Body carrying out the accounting function, that is responsible for verifying the effective functioning of the management and control system and the expenditure declared to the EC by means of audits on projects. The work of the AA is assisted by the Group of Auditors comprising representatives of each partner countries. The Directorate General for Audit of European Funds in Hungary acts as the Audit Authority.
- **Joint Secretariat (JS):** Set up within Széchenyi Programme Office Nonprofit Limited Liability Company (hereinafter referred to as SZPO) in Budapest with member(s) in the SZPO Regional Office in Nyíregyháza, the JS assists the MA, AA, the MC and the National Authorities in carrying out their respective duties. The JS keeps daily contact with potential Applicants and lead partners of contracted projects. Branch offices are/will be established in Hungary, Slovakia, Romania and Ukraine. Their main responsibility is to inform potential applicants in Programme area on activities planned under the programme (call for proposals, seminars, trainings, Infodays etc.).
- **National Authorities (NA):** The Ministry of Foreign Affairs and Trade of Hungary, the Ministry of Investments, Regional Development and Informatization of Slovak Republic, the Ministry of Development, Public Works and Administration of Romania and the Secretariat of Cabinet of Ministers of Ukraine ensure the cooperation with the MA, the AA and the MC. Also bear

responsibility – among others – for setting up the control system in order to verify the expenditures at national level and for ensuring national state co-financing (if applicable). Moreover, NAs are responsible for investigation of suspicion of irregularities, declaration of irregularities and handling of irregularities (and handling of the recovery procedure of national state co-financing part of the irregularities, if applicable).

- **Control Bodies:** The Control Bodies are responsible for verifying expenditures at the national level in accordance with EU and national rules. The control bodies of the Programme are set up in Hungary in the SZPO (in Mátészalka office), in Slovakia in the Ministry of Investments, Regional Development and Informatization, in Romania in the Ministry of Development, Public Works and Administration of Romania and in Ukraine in the State Audit Service.

## 10. SUBMISSION OF THE APPLICATIONS

### 10.1 Project development assistance

Cooperation among the partners within the project is an essential component of projects financed by the Programme. Cooperation between cross-border partners will not only be important during the implementation phase, but also in the phase of joint planning of project activities. **The amount and the quality of cooperation between partners is one of the key criteria for selecting applications.**

While searching for partners, special attention should be paid to:

- Joint interests and objectives,
- Type of the project which Applicants are developing, bearing in mind the targeted activities of the present Call
- Partner's eligibility,
- Partner's financial and organisational capability to implement their respective project parts,
- Professional qualifications of partners regarding the project activities.

Potential partners (type of organisations) are listed in the Programme document, although the list is not exhaustive. The eligibility of applicants is described in Chapter 2.1. of the present Guidelines helping the orientation.

### 10.2 Available information and contacts related to the Call for Proposals

The complete Application package and all relevant information for the present Call for Proposals are available on the Programme's official web site: <http://next.huskroua-cbc.eu>

In the application period, Applicants may ask for information, guidance and clarification from the designated contact persons of the JS and the Branch Offices **by phone or via e-mail. Personal consultations are provided only at pre-arranged appointments in JS office.**

State aid questions shall be sent in writing, MA/JS if needed external expertise will be involved.

#### JOINT SECRETARIAT

Institution: Joint Secretariat of the Interreg VI-A NEXT Hungary-Slovakia-Romania-Ukraine  
Address: Széchenyi Programme Office Limited Liability Company  
H-1053 Budapest, Szép utca 2., 4<sup>th</sup> floor  
E-mail: [info@next.huskroua-cbc.eu](mailto:info@next.huskroua-cbc.eu)

Phone numbers of JS members are available at the Programme website.

## BRANCH OFFICES (BO)

<p>Branch Office in the Slovak Republic (host organization):</p> <p>Address:</p> <p>Contact person:</p> <p>Phone:</p> <p>E-mail:</p>	<p>Košice Self-governing Region</p> <p>Námestie Maratónu mieru 1, 042 66 Košice, Slovakia</p> <p>Ms. Barbora Kováčová, Branch Office expert</p> <p>+421 55 6196 664 +421 948 640017</p> <p><a href="mailto:Barbora.Kovacova@vucke.sk">Barbora.Kovacova@vucke.sk</a></p>	<p>Prešov Self-governing Region</p> <p>Námestie Mieru 2, 080 01 Prešov, Slovakia</p> <p>Mrs. Balaníková Natália, Branch Office expert</p> <p>+421 51 7081 545</p> <p><a href="mailto:natalia.balanikova@psk.sk">natalia.balanikova@psk.sk</a></p>
<p>Branch Office in Romania (host organization):</p> <p>Address:</p> <p>Contact person:</p> <p>Phone:</p> <p>E-mail:</p>	<p>Satu Mare County Intercommunity Development Association</p> <p>25 October Square, no. 1, Satu Mare, Romania, 440026</p> <p>Franciska Őri-Pákay</p> <p>+40721297419</p> <p><a href="mailto:Satu-Mare@huskroua-cbc.eu">Satu-Mare@huskroua-cbc.eu</a></p>	<p>Maramures County Council and Sighetu Marmatiei Town Hall</p> <p>Bogdan Voda Street, no. 14, Sighetu Marmatiei, Maramures County, Romania</p> <p>Marian Ferțadi</p> <p>+40722783614</p> <p><a href="mailto:Sighetu-Marmatiei@szechenyiprogramirod a.hu">Sighetu- Marmatiei@szechenyiprogramirod a.hu</a></p>

Branch Office in Ukraine (host organization):	Zakarpattia Regional State Administration	Ivano-Frankivsk Regional State Administration
Address:	Branch Office expert in the Zakarpattia Oblast	Branch Office expert in Ivano- Frankivsk Oblast
Contact person:	Ms. Olesia Tragniuk	Mrs. Oksana Shychuk
Phone:	+380 50 325 31 51	+380 50 258 79 63
E-mail:	<a href="mailto:otrag@ukr.net">otrag@ukr.net</a>	<a href="mailto:Ivano-Frankivsk@huskroua-cbc.eu">Ivano-Frankivsk@huskroua-cbc.eu</a>

**NOTE:** Questions may be asked over the phone, however if you prefer to receive a written answer, questions should be put in writing (e-mail) but not later than 7 calendar days before the deadline of submission of the applications.

### 10.3 Approval of data management / Privacy policy

The potential partners, by submitting the application of the present Call for Proposals, duly consent to the fact that the Data Controllers (Ministry of Foreign Affairs and Trade acting as Managing Authority and Széchenyi Programme Office Nonprofit LLC hosting the Joint Secretariat) will manage all the personal data included in the Application phase in line with Regulation (EU) 2016/679 of the European Parliament and of the Council on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).

### 10.4 Composition of the Application

#### 10.4.1 General requirements

**Applications must be prepared and submitted electronically via the INTERREG+ system.** Before you start filling in the application form, please consult the User Manual of the INTERREG+ Application Module for technical details, it will be available on the Programme website.

**The language of application forms is English.** Application forms in languages other than English will be rejected.

**Supporting documents have to be scanned and uploaded also via INTERREG+ system.**



The original documents have to be retained by the lead partner/partner at its premises. The documents might be a subject of a monitoring visit, or later on on-the-spot check.

**The requested supporting documents must be scanned originals** meaning that the original documents have to be issued by the respective authority or certified by a public notary/court, or certified by the legally authorised representative of the respective Applicant meaning they have to be signed, stamped and dated by the person(s) authorised in the establishing document and/or in the specimen of signature to sign in the name of the Applicant organisation.

The scanned version of uploaded documents can be full-colour or black/white and should be saved and uploaded as a pdf file (unless stated differently in the following section). Each uploaded scanned document must be filled in with correct data, openable, legible and must contain all pages and identifiable (legible) stamp and signature. The signature and date on the scanned and uploaded documents shall be legible when opening the given document.

Please note that the Application, the Annex I and II (declarations) as well as the supporting documents detailed below will be evaluated. It is therefore of utmost importance that these documents contain ALL relevant information concerning the project.

#### **10.4.2 List of documents to be submitted**

The following documents shall be prepared and uploaded to the INTERREG+ system:

### **! APPLICATION PHASE!**

#### **Supporting documents – application phase**

- 1. Application Form** – compulsory to be filled in electronically via INTERREG+ system according to the instructions of the present Guidelines and of the separate User Manual of INTERREG+ Application module
- 2. Declaration by the applicant** (Annex I of the Application package) – compulsory to fill in separate declarations properly by all applicants (by each potential partner organization of the partnership) and upload those in INTERREG+. The applicants must fill in the data about their organization, but the content and provisions of the declaration cannot be altered in any way.
- 3. De minimis declaration by the applicant** (Annex II of the Application package) – compulsory to fill in separate declarations properly by all applicants except those not receiving financial support (by each potential partner organization of the partnership) and upload those in INTERREG+. The applicants

must fill in the data about their organization, but the content and provisions of the declaration cannot be altered in any way.

4. **Extracts from register** (or equivalent document) – by all applicants (by each potential partner organization of the partnership)
5. **Establishing documents / Statutes or Article of Association<sup>15</sup>**, are requested to prove eligibility of all partners receiving financial support, with short extract in English.
6. **Copy of the Specimen of signature<sup>16</sup> of the legally authorised representative(s) of all Applicants** - specimen of signature of all persons being legally authorised representatives of the respective organisation and who sign(s) e.g. the declarations by the Applicant for the course of the application.
7. **Copy of all the Applicants' approved and audited Annual accounts for the last closed financial year<sup>17</sup>**
8. **Job description to all positions listed in the Project team** – Project team shall be set up composed of *project management staff* as well as other *internal professional staff* (if relevant) by their position and per Applicants. The Job description for all the given positions need to be submitted, regardless of the chosen type of reimbursement of staff costs (real cost or flat rate).

**IMPORTANT NOTE: In case any of the above listed supporting documents no. 2-8 have not been provided (and/or have not been filled in and/or not signed in case of Declarations), it will be requested during the completion round. If not submitted or completed even until the given deadline of the completion, the application will not be further evaluated and will be rejected.**

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

<sup>16</sup> The legal representative of the Applicant i.e. the person(s) with the right of representation and signature is determined by the establishing document of every organisation, and the **specimen of their signature** is kept in a legally prescribed way, depending on the legal status of the organisation.

In the case the organisation does not have such a document issued by the relevant institution, it should provide a statement in original language – signed, stamped and dated by its legally authorised representative declaring that the signature at the end of the statement belongs to the 'legally authorised representative' and that 'the same signature will be used on all official documents in the course of project implementation'. The signatory person has to be the same on the AF (i.e. the Signatory User who submits the Application) and on other declarations that are signed by the respective Applicant.

<sup>17</sup> The expression "audited annual accounts" means, in case the legislation does not oblige an organization to run such an audit, to submit together with the application the approved annual accounts for the last closed financial year. In conclusion one can dismiss the term "audit(ed)" in case the legislation does not oblige, but still needs to provide the approved annual accounts for the last closed financial year.

**Further supporting documentation – in case of infrastructural investments/works component – application phase**

- 9. Construction plans (engineering plans, descriptions)** – Construction plans (engineering plans, descriptions): Construction plan and technical description submitted as part of the request for a building permit in PDF format AND in an engineering software compatible format (protected version). If the planned works activity does not require a building permit: technical description and diagrammatical plan and the general plan of each building site – one copy per plan. NOTE! Construction plans should be available also in printed version at the premises of the relevant partners receiving financial support. During Quality Assessment or in case of implementation during the verification of costs and on the spot checks the paper version can be requested by the Programme bodies.
- 10. Photo documentation** – Photos taken from the scene of the works activities (taken from all corners for each item for which land or building registration certificates are submitted) in its current state – in separate folders in JPG or PDF format.
- 11. Detailed cost estimation of works** – Detailed cost estimation/price quotation by type of work issued by a designer indicating unit prices and the costs of materials and works / Detailed price quotation issued by an actor of the market, indicating unit prices and the costs of materials and works.
- 12. Proof of status of ownership** (Land or building registration certificates) in all cases, and if it is the case, the certain usage right has to be proven by the relevant document (contract, declaration etc.) appointed in sections 1-4. of Appendix B (*Special stipulations on the ownership of land and buildings in case of projects having investment/works activities*)
- 13. Legally binding building permit** OR Document certifying the exemption of the construction from building permit. Should the building permit be not available at the time of submitting the application (or neither until the completion deadline), a certificate from the relevant authority shall be provided proving that the request for building permit has been accepted and the process is ongoing.
- 14. Legally binding environmental permit and environmental impact assessment** if according to the national legislation those are required OR Documents certifying the exemption from environmental assessment / attainment of environmental permit. (If the EIA is in original language it shall be accompanied with a brief English summary, reflecting the main content).
- 15. Feasibility study** if according to the national legislation it is required for the obtaining the building permission in the set format (If the study is in original language it shall be accompanied with a brief English summary, reflecting the main content)
- 16. Any further specific permit(s)** if it is the case (e.g. permit issued by heritage/monument protection authority etc.)

**IMPORTANT NOTE:** In case any of the above supporting documents no. 9-15 are not enclosed at all, the missing documents will need to be provided during the formal assessment's completion round. If still not provided until the set deadline of the completion, the application will not be further evaluated and will be rejected. Please, consult chapter 11.2.

### **! CONTRACTING PHASE!**

#### **Supporting documentation necessary for contracting**

NOTE: The below list of documents is only for information purposes and shall be submitted only in case the application is selected for financing. Applications selected for financing will receive detailed instructions regarding the **documents to be submitted** in the **notification letter** on the award of subsidy.

- **Specimen of signature of the legally authorised representative(s) on behalf of the Lead Applicant<sup>18</sup>** in case the previously submitted by the application document was not a certified by public notary one.
- **Original, signed Partnership Agreement**, one of the most important contracting documents is the Partnership Agreement between all partners of the project.
- **Bank statement proving the establishment of a separate EUR bank account** by the Lead Partner for the purposes of the project. This bank must be located in the country where the Lead Partner is registered. All Ukrainian Project Participants are obliged to open a **bank account in EUR in case of public bodies at the State Treasury, and in case of any others by any of the state-owned banks**. The Lead Partner must inform the Managing Authority about any changes in the bank requisites.
- **Certifications on the payment of contributions and taxes** issued by the TAX office.
- If relevant, **any additional documents** requested by the MC relating to the conditions of approval of the project.
- Any addition documents requested by the MA/JS.

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<sup>18</sup> In the case the organisation does not have such a document issued by the relevant institution, it should provide a statement in original language – signed, stamped and dated by its legally authorised representative declaring that the signature at the end of the statement belongs to the 'legally authorised representative' and that 'the same signature will be used on all official documents in the course of project implementation'. This very statement **should then be certified by a public notary**.

### **Further supporting documentation necessary for contracting – in case of infrastructural investments/works component**

In case not available and thus cannot be submitted with the Application, the followings may be submitted later, by Contracting at the latest (in case of being selected):

- Legally binding building permit
- Any further specific permit(s) if it is the case
- In case identified by the MC based on the assessment, supporting letter from the relevant authority might be requested to submit e.g. to clarify issues related to national legislation.

#### **IMPORTANT NOTE:**

In case the legally binding building permit cannot be provided together with the application, neither until contracting, exceptionally and in duly justified cases, as a general rule in Ukraine, the Managing Authority may accept a later submission of the permit.

### **10.5 Deadline for the submission of Applications**

The **Applications for SSP and RSP without infrastructure budget line** shall be submitted online via the Application Module of INTERREG+ by **20 December 2023, 15:00 (Central European Time)**. Applications submitted after the given deadline will be considered formally non-compliant and will not be considered further.

The **Application for RSP with infrastructure budget line and LSP** must be submitted online via the Application Module of INTERREG+ by **14 March 2024, 15:00 (Central European Time)**. Applications submitted after the given deadline will be considered formally non-compliant and will not be considered further.

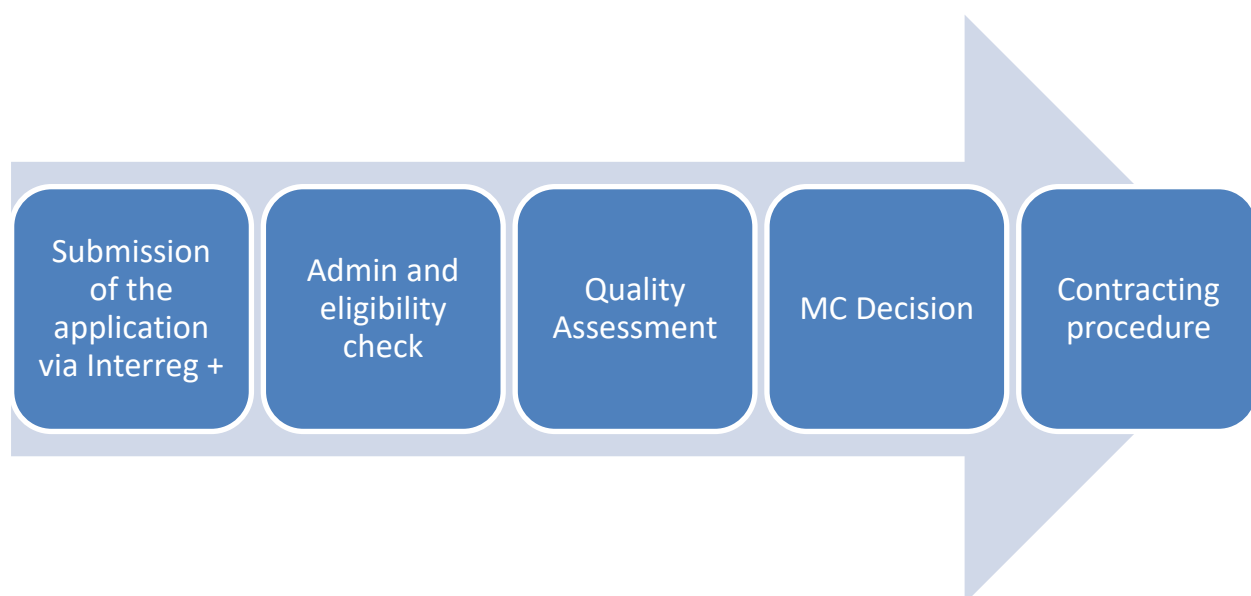
## 11. ASSESSMENT, SELECTION, CONTRACTING

### 11.1 Pre-assessment stage

The Joint Secretariat is responsible for the assessment process. Based on the number of received applications, the JS proposes the schedule of the assessment process and forwards it to the MA for information.

Every application receives an individual registry number that will be used throughout the assessment process as a reference number. The format of the registry number is specified by INTERREG+ and ensures precise identification of each application.

### 11.2 Assessment process



The selection procedure consists of the following main stages:

- **Formal assessment** – a simplified formal and eligibility administrative check
- **Quality assessment** – assessment of the quality of the applications
- **Decision of the MC**
- **Notification of the applicants** (including the request of documents necessary for the preparation of the Subsidy Contract)

The assessment process is carried out in the INTERREG+ system, i.e. all the evaluation grids are filled in the system. In addition, completions shall be submitted also via the INTERREG+ system, and after finalisation of the evaluation process all grids are **stored also electronically in INTERREG+**.

### 11.2.1 Formal assessment

The formal and eligibility administrative check is carried out before the assessment of the quality of the applications based on **Formal assessment grid** (Appendix C of this document). As a general rule the formal assessment of the applications starts after the deadline for submission expires. Generally, the staff of the JS and/or BO does the formal assessment – they are the **formal assessors** of applications.

**Only those applications, which met the submission deadline are subject to the formal assessment.**

The formal assessment is made in order to ensure that:

- The applicant is eligible.
- The supporting documents have been submitted.
- Other administrative requirements were met.

Each application is evaluated by two formal assessors to ensure the four-eye principle. The formal assessors check the applications against the grid and mark ‘Yes’ or ‘No’ next to each criterion.

- If the Application is not complete or unclear information is provided in the online Application and its annexes, i.e. any of the criteria listed in the formal evaluation grid are not satisfied, the lead partner is invited to submit a completion/clarification within maximum 14 calendar days from the date of receipt of the notification through the INTERREG + system. The request for formal completion of the application will be sent out from INTERREG+ system by e-mail and the completion shall be carried out by the applicants in the INTERREG+ system. After the completion, the JS finalizes the formal assessment grid.
- If after the completion the Application is still not compliant with any of the formal criteria listed in the formal assessment grid, or the completion is sent after the deadline, the application will be rejected and will not be subject to further evaluation,
- If the application meets all the formal assessment criteria, the formal assessors recommend it for quality assessment and it proceeds to the quality assessment phase.

The JS, on behalf of the MA, informs the potential lead partners via e-mail, informing them whether their application was submitted within the deadline, whether it satisfied the formal assessment criteria and, as a consequence, whether it proceeds to the quality assessment.

### 11.2.2 Quality assessment

**The assessment of the quality of the applications (Quality assessment)** is carried out against the set of criteria listed in the **Quality assessment grid** (Appendix D of this document).

The quality assessment grid contains the following aspects of evaluation:

- *Financial and operational capacity of the partnership:* applicants must have stable and sufficient resources for the implementation of the project as well as the necessary professional competencies and qualifications to complete the proposed activities. The partnership must be able to perform the proposed activities; the distribution of tasks, activities and budget must be well balanced between the partners; it should be described how the partnership improves the chances for the project's success.
- *Relevance, project content and CBC effect:* The application must clearly contribute to the Programme's objectives; there must be a link between Project's indicators and Programme's results, as well as between project' results and the Programme's result indicator; applicants must elaborate the importance of the cross-border effect for the chosen topic as well as for the target groups, Programme area and the partners. In addition, the chosen topic must be justified clearly, must be relevant and realistic; the proposed activities should be beneficial for the target groups, Programme area and the partners. Project content should be in line also with Macro-regional/National/Regional/County level policies, strategies and International plans where relevant. The communication is vital part of the content of the project – the communication activities of the proposal must contribute to the Programme's visibility, promotion of the horizontal principles.
- *Methodology (Work plan):* there should be a clear connection between the proposed activities and overall project objective; all proposed activities should lead to the project's objective; activities must be practical and achievable in the proposed timeframe; the project indicators should be realistic, achievable and SMART; potential risks should be identified and probable solutions suggested.
- *Budget and sustainability:* the project activities shall be sustainable and the project's results should be both financially and socially sustainable; project activities must be environmentally friendly and project's results must be environmentally sustainable. The proposed expenditures must be necessary, realistic and cost effective. The budget shall be balanced among the partners. The respecting of the horizontal principles is also examined under this criterion.

In the quality assessment procedure independent external assessors will be involved matching the content of each proposal with their field of expertise. Each application is evaluated by at least two independent assessors who will award scores based on an evaluation grid.



Based on the aspects of the evaluation the quality assessment grid is divided into sections and subsections according to the different aspects of the evaluation. The maximum score that can be obtained is 100 points, distributed between the main sections as follows:

Section	Maximum score	Minimum score
Financial and operational capacity of the partnership	17	9
Relevance, project content and CBC effect	31	16
Methodology ( <i>Work plan</i> )	31	16
Budget, sustainability	21	10
	Total: 100	Min. to pass: 51

### 11.2.3 Decision on selected projects

The MC is responsible for selecting applications for support. The MC makes the decision on financing based on the ranking list of applications made after assessment.

Applications that do not reach at least 51 points as the arithmetical average of the total scores given by the assessors, or at least the defined minimum scores from the arithmetical average of the points given by the two assessors in each section of the assessment grid; are not recommended for financing, the MC will not discuss them, and they will be rejected.

In case of significant discrepancy (difference between individual assessments of more than 30 points), regarding trilateral and quadrilateral projects, the procedure will be the same as having no discrepancy, in bilateral projects there will be additional two new assessors involved from the same countries and the average (arithmetic mean) of all four assessors will be applied as final score.

The MC may decide to support applications, to support with certain conditions (budget modification, compliance with EU or national regulations, horizontal principles, etc.), to put on reserve list or to reject.

A Lead Applicant (Lead Partner) may be awarded more than one grant under this Call for Proposals, if it can demonstrate its financial and administrative capacity of managing and co-financing all the awarded projects. Concentration of grants in some entities can be considered a risk factor and should be discussed by the MC and consequently may lead to a rejection of the Application.

According to the ranking list the MC supports applications up to the available allocation of the Call for each Objectives. The MC also reserves the right not to allocate all available funds.

As a general rule 150-200 days elapse between the deadline for submission of applications and the date of the MC decision. The Managing Authority may prolong the above timeframe.

Once the decision is made by the MC, the JS, on behalf of the MA, sends Notification letters to the lead partners with the final decision about their application.

The Notification letters also include the list of supporting documents to submit until a given deadline and other conditions that must be fulfilled in order to sign the Subsidy Contract for EU Contribution. In case of rejected applications, the JS offers the possibility to check the results of the assessment.

The JS is entitled to carry out monitoring visit(s) and to have pre-contracting consultation before contract signature.

### **11.3 Handling complaints**

Complaints submitted during the evaluation process will be considered by the JS under close cooperation with the MA. JS will gather and after thorough consideration give recommendation on each submitted complaint. Based on the JS's recommendations, the decisions regarding the complaints on formal evaluation of an application are made by the MA and the decisions regarding the quality assessment of an application are made by the MC.

#### **Procedure of handling complaints**

The lead partner can ask for having an insight in the assessment grids within 10 calendar days after the receipt of the notification letter about the relevant decision by e-mail. In case the potential lead partner or the partnership does not agree with the decision of the MA/MC, the potential lead partner is entitled to file a complaint.

The complaint can be filed in case the decision:

- infringes the rights stipulated in the Regulations of the European Union;
- presents an encroachment to the Call for Proposal published or the procedures regulating the assessment process.
- The complaint can be lodged after the formal assessment and quality assessment.
- The complaint shall
  - be written in English;
  - be filed by the legal representative of the potential lead partner;

- be addressed and sent to the Joint Secretariat by e-mail to the e-mail address of the JS with the scanned official letter signed by the legal representative of the potential lead partner as attachment.
- be sent in 10 calendar days following the receipt of notification regarding the rejection of the project. Within this period the anonymized quality assessment grids in e-mail is provided, in case an insight in the evaluation documentation was requested;
- contain clear reference to the nature of the encroachment based on EU Regulations, procedures or the Call for Proposal.

### **Complaint on the decision on the selection of the projects**

If the lodged complaint challenges the findings of the quality assessment and the decision on the selection of the projects, the Complaint Committee examines the complaint and prepares its technical examination regarding the merit of the complaint.

If it is requested by the applicant the JS invites the potential lead partner for consultation to examine the quality grids. The names of the quality assessors must be removed from the grids before they are sent to the LP by e-mail.

In case the applicant persists in lodging a complaint, the complaint will then be examined on the basis of the information brought forward by the potential lead partner in the complaint and the technical examination done by the MA/JS with the involvement of the quality assessors concerned.

As a result of the examination of the complaint the decision, whether the complaint is justified and it should be considered by the MC. The applicant will be notified on the decision.

In case it is justified, the case may be sent back to the MC to review the application and its assessment. The MA/JS has to provide the MC with a written justification with explicit reference to the criteria described earlier.

The MC decides whether the revised assessment is adopted and modifies the initial decision accordingly.

The decision whether the complaint is approved or rejected by the MC is communicated by the Managing Authority in e-mail with a scanned official letter in attachment to the potential lead partner within 15 calendar days following the adoption decision on the complaint.

The decision whether the complaint is 'justified and adopted' or 'not justified and rejected' is final, binding to all parties and not subject of any further complaint proceedings within the Programme based on the same grounds.

All complaints shall be forwarded to the members of the Complaint Committee by the JS ex officio and shall be considered and answered by the MA in 30 calendar days following receipt of the complaint. This can be extended with an extra 45 calendar days in case further investigations or MC decision are needed. The lead partner is informed about the extension of the deadline.

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

- they were not filed by the potential lead partner entitled to submit a complaint;
- they were filed after deadline, i.e. more than 10 calendar days after the receipt of the official rejection letter;
- they do not contain clear reference to the nature of the encroachment based on EU Regulations, procedures or the Call for Proposal;
- the subject and content of a complaint corresponds with a complaint already filed and rejected;
- the e-mail did not contain the scanned official letter signed by the legal representative of the potential lead partner as attachment.

#### **11.4 Preparation for contracting**

After the approval of an application by the MC, the Subsidy Contract for EU Contribution (hereafter: contract) should be signed between the MA and the LP. The language of the contract is English. The contract and its annexes will contain all the necessary information: legal framework; the objective of the financing; activities, work plan, maximum contribution; rules of contract/project modifications; reporting requirements and deadlines; procedure for payment requests; rights and obligations of the LP, etc. The MA/the JS on behalf of the MA will notify in form of a Notification letter the lead partners selected for support about the approved maximum EUR amount of subsidy (and the maximum EU contribution rate) and about the conditions for contracting (if any). At the same time, the lead partners will be requested to submit – on behalf of the partnership – documents necessary for the preparation of the contract.

**Please see the list of documents to be submitted in Chapter 10.4 of the present guidelines under CONTRACTING PHASE. Please note that the above list of documents is indicative and serves for information purposes only. Due to different regulation per Partner countries for the obtaining of a building permit, the list of requested documents for contracting may vary per countries.**

In order to be able to conclude the subsidy contract for EU contribution, the LP has to submit all required documents and to fulfil all conditions stipulated in the notification letter until the defined deadline.

The Managing Authority reserves the right not to contract those projects for which the applicants failed to submit the requested documents necessary for contracting by the given deadline.

### **11.5 Project content and indicator clarification meeting**

Before the conclusion of the subsidy contract for EU contribution, programme managers from the JS will initiate a meeting with the partners: either online or in person at the premises of the lead partner/partners or the representatives of the partnership will be invited for a visit to the premises of the JS.

The main goal of this meeting is to clarify the content, activities and budget with special attention to the indicators and horizontal principles, without altering the substance of the original application. The result of the meeting would be a **finalized project form** with updated budget explanations, reallocated budget items (provided they were planned on the wrong budget heading or line) and clarified indicators. The JS will have the mandate of the MC to make necessary corrections of indicators, activities, budget, and any other elements of the project that were misunderstood or not properly planned in the application form. The quality assessors' opinions would be taken into account at this point.

### **11.6 Contracting of the EU contribution**

Once the lead partner submits documents necessary for the subsidy contract for EU contribution on behalf of all partners, the JS prepares the contract in the INTERREG+ system, following the template annexed to the Application package. Note that the Draft Subsidy Contract for EU Contribution together with the General Terms and Conditions are for information purposes only and the MA reserves the right to change them before signature. The Subsidy Contract for EU Contribution is signed between the MA on one side, and the legal representative(s) of the lead partner (on behalf of the partnership) on the other side.

### **11.7 National state co-financing (only for partners from Hungary, Slovakia and Romania)**

The national state co-financing for partners from Member States will be done in accordance with the relevant national legislations.<sup>19</sup>

### **11.8 Publication of the contracted projects on the Internet**

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<sup>19</sup> Government Decree 241/2023. (VI. 20.) in Hungary

In line with Article 49 of Regulation (EU) 2021/1060 (CPR) list of projects (operations) selected for support by the programme will be made publicly available on the website of the programme.

### 11.9 Indicative timetable

	DATE	TIME (CET)
Official launch of the 1 <sup>st</sup> Call for Proposals (All applications: SSP, RSP, LSP)	21 September 2023	
Deadline for submission of applications for <u>SSP and RSP without infrastructure budget line</u>	20 December 2023	15:00
Deadline for submission of <u>RSP with infrastructure budget line and LSP</u>	14 March 2024	15:00
Decision of MC on awarded projects (all 3 types)	Third quarter 2024	
Signature of the Subsidy Contract for EU Contribution	Fourth quarter 2024	

## 12. ANNEXES AND APPENDICES TO THE APPLICATION PACKAGE

The Annexes and Appendices to the Application package available on the Programme website are as follows:

### Annexes to the Application:

- Annex I:** Declaration by the applicant (for all applicants)
- Annex II:** De minimis declaration by the applicant (for all applicants except those not receiving financial support)

### Guides and Manuals:

- Annex III:** Eligibility of expenditures
- Annex IV:** Indicator guide
- Annex V:** Visibility manual
- Annex VI:** User Manual of INTERREG+ Application module<sup>20</sup>
- Annex VII:** State Aid

### Annexes for contracting:

- Draft Subsidy Contract for EU Contribution (includes General Terms and Conditions)**
- Draft Partnership Agreement**

*NOTE: Annex I: Declaration by the applicant and Annex II: De minimis declaration by the applicant are to be considered as Annexes to the Application and should be submitted during the application as instructed under sub-chapter 10.4.2.*

**Appendix A:** List of abbreviations

**Appendix B:** Special stipulations on the ownership of land and buildings in case of projects having investment/works activities

**Appendix C:** Formal assessment grid

**Appendix D:** Quality assessment grid

*NOTE: Both Assessment related appendices (Appendix C and D) are visual representations of on-line assessment grid forms that will be used within INTERREG+ system during the different stages of assessment. The actual printed grid forms (if their printing becomes necessary), may differ from the listed appendices.*

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<sup>20</sup> will be available at a later stage, please, consult the website of the programme

## APPENDIX A

### List of Abbreviations

AA	Audit Authority
AF	Application form
CfP	Call for Proposals
EC	European Commission
EU	European Union
EUSDR	The EU Strategy for the Danube Region
INTERREG+	The Monitoring and Information System of the Programme
ISO	Interreg Specific Objective
JS	Joint Secretariat
LP	Lead Partner
MA	Managing Authority
MC	Monitoring Committee
NA	National Authorities
NEXT	Neighbourhood, Development and International Cooperation Instrument
SO	Specific Objective
SZPO	Széchenyi Programme Office Llc.
ToA	Type of Actions



## APPENDIX B

### SPECIAL STIPULATIONS ON THE OWNERSHIP OF LAND AND BUILDINGS IN CASE OF PROJECTS HAVING INVESTMENT/WORKS ACTIVITIES

In case of projects having investment/works activities, the partners must prove the status of ownership (property rights, usage rights of the land and/or building) involved in the works component.

Please note, that in the frame of the Interreg VI-A NEXT Hungary-Slovakia-Romania-Ukraine Programme, the following rules must be respected:

- investment/works activities can exclusively be implemented on the land or to a building which is **the property of the partner or owned by the State or a county/local government**;
- In all cases a land or building **registration certificate** from the relevant public register must be submitted together with the application (if available), or by Contracting at the latest (in case of being selected).

The ownership, or the certain usage right has to be proven by the relevant document (contract, declaration etc.) appointed in the below sections, according to the national legislation.

The following cases can be distinguished:

- 1) In case **the land or building is exclusively owned by the applicant** implementing the works component, the investment is implemented on own property and only a land or building registration certificate from the relevant public register is necessary to be submitted with the application.
- 2) In case **the land or building is a joint property, not in the exclusive ownership of the applicant** implementing the works component, the written consent of the joint proprietors also has to be attached to the application, in which they must express that they agree with the implementation of the project and with the continuation of its operation until 5 years from the closure of the project.

If the land or building constitutes a piece of **undivided joint property**, the usage agreement between the joint proprietors, stipulated in a notarial document or private law contract of equal probative value, as well as the drawing about the functional division of the property have to be submitted together with the application.

- 3) The **land or building** is not **owned by** the partner implementing the works component, but by **the State or county/local government**<sup>21</sup>:
- a) If the ownership of the land and of the building located on it is legally **divided**, the owner of the land and the applicant implementing the works component have to conclude a detailed contract to be attached to the application, ruling the implementation of the investment and how the ownership of the land and the building will be separately indicated in the public register.
  - b) If the applicant implementing the works component **already rents, or wishes to rent** for the duration of the project and for subsequent operation, the land or building, the relevant **rental contract** must be annexed to the application, together with the declaration of the owner of the property that the owner agrees with the submission of the application to implement and subsequently operate the works component for at least **5 years** after project closure. The rental contract must be stipulated for a definite period of the project implementation and **no shorter than additional 10 years** and it must ensure the exclusive use of the investment, according to the activities described in the application form and endorsed by the MC, during the implementation of the project **and in the following 10 years**.
  - c) If the land or building on which an investment is to be implemented is not the property of the partner responsible for the activity but the partner acts as the trustee of the property, the trusteeship has to be proven by **attaching to the application the relevant contract or any other document proving the trusteeship legal relation**.

In all cases the building and/or the land must:

- be free of any encumbrances,
- not be the object of pending litigation and
- not be the object of a claim according to the relevant national legislation.

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<sup>21</sup> In this respect, property owned in 100% by organisations (non-profit making companies) which are in the 100% ownership of the State or the local government can also be regarded as ‘in the ownership of the state or of county/local governments’

The land or building is free of encumbrances and is not an object of a claim if nobody has a claim, for the present or for the future, listed in the register that could in any way and to any extent hinder the present or future owner of the property in exercising his or her ownership and usage rights.

A claim is e.g. if on the extract from the register of the property in question one of the following entries can be found:

- purchasing right, repurchasing right,
- forcible collection right,
- existence of a winding-up or liquidation procedure against the owner,
- a construction or parcel-establishing prohibition based on a court or administrative decision, other construction restrictions,
- commencement of a parcel-establishing or expropriating procedure,
- appointing of an auction procedure,
- closure,
- purchase with the retention of ownership,
- suspension of a register procedure.

By the end of the implementation period of an investment type project at least the record of the technological delivery session must be presented, together with the statement of the responsible architectural supervisor. Until the final and valid permission of use is attained, a temporary permission of use can be accepted from the lead partner/partner or they can submit a copy (provided by the relevant authority) of the document proving that the organisation has handed in its request for the initialisation of the permission procedure.

## APPENDIX C

### FORMAL ASSESSMENT GRID

	Criterion/Question	Yes	No	Comment
<b>I</b>	<b>Eligibility criteria</b>			
I.1.	Each applicant's organisation is meeting the requirements for general eligibility as listed by the GfA	<input type="checkbox"/>	<input type="checkbox"/>	
<b>II</b>	<b>Administrative criteria</b>			
II.1	Declarations by all applicants (Annex I and Annex II of the Application package) are submitted	<input type="checkbox"/>	<input type="checkbox"/>	
II.2	All Declarations by the applicants (Annex I and Annex II of the Application package) are filled and stamped and signed by the legally authorised persons	<input type="checkbox"/>	<input type="checkbox"/>	
II.3	All obligatory supporting documents are submitted and signed by the legally authorised persons (where relevant)	<input type="checkbox"/>	<input type="checkbox"/>	
II.4	Administrative and formal data in the application are consistent with supporting documents	<input type="checkbox"/>	<input type="checkbox"/>	
II.5	The application form is fulfilled in English	<input type="checkbox"/>	<input type="checkbox"/>	
II.6.	The submission deadline was met	<input type="checkbox"/>	<input type="checkbox"/>	<b>If not, automatic rejection.</b>
<b>III</b>	<b>Projects with infrastructure</b>			
III.1	Construction plans (engineering plans, descriptions)	<input type="checkbox"/>	<input type="checkbox"/>	If the planned works activity <u>does not</u> require a building



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				<p><u>permit</u>: technical description and diagrammatical plan and the general plan of each building site – one copy per plan. Must be submitted in the completion phase at latest.</p>
III.2	Photo documentation	<input type="checkbox"/>	<input type="checkbox"/>	<p>Photos taken from the scene of the works activities (taken from all corners for each item for which land or building registration certificates are submitted) in its current state. Must be submitted in the completion phase at latest.</p>
III.3	Detailed cost estimation of work	<input type="checkbox"/>	<input type="checkbox"/>	<p>Detailed cost estimation/price quotation by type of work issued by a designer indicating unit prices and the costs of materials and works / Detailed price quotation issued by an actor of the market, indicating unit prices and the costs of materials and works. Must be submitted in the completion phase at latest.</p>
III.4	Proof of status of ownership (Land or building registration certificates)	<input type="checkbox"/>	<input type="checkbox"/>	<p>The certain usage right has to be proven by</p>



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				the relevant document (contract, declaration etc.). Must be submitted in the completion phase at latest.
III.5	Legally binding building permit OR Document certifying the exemption of the construction from building permit	<input type="checkbox"/>	<input type="checkbox"/>	If the investment does not require a building permit, a certification should be annexed that the works component is not subject to a building permission should be provided. Should the building permit be not available at the time of submitting the application (or neither until the completion deadline), a certificate from the relevant authority shall be provided proving that the request for building permit has been accepted and the process is ongoing. Must be submitted in the completion phase at latest.
III.6	Legally binding environmental permit and environmental impact assessment OR Documents certifying the exemption from environmental assessment / attainment of environmental permit	<input type="checkbox"/>	<input type="checkbox"/>	In case if according to the national legislation the permit and EIA are required. In case the EIA is in original language it shall be accompanied with a brief English summary,



				reflecting the main content. Must be submitted in the completion phase at latest.
III.7	Feasibility study	<input type="checkbox"/>	<input type="checkbox"/>	In case if according to the national legislation it is required for the obtaining the building permission in the set format). If the study is in original language it shall be accompanied with a brief English summary, reflecting the main content. Must be submitted in the completion phase at latest.
III.8	Any further specific permit(s)	<input type="checkbox"/>	<input type="checkbox"/>	if it is the case (e.g. permit issued by heritage/monument protection authority etc.) Must be submitted in the completion phase at latest.
<b>IV</b>	<b>Formal criteria for LSPs</b>			
	<b>For LSP under Objective 1.1</b>			
IV.1	Is the Type of Action 1 (1.1.1) correctly selected as the application is fitting to?	<input type="checkbox"/>	<input type="checkbox"/>	
	<b>For LSP under Objective 1.2</b>			
IV.2	Is the Type of Action 1 (1.2.1) correctly selected as the application is fitting to?	<input type="checkbox"/>	<input type="checkbox"/>	



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<b>The project is formally compliant</b>	<input type="checkbox"/>	<input type="checkbox"/>	
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## APPENDIX D

### QUALITY ASSESSMENT GRID

INTERREG VI-A NEXT HUSKROUA PROGRAMME			
QUALITY ASSESSMENT GRID			
No.	Criteria	Maximum score	Relevant chapters
<b>I Financial and operational capacity of the partnership</b>		<i>Needs 9 to pass</i>	17
1.	Please assess the experience of the potential applicants in project management and implementation of similar projects.	2	AF 4. Project team, AF 12. Project team
2.	Please assess the operational capacity of the applicants; managerial, professional and technical capacity for implementing the proposed activities (staff, equipment, resources).	3	AF 4. Project team (Operational capacity), AF 12. Project team
3.	Have the applicants had sufficient financial capacity in the last closed financial year?	3	AF Applicant data (Financial capacity)
4.	To what extent are the applicants adequate to the activities assigned to them (management, communication, thematic field)?	3	AF 6. Work plan, LogFrame
5.	Is the partnership necessary or beneficial for the implementation of the proposed activities?	2	AF 1. Project partnership, AF 5. Project description, AF 6. Work plan
6.	Do the proposed budget and activities indicate a balanced project partnership?	2	AF 1. Project partnership, AF 5. Project description, Budget, LogFrame
7.	How suitable are the proposed costs of the budget in comparison with the size and the financial capacities of each applicant?	2	AF Financial capacity, Budget
<b>II Relevance, project content and CBC effect</b>		<i>Needs 16 to pass</i>	31

8.	To what extent will the project contribute to the achievement of programme's objectives?	4	AF 5. Project description, AF 6. Work plan, IP
9.	To what extent are the proposed activities reacting to problems identified in the region (by the IP)?	3	AF 5. Project description, AF 6. Work plan, LogFrame, IP
10.	To what extent the chosen target groups benefit from the proposed activities? In case if infrastructure element is included: Will the final result of construction be used for public purposes available for the target groups and final beneficiaries of the project?	3	AF 5. Project description (Target groups), AF 11. Infrastructure information, LogFrame
11.	Are the sections of project summary consistent, descriptive and clear for the wide public by showing the real demand for the project?	3	AF 5. Project description (Project summary), IP
12.	To what extent will the affected area benefit from the proposed activities?	3	LogFrame, IP, AF 5. Project description (Relevance)
13.	Are the activities realistic in the proposed time frame? In case if relevant, is the time plan for construction scheduled properly and fitting to the total implementation period of the project?	3	AF 5. Project description, AF 9. Activity plan, LogFrame
14.	Are the potential risks realistically observed and tackled? In case if infrastructure element is included: did the Applicant anticipated all possible risks and proposed mitigation measures for the infrastructure element (obtain special permits, long term tenders, price increase, delay in works, admin reforms etc)? What risks are missing?	3	AF 5. Project description (Risk analysis), LogFrame,
15.	To what extent is the importance of the cross-border approach to the topic clearly demonstrated - the results cannot (or only to some extent) be achieved without cooperation?	3	AF 5. Project description (Cross-border approach)
16.	Does the cross-border cooperation have a significant added value for the partners - is there a clear benefit from cooperating for the partnership / target groups / project area / programme area)?	4	AF 5. Project description, LogFrame
17.	Are the proposed activities and processes compliant with macro regional/national/regional/county policies?	2	AF 5. Project description,

			LogFrame, IP
<b>III Methodology (Work plan)</b>		<i>Needs 16 to pass</i>	31
18.	Do the proposed activities logically lead to the project objectives?	2	AF 5. Project description, AF 6. Work plan
19.	To what extent are the proposed activities, outcomes and objectives corresponding to the chosen thematic priority of the programme?	3	AF 5. Project description, AF 6. Work plan, LogFrame, IP
20.	To what extent are the project results and outcomes linked to the programme-level indicators?	3	AF 5. Project description, AF 6. Work plan, AF 8. Indicators
21.	Are the proposed activities clearly defined and described? In case if infrastructure element is included: is the owner of the land and construction element clearly defined?	5	AF 5. Project description, AF 6. Work plan, LogFrame, AF 11. Infrastructure information
22.	To what extent are the activities practical and necessary in achieving the project objectives?	3	AF 5. Project description, AF 6. Work plan, LogFrame,
23.	To what extent are the indicators set for the project results and outputs, realistic and achievable?	3	AF 5. Project description, AF 8. Indicators
24.	To what extent is the communication package chosen by the applicants adequate to the planned activities?	3	AF 7. Communication plan, AF 5. Project description, AF 6. Work plan
25.	To what extent are the communication activities and deliverables appropriate to promote the project indicators/results and to reach the relevant target group(s)?	3	AF 5. Project description, AF 8. Indicators

26.	Does the logframe explicitly and coherently show how the activities, outcomes, indicators and objectives are linked together in the project?	3	LogFrame, AF 5. Project description, AF 6. Work plan, AF 8. Indicators
27.	Are the horizontal principles respected? If yes, to what extent is the application contributing to horizontal principles? With regard to the resilience to climate change of infrastructure investment(s) (if relevant), how do you assess the expectable resilience (adaptation) to climate change?	3	AF 5. Project description (Relevance) AF 11. Infrastructur e information
28.	Does the application respect the “Do no significant harm” (DNSH) principle?	Y/N	AF 5. Project description (Relevance) AF 11. Infrastructur e information
<b>IV Budget, sustainability</b>		<i>Needs 10 to pass</i>	21
29.	To what extent are expected results financial sustainable?	3	AF 5. Project description, Budget, LogFrame
30.	To what extent are the expected results socially sustainable?	2	AF 5. Project description
31.	To what extent are the proposed activities sustainable?	2	AF 5. Project description, AF 6. Work plan, AF 11. Infrastructur e information
32.	To what extent are the proposed costs necessary and rational for the implementation of the project (and in particular, for the implementation of the infrastructure element, if relevant) and for the achievement of the planned results?	4	AF 5. Project description,
33.	To what extent is the proposed budget realistic and well justified? (Overestimated or underestimated amounts?)	4	Budget
34.	How balanced are the budget headings in relation to the theme of the project? (Staff, Services, Equipment, Works)	3	Budget
35.	How balanced is the budget of the project between the potential partners?	3	Budget



<b>SUMMARY OF THE ASSESSMENT AND JUSTIFICATION</b>				
Main assessment criteria	MAX	Needs	Obtained	Result
<b>I Financial and operational capacity of the partnership</b>	17	9	<b>x</b>	<b><i>Passed/Failed</i></b>
[please add justification for each score and for this heading over-all]				
<b>II Relevance, project content and CBC effect</b>	31	16	<b>x</b>	<b><i>Passed/Failed</i></b>
[please add justification for each score and for this heading over-all]				
<b>III Methodology (Work plan)</b>	31	16	<b>x</b>	<b><i>Passed/Failed</i></b>
[please add justification for each score and for this heading over-all]				
<b>IV Budget and sustainability</b>	21	10	<b>x</b>	<b><i>Passed/Failed</i></b>
[please add justification for each score and for this heading over-all]				
<b>TOTAL SCORES</b>	100	51	<b>x</b>	<b><i>Passed/Failed</i></b>
The Assessor's proposal:				
<b>Overall justification, advice for project development (if project is not recommended), proposed conditions for contracting (if applicable):</b>				