

CENTRAL EUROPE PROGRAMME 2007-2013



AT National Info Day
Vienna, July 7, 2011



APPLICATION PACKAGE 4rd Call

Monika Schönerkle-Grasser
JTS CENTRAL EUROPE
PROGRAMME

APPLICATION PACKAGE

What has to be submitted?



AEA29789827917EACDD08E335CAGC2

APPLICATION FORM

European Territorial Cooperation Objective
CENTRAL EUROPE Programme
Application Round 4

Don't remove the Excel protection. You risk that the form will be damaged and thus the application will become INELIGIBLE

Title of the project: _____

Acronym: _____

Lead Applicant (official name of the institution in English):
Lead Partner: _____

Lead Applicant country: _____ Region: _____

Priority: _____

Area of Intervention: _____

Duration:

| Start date | End date | Duration (months) |
|------------|----------|-------------------|
| | | |

Form has to be filled in and returned by post as printed version and on CD-ROM/other device:
CENTRAL EUROPE Programme
Joint Technical Secretariat
Museumstraße 3/A/III
A-1070 Vienna, Austria
Phone +43 (1) 4000 - 76 142
Fax +43 (1) 4000 - 99 76 141

1 of 3
Checksum: AEA29789827917EACDD08E335CAGC2

DECLARATION ON THE STATUS OF THE APPLICANT ACCORDING TO THE STATE AID DISCIPLINE
(on Applicant letter headed paper)

1. Underlying: **Co-financing, Subsidies on Administrative and Financial Capacity and on Legal Status by the Legal Representative of Partner Organisation (except International Organisation using Inter-Regional, EU and Third Country Partner)**

2. In the future: **Co-financing, Subsidies on Administrative and Financial Capacity and on Legal Status by the Legal Representative of Partner Organisation (except International Organisation using Inter-Regional, EU and Third Country Partner)**

3. The applicant is not eligible for state aid.

4. The institution is not eligible for state aid.

5. If under the 2006-2013 period.

6. If under the 2014-2020 period.

APPLICATION FORM 4th Call + ANNEXES 4th Call

Do not submit additional documents!

APPLICATION DOCUMENTS

How to submit ?



Application Form (AF) and its Annexes to be sent

- not later than 14 October 2011
- by normal **post/courier** (postmark!) or
- directly delivered by hand (before 5:00 pm)
- in one **single envelope**
- e-mail to info@central2013.eu informing on the submission (without attachments!)

In both cases the envelope must include

- the **hard copies** of all necessary documents and
- a **CD-Rom**/other electronic support with
 - ✓ Application Form
 - ✓ Map
 - ✓ Simplified Financial Statement (only in case of private Lead Applicant within P1)



APPLICATION PACKAGE

What is checked?



- Fulfilment of the minimum project requirements
- Meeting of administrative compliance criteria (eligibility, minimum formal and legal requirements)

Info & Support:

- Related information is included in the **Application Manual 4th Call**
- “Intelligent” AF providing ERROR /INCOMPLETE messages
- **Instructions for Applicants** how to complete the AF
- FAQs on website

Strict handling of formal criteria!



AF and ANNEXES

What has to be submitted?



- 1) Application Form
- 2) Map with Location of Partners
- 3) Management Structure (*Flow-Chart - no template provided*)

DECLARATIONS

- 4) Co-financing Statements incl. Declaration on Administrative and Financial Capacity and on Legal status - *3 different forms depending on location and status of the partner:*
 - > *Public authority, public equivalent body, private institution, international organisation acting under national law*
 - > *International organisation acting under international law*
 - > *Third country partner*
- 5) Declaration on status according to the State Aid discipline
- 6) Simplified Financial Statement and related supporting documents (*only private Lead Applicants within Priority 1*)

APPLICATION FORM 3rd Call Structure



- 1- Basic Information
- 2- Project Outline
 - 2.1 Relevance
 - 2.2 Methodology
 - 2.3 Sustainability and Knowledge Management
 - 2.4 Partnership
 - 2.5. Investment
- 3- Work Plan
- 4- Project Partners
- 5- Project Budget
- 6- Timeline (Visualisation of Work Plan)

The image shows a screenshot of the application form. At the top, there are logos for CENTRAL EUROPE and the EUROPEAN UNION EUROPEAN REGIONAL DEVELOPMENT FUND. Below the logos is a purple bar with the text 'AEA2978827917EEAC00DBES33CA9C2'. The main title is 'APPLICATION FORM' in a purple box, followed by 'European Territorial Cooperation Objective', 'CENTRAL EUROPE Programme', and 'Application Round 4'. A red warning message states: 'Don't remove the Excel protection. You risk that the form will be damaged and thus the application will become INELIGIBLE'. The form contains several input fields: 'Title of the project:', 'Acronym:', 'Lead Applicant (official name of the institution in English):', 'Lead Partner:', 'Lead applicant country:', 'Region:', 'Priority:', and 'Area of intervention:'. There is a 'Duration:' section with a table for 'Start date', 'End date', and 'Duration (months)'. At the bottom, there is contact information for the CENTRAL EUROPE Programme Joint Technical Secretariat, including the address 'A-1050 Vienna, Austria', phone number '+43 (0) 4000 - 99 76 142', and fax number '+43 (0) 4000 - 99 76 141'. The page number '1 of 3' and the checksum 'AEA2978827917EEAC00DBES33CA9C2' are also present.



| Start date | End date | Duration (months) |
|------------|----------|-------------------|
| | | |

APPLICATION FORM 4th Call Checksum



Checksum

- ✓ ensuring consistency of electronic & hard copy version
- ✓ “Finalize and print” button
- ✓ In case of changes afterwards, the button has to be pressed again before printing the AF!!!

AEA29789827917EEACD2D8E5335CA9C2

APPLICATION FORM

European Territorial Cooperation Objective
CENTRAL EUROPE Programme

Application Round 4

Don't remove the Excel protection. You risk that the form will be damaged and thus the application will become INELIGIBLE

Title of the project:

Acronym:

Lead Applicant (official name of the institution in English):
<Lead Partner>

Lead Applicant country: _____ Region: _____

Priority:

Area of Intervention:

Duration:

ANNEX

Map - Location of Partners



Map - Location of Partners:

- Visualisation
 - Drag the stars to the relevant region
- ✓ To be submitted in electronic and hard copy version

  EUROPEAN UNION
EUROPEAN REGIONAL
DEVELOPMENT FUND

Partnership map

Please drag the stars below into the map to indicate the geographic location.
In case there are not enough stars available, simply copy them.
Please submit this map together with the application form (electronic and printed).

- ★ Location of the Lead Partner
- ★★★★★ Location of partners inside the CE Programme area
- ★★★★★ Location of EU partners outside the CE Programme area
- ★★★★★ Location of "assimilated partners" in DE and IT

Please see the FAQs or the Application Manual 4th Call for a definition of "assimilated partners".

A map of Europe with a green overlay. The map shows the outlines of countries and a white grid of regions. The green overlay is darker in some areas and lighter in others, possibly indicating different regions or levels of participation.

Flow Chart on the Project Management Structure:

- **No template** provided by the Programme



Co-financing Statement, Declaration on Administrative and Financial Capacity and on Legal Status



Lead Applicant Declaration & CFS included in AF

Total ERDF requested for project

This part remains hidden for legal status “Public authority”

Co-Financing Statement of Lead Applicant

To be provided:

- ✓ signed
- ✓ dated
- ✓ stamped
- ✓ hard copy (is part of the AF)

Co-financing Statement and Declaration on Administrative and Financial Capacity and on Legal status by the Legal Representative of the Lead Applicant

I, the undersigned, representing <Lead Partner>

request from the Managing Authority (MA) an ERDF contribution of EU with a view to implementing the action that is the subject of this project proposal.

I declare that:

- I am authorized by my organization to sign the Application Form on its behalf;
- All information contained in this application is correct to the best of my knowledge;
- The organization I represent has the adequate legal capacity to participate in the call for proposals;
- The organization I represent is

The organization I represent has financial capacity to complete the prepared actions and in particular:

- The prepared financial commitment is adequate to the organization's size and capacity;
- It has the capacity of providing advance payments of a far considerable amount (e.g. investments);
- Essential delays in ERDF reimbursement will not undermine the organization's capacity of implementing the foreseen actions within the project;
- Its financial involvement in the project does not undermine the organization's daily activities.

The organization I represent has the administrative capacity to complete the prepared actions and in particular:

- It has enough internal human resources to ensure good project management and coordination and the timely performance of the prepared actions. In the absence of those, additional necessary resources are properly included in the project budget;
- It has appropriate infrastructure and tools to ensure the adequate performance of the prepared actions;
- Its administrative involvement in the project does not undermine the organization's daily activities.

All partners of this proposal comply with the rules on beneficiaries set out in Reg. (EC) No 1080/2006, 1082/2006 and No 1028/2006 and their amendments.

Certify that the organization I represent:

- Is not bankrupt, being wound up, or having its affairs administered by the courts, has not entered into an arrangement with creditors, has not suspended business activities, is not the subject of proceedings concerning these matters, nor is it in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- Has not been convicted of an offence concerning its professional conduct by a judgment which has the force of res judicata;
- Has not been guilty of grave professional misconduct proven by any means which the Contract Authority can justify;
- Has fulfilled its obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established;
- Has not been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organization or any other illegal activity detrimental to the Community's financial interests;
- Following another procurement procedure or grant award procedure financed by the Community budget, has not been declared to be in serious breach of contract for failure to comply with its contractual obligations as stated in Article 99(4) of Reg. (EC) No 1605/2002 and its amendments.

I acknowledge that:

- The organization I represent will not receive ERDF funds if it finds itself, at the time of the grant award procedure, in contradiction with any of the statements certified above, or is guilty of misrepresentation in supplying the information required by the MA as a condition of participation in the grant award procedure or has failed to supply this information;
- In the event of this application being approved, the MA has the right to publish the name and address of this organization, the subject of the grant and the amount awarded and the rate of funding.

Confirm that:

In the event of project approval the organization I represent commits itself to the operation, and will provide: EUR or national co-financing to the CENTRAL EUROPE project's budget.

The specific actions listed in this project proposal have not and will not receive any other aid from the Structural Funds or other Community financial instruments. In the event that any of such funding is received after the submission of this proposal or during the implementation of the project, my organization will immediately inform the MA.

By signing this I confirm that the prepared project is in line with the relevant EU and national legislation and policies of all countries involved.

Official stamp of Partner institution:

Signature of the legal representative: **Date:**

Name:
Organisation:
Function:

Navigation: Cover Sheet | **Basic information** | Project outline | Investment | W

Co-financing Statement, Declaration on Administrative and Financial Capacity and on Legal Status



Partners must fill-in the right template according to their location and legal status.

Excel document includes 3 different forms:

- EU partners & intern. organisations under national law
- International Organisations under international Law
- Third Country partners

To be provided:

- ✓ on headed paper
- ✓ signed
- ✓ dated
- ✓ stamped
- ✓ hard copy

Public notice PLEASE PRINT THIS DOCUMENT ON THE HEADED PAPER OF YOUR INSTITUTION

Co-financing Statement, Declaration on Administrative and Financial Capacity and on Legal Status by the Legal Representative of Partner Organisation (except International Organisation acting under

Title of the project: _____
Address of the project: _____
Number of Partners in the Application Form: _____

I, the undersigned, represent the institution in English as indicated in the Application Form

Declaration:

- I am authorized by my organization to sign the Co-financing statement on its behalf;
- All information concerning the participation of my organization in the project is correct to the best of my knowledge;
- The organization I represent has the adequate legal capacity to participate in the call for proposals;
- The organization I represent _____

The organization I represent has financial and administrative capacity to complete the proposed action or work programme;

The organization I represent has financial capacity to complete the proposed action and in particular:

- The proposed financial commitment is adequate to the organization's size and capacity;
- It has the capacity of providing advance payments also for considerable amounts (e.g. interest rate);
- Essential delays in EDF reimbursement will not undermine the organization's capacity of implementing the foreseen action within the project;
- Its financial involvement in the project does not undermine the organization's daily activities.

The organization I represent has the administrative capacity to complete the proposed action and in particular:

- It has enough internal human resources to ensure sound project management and coordination and the timely performance of the proposed action. In the absence of these, additional necessary resources are provided by the project leader;
- It has appropriate infrastructure and tools to ensure the adequate performance of the proposed action;
- Its administrative involvement in the project does not undermine the organization's daily activities.

The organization I represent complies with the rules on beneficiaries as stated in Reg. (EC) No 1800/2006, 1805/2006 and No 1828/2006 and their amendments.

Additional information:

- The organization I represent will not receive EDF funds if it finds itself, at the time of the grant award procedure, in a situation with any of the elements specified above, or in a state of insolvency or in a situation in which the information required by the MO is insufficient to participate in the grant award procedure or has failed to comply;
- In the event of this application being approved, the MO has the right to publish the name and address of this organization, the subject of the grant and the amount awarded and the role of funding.

Confirmation:

In the event of project approval the organization I represent commits itself to the operation and will _____ as national co-financing to the CENTRAL EUROPE project's budget.

Further more we confirm that no expenditure related to the above mentioned project has been or will be funded by the Structural Funds or other Community financial instruments. In the event that any of such funding is received after the submission of this proposal or during the implementation of the project, my organization will

By signing this Declaration I confirm that the proposed activities are in line with the relevant EU and national legislation and policies.

Signature _____ Date _____

Name of the Signatory _____ Function / Position of the Signatory _____
(Legal Representative)

National stamp of Partner Institution

In case the Signatory is different than Legal Representative an official authorisation has to be provided

ANNEX

Declaration on State Aid



- For all partners receiving ERDF except of intern. Organisations;
- If partner considers itself as undertaking according to the State Aid discipline, the *de-minimis* regime will apply and related data will be requested in the form.
- Interactive form
- Including check list

To be provided:

- ✓ on headed paper
- ✓ signed
- ✓ dated
- ✓ stamped
- ✓ hard copy

State Aid check list

Forward
Within the CENTRAL EUROPE Operational Programmes, the following entities are eligible for aid:

1. Public authorities;
2. Public equivalent bodies;
3. Private institutions;
4. International organisations.

The Operational Programmes also cover the following potential partners:

- a) National, regional governments, provinces, municipalities, agencies and foundations;
- b) Public Equivalent Bodies established under the law of the State;
- c) Private institutions established under the law of the State.

While the legal status is incomplete, please refer to paragraph 3.2. for the accomplishment of all EU requirements.

According to art. 87 of the Treaty, the legal status (public or private) of the partner shall be determined by the following criteria:

In particular, art. 87.1 of the Treaty states that:

If any aid grants or advantages to undertakings shall in so far as it is concerned, in the current fiscal year and in the two previous fiscal years, it did not benefit from public funding under the "de minimis" regime; it benefited from public aid under the "de minimis" regime;

8. If benefiting from public aid under the "de minimis" regime in the current fiscal year and in the two previous fiscal years, the following aid has been received:

| Year | Amount (in €) | Date of receipt | Law/regulation according to which the contribution was awarded (reference to the law/regulation) |
|-------|---------------|-----------------|--|
| 2008 | | | |
| 2009 | | | |
| 2010 | | | |
| Sum: | | | |
| Total | 0.00 | | |

Figures reported in the table awarded in a form other than the one provided in this form:

- the contributor
- I commit myself to the "de minimis" regime of the State Aid discipline.

I acknowledge that undertakings which have not received contributions under the "de minimis" regime of the State Aid discipline shall be considered as such.

Signature: _____
Name of partner: _____
Official stamp of Partner: _____

declare that:

1. Within the State Aid discipline, the institution I represent shall be considered as:

2. In case of project approval the following activities will be implemented. Please fill in all the boxes where activities will be carried out by you:

Work Package 2

you have 0 characters (max. 1000 characters)

Work Package 3

you have 0 characters (max. 1000 characters)

ANNEX

Simplified Financial Statement



Only for private Lead Applicant (Priority 1)

- Instruction Section
- Form
- Pre-filled example available

To be provided:

- ✓ on headed paper
- ✓ signed
- ✓ dated
- ✓ stamped
- ✓ hardcopy and e-version

To be accompanied by additional supporting documents:

- ✓ Copy of the **most recent balance sheet** (according to national accountancy regulations);
- ✓ Copy of the **most recent profit and lost accounts** (according to national accountancy regulations);
- ✓ Copy of an **independent audit report** of the most recent balance sheet and profit and loss account
OR
- ✓ **Independent auditor's certification** stating that the accounts give a true and fair view of the Lead Applicant financial situation

Instructions for the "Simplified Financial Statements" form

Who should submit the form?
The "Simplified Financial Statements" table in Excel should be completed by the Private Lead Applicant. The requested figures are for the latest available financial statements which have been audited and approved by the organisations stakeholders and/or delivered to the relevant tax authorities.

Please fill in all yellow marked fields and print on letter headed paper (if signing).
How to fill in the form please take a look at the table "Instructions" within this file.

| Simplified Financial Statement | | | | |
|---|---|---------------------------|------------------------|---------------|
| Lead Applicant | Project acronym | Proposed number | | |
| | | project duration (months) | | |
| Requested ERDF funding from the LE programme in EUR | | | | |
| Closing date of last financial period (dd/mm/yyyy) | Duration of last financial period in | | Taxes on closing date | Account FOREX |
| | | Currency: | EUR | EUR |
| Balance sheet | | | | |
| Net fixed assets | | | | #WERT1 |
| Current assets (maturity less than one year) | | | | #WERT1 |
| Cash and cash equivalents | | | 0,00 | #WERT1 |
| Total assets | | | | #WERT1 |
| Capital and reserves | | | | #WERT1 |
| Provisions usually ret. known | | | | #WERT1 |
| Long term debt (maturity above one year) | | | | #WERT1 |
| Current liabilities (maturity less than one year) | | | | #WERT1 |
| Total liabilities and capital including reserves | | | 0,00 | #WERT1 |
| | | | EUR | EUR |
| Profit and loss account | | | | |
| Total revenues | | | | #WERT1 |
| Personnel costs | | | | #WERT1 |
| Other operating costs | | | | #WERT1 |
| Operating profit | | | 0,00 | #WERT1 |
| Net financial income/charges | | | | #WERT1 |
| Net extraordinary items | | | | #WERT1 |
| Taxes on profit | | | | #WERT1 |
| Profit/loss for the period | | | 0,00 | #WERT1 |
| | Signature | | Date | |
| | Name of the Signatory (Legal Representation) | | Title of the Signatory | |
| | Official stamp of Partner institution | | | |

DECLARATIONS

Who submits what? - Overview



| Form \ Partner | Lead Applicant | EU-Partners | Partners (Int. Org. under nat. law) | Partners (Int. Org. under int. law) | Partners (Third country) |
|--|----------------|-------------|-------------------------------------|-------------------------------------|--------------------------|
| Co-financing Statement, incl. Declaration on Capacities, Legal Status (<i>part of Application Form</i>) | ✓ | | | | |
| Co-financing Statement, incl. Declaration on Capacities, Legal Status (<i>Annex - different forms</i>) | | ✓ | ✓ | ✓ | ✓ |
| State-aid self-declaration | ✓ | ✓ | | | |
| Simplified Financial Statement and supporting documents (<i>only private Lead Applicant, Priority 1</i>) | ✓ | | | | |

APPLICATION DOCUMENTS

Lessons learned from previous Calls



Carefully check criteria listed in **5.2.1 Administrative Compliance Check of Application Manual 4th Call**

Avoid ineligibility of your application due to formal mistakes.

REMEMBER!

- ✓ Completeness of the documents (all obligatory Annexes for all partners included; all hard copies & necessary e-versions provided);
- ✓ Provided templates used and texts not been amended;
- ✓ Documents properly filled-in and in full;
- ✓ Documents are on headed paper;
- ✓ Documents are dated, signed (original handwritten), stamped;
- ✓ Documents signed by the legal representative as in AF or duly authorized person;
- ✓ Co-Financing Statements indicate same amount as AF;
- ✓ In case of fax/scan Annexes: submission of originals within 3 working days after the Call deadline

APPLICATION FORM Check List



Check List:

all boxes have to be answered with

Yes or N/A

No **ERROR** or
INCOMPLETE
messages

| Checklist for submission of the Application Form | |
|--|--|
| Yes <i>N/A</i> | |
| <input checked="" type="checkbox"/> | The filled in Application Form and related Annexes will be sent in one single envelope to the Joint Technical Secretariat by normal post or courier no later than 14 October 2011 (date as per post mark). In case of delivery by hand, the application must arrive before 5 p.m. |
| <input checked="" type="checkbox"/> | The original hard copy versions of the filled in Application Form and all related Annexes, together with a CD-ROM / other electronic support (including e-version of the Application Form, the Map and, in case of private Lead Applicant, also the SFS) are submitted in a single envelope. |
| <input checked="" type="checkbox"/> | An e-mail will be sent by the Lead Applicant to the JTS (info@central2013.eu) announcing the submission (including project title and acronym) not later than 14 October 2011. |
| <input checked="" type="checkbox"/> | Only the Application Package of the 4th call for proposals has been used and all submitted documents are completed in English. |
| <input checked="" type="checkbox"/> | The paper version of the filled in Application Form is not bound in order to ease photocopying. |
| <input checked="" type="checkbox"/> | Hard copy and electronic versions of the Application Form (AF), the Map and if applicable, the SFS, are equal in content. Both AF versions indicate the same Checksum number (For printing the hardcopy the button "Finalize and print" on AF Coversheet has been used). |
| <input checked="" type="checkbox"/> | Both versions of the Application Form show no ERROR and INCOMPLETE messages. |
| <input checked="" type="checkbox"/> | The hard copy version of the Application Form is in original, dated, stamped and signed by the legal representative/duly authorised person of the Lead Applicant in original (i.e. only original, handwritten signature will be accepted). |
| <input checked="" type="checkbox"/> | The hard copies of the Annexes (1. Co-financing Statements, Declarations on Administrative and Financial Capacity and on Legal status; 2. Declaration on status in relation to the State Aid discipline; 3. if applicable, Simplified Financial Statement-SFS) are in original, dated, stamped, printed on Partners' letter headed paper and signed (original handwritten signature) by the legal representative/duly authorised person of the Lead Applicant. |
| <input checked="" type="checkbox"/> | For all submitted declarations the template text has not been changed. |
| <input checked="" type="checkbox"/> | The figures in the Co-financing Statements and in the Budget are consistent with the figures in Section 4 of the submitted Application Form. |
| <input checked="" type="checkbox"/> | State Aid Declarations of the Lead Applicant and of the International Organisation are included. |
| <input type="checkbox"/> | In case the Lead Applicant is not a legal entity, the following requirements have to be fulfilled: <ul style="list-style-type: none"> <input checked="" type="checkbox"/> included; copy of the most recent balance sheet included; copy of an independent audit report or auditor's certification included; most recent balance sheet refers to the same legal entity indicated in the Application Form and in the Annexes. |
| <input checked="" type="checkbox"/> | A flow chart indicating the co-ordination and management structure has been attached. |
| <input checked="" type="checkbox"/> | A map showing the location of all partners has been attached. |

| Table of Content/ ERROR Messages | |
|----------------------------------|---|
| 0. Cover Sheet | INCOMPLETE (line 23) |
| 1. Basic Information | INCOMPLETE (line 8) |
| 2. Project outline | INCOMPLETE (line 8) |
| 3. Work Plan | INCOMPLETE (line 34) |
| 4. Partnership and Budget | ERROR (line 211) INCOMPLETE (line 9) |
| 5. Project Budget | INCOMPLETE (line 71) |
| 6. Timeline | |



SOURCES OF INFORMATION



- Operational Programme (OP)
- Application Manual 4th Call
- Instructions for Applicants:
How to complete the AF
- FAQs

(Implementation Manual)

(Audit and Control Guidelines)



Thank you for your attention!



EUROPEAN UNION
EUROPEAN REGIONAL
DEVELOPMENT FUND

