

## SEE Programme 2007-2013

*“The 2<sup>nd</sup> Call for Proposal:  
main elements, rules and procedures”*

Alessandra Pala  
*SEE Joint Technical Secretariat*

National Info Day, Vienna, 6 November 2009

Jointly for our common future



- The SEE Programme
- Results of the 1<sup>st</sup> Call for Proposal
- Main elements of the 2<sup>nd</sup> Call for Proposal
- IPA participants



## The Programme area



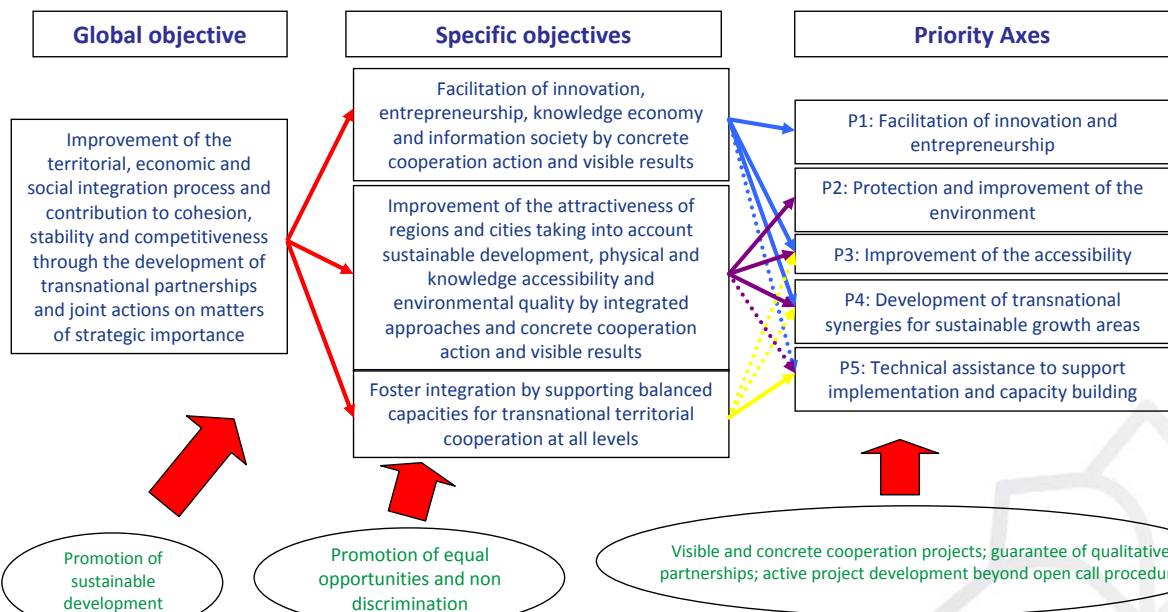
**EU Member States:**  
Austria, Bulgaria, Greece, Hungary, Italy, Slovakia, Slovenia, Romania

**Non-EU-member States:**  
Albania, Bosnia-Herzegovina, Croatia, former Yugoslav Republic of Macedonia, Serbia, Montenegro, Republic of Moldova, Ukraine

(Italy and Ukraine do not participate with its whole territory)

Common future

## The Programme strategy



Jointly for our common future

## The Priority Axis 1

<p><b>Priority Axis 1: Facilitation of Innovation and Entrepreneurship</b></p> <p><b>Objective is to facilitate innovation, entrepreneurship, knowledge economy and to enhance integration and economic relations in the cooperation area</b></p>	<p><b>1.1. Develop technology and innovation networks in specific fields</b></p>	<p>Technological cooperation in specific technology fields; focusing more on processes than products</p>
	<p><b>1.2. Develop the enabling environment for innovative entrepreneurship</b></p>	<p>Addressing structural deficits especially in the SME sector such as missing access to knowledge, bad roads to market, low level of Internationalization</p>
	<p><b>1.3. Enhance the framework conditions and pave the way for innovation</b></p>	<p>Strengthening the enabling innovation environment at the governance level and promotion of public awareness for innovation</p>

Jointly for our common future

## The Priority Axis 2

<p><b>Priority Axis 2: Protection and Improvement of the Environment</b></p> <p><b>Objective is to override the constraints imposed by natural barriers, to foresee future environmental threats and opportunities and to develop common transnational actions for the protection of nature and humans</b></p>	<p><b>2.1. Improve integrated water management and flood risk prevention</b></p>	<p>Development of transnational structures and tools for an integrated management of water and flood risk prevention</p>
	<p><b>2.2. Improve prevention of environmental and technological risks</b></p>	<p>Transnational structures and systems/tools for environmental risk protection, and policy development to reduce risks and impacts on human health, biodiversity and other environmental issues</p>
	<p><b>2.3. Promote cooperation in management of natural assets and protected areas</b></p>	<p>Cooperation and know-how transfer in managing natural assets and transnational awareness building on natural assets as development factor</p>
	<p><b>2.4. Promote energy and resource efficiency</b></p>	<p>Coordination and transfer of know-how on energy and resource efficiency policies, to cover the expected rise in energy demand and resources consumption</p>

Jointly for our common future

## The Priority Axis 3

<p><b>Priority Axis 3:</b> Improvement of the Accessibility</p> <p>Objective is the promotion of coordinated preparation for the development of accessibility networks and the support of multi-modality</p>	<p><b>3.1. Improve coordination in promoting, planning and operation for primary and secondary transportation networks</b></p>	<p>Provision of tools and space for coordinated promoting, planning and operation for primary and secondary transportation networks.</p>
	<p><b>3.2. Develop strategies to tackle the “digital divide”</b></p>	<p>The support of joint initiatives to lessen the “digital divide” among states and regions especially where market failure is evident or expect</p>
	<p><b>3.3. Improve framework conditions for multi modal platforms</b></p>	<p>The support of multi –modal platforms and the promotion of alternative transport means (e.g. rail or sea compared to road) from the view of public interest</p>

Jointly for our common future

## The Priority Axis 4

<p><b>Priority Axis 4:</b> Development of Transnational Synergies for Sustainable Growth Areas</p> <p>Objective is to develop and implement integrated strategies for metropolitan areas and regional systems of settlements, work towards optimal polycentric structures in the Programme area and use cultural values for sustainable development</p>	<p><b>4.1. Tackle crucial problems affecting metropolitan areas and regional systems of settlements</b></p>	<p>Development, implementation and dissemination of concrete strategies and action plans to tackle crucial problems affecting metropolitan areas and regional systems of settlements, focusing mainly on spatial planning.</p>
	<p><b>4.2. Promote a balanced pattern of attractive and accessible growth areas</b></p>	<p>Elaborating integrated spatial and development strategies for strengthening functional regions as carriers of growth and competitiveness and providing partners with tools for the formulation of their role and for the formation of new partnerships within those areas.</p>
	<p><b>4.3. Promote the use of cultural values for development</b></p>	<p>Inclusion of cultural values as an integral part of the programme area in the planning and development processes of urban centres, systems of settlements and surrounding rural areas aiming at creating income and jobs.</p>

Jointly for our common future

## The Programme budget

	ERDF	Nat. Pub. Contr.	Total	%	IPA 2009
<b>P1. Facilitation of innovation and entrepreneurship</b>	44,051,157	7,773,734	51,824,891	85%	<b>4,333,383.80 EUR</b>
<b>P2. Protection and improvement of the environment</b>	53,739,828	9,483,499	63,223,327	85%	
<b>P3. Improvement of the accessibility</b>	55,160,834	9,734,265	64,895,099	85%	
<b>P4. Development of transnational synergies for sustainable growth areas</b>	41,338,329	7,294,999	48,633,328	85%	
					<b>228,576,645.00 EUR</b>

Jointly for our common future

## The “Gap Analysis”: the findings

<u>Status</u>	Submitted Eols	Eligible Eols	Invited Eols	Eligible AFs	Approved
<i>Overall</i>	809	615	95	71	40
<i>Rate</i>	100%	76.02%	11.74%	8.78%	4.94%
<b>ERDF req.</b>	<b>N.A.</b>	<b>957.842.479</b>	<b>168.674.925</b>	<b>128.753.792</b>	<b>76.628.855</b>
<b>Rate</b>	<b>N.A.</b>	<b>419%</b>	<b>74%</b>	<b>56%</b>	<b>34%</b>

Jointly for our common future

### The “Gap Analysis”: the findings

AoI	Title	ERDF Available*	ERDF Approved	Commitment rate
1.1	<i>Innovation networks</i>	15,191,836	8,109,707	53.38%
1.2	<i>Innovative entrepreneurship</i>	15,191,836	8,641,343	56.88%
1.3	<i>Pave the way for innovation</i>	13,667,485	2,000,000	14.63%
<b>P1</b>		<b>44,051,157</b>	<b>18,751,050</b>	<b>42.57%</b>

Jointly for our common future

### The “Gap Analysis”: the findings

AoI	Title	ERDF Available*	ERDF Approved	Commitment rate
2.1	<i>Water management</i>	13,434,957	10,335,937	76.93%
2.2	<i>Environmental risk</i>	13,434,957	6,409,089	47.70%
2.3	<i>Management of natural assets</i>	13,434,957	4,155,498	30.93%
2.4	<i>Energy and resource efficiency</i>	13,434,957	6,795,916	50.58%
<b>P2</b>		<b>53,739,828</b>	<b>27,696,440</b>	<b>51.53%</b>

Jointly for our common future

### The “Gap Analysis”: the findings

AoI	Title	ERDF Available*	ERDF Approved	Commitment rate
3.1	<i>Transportation networks</i>	19,532,360	3,444,710	17.64%
3.2	<i>Tackle digital divide</i>	18,886,451	1,624,646	8.60%
3.3	<i>Multimodal platforms</i>	16,742,023	4,162,071	24.86%
<b>P3</b>		<b>55,160,834</b>	<b>9,231,427</b>	<b>16.74%</b>

Jointly for our common future

### The “Gap Analysis”: the findings

AoI	Title	ERDF Available*	ERDF Approved	Commitment rate
4.1	<i>Crucial problems of metropolitan areas</i>	14,468,415	11,309,232	78.16%
4.2	<i>Promote a balanced pattern</i>	14,468,415	9,640,707	66.63%
4.3	<i>Promote cultural values</i>	12,401,499	0	0.00%
<b>P4</b>		<b>41,338,329</b>	<b>20,949,939</b>	<b>50.68%</b>

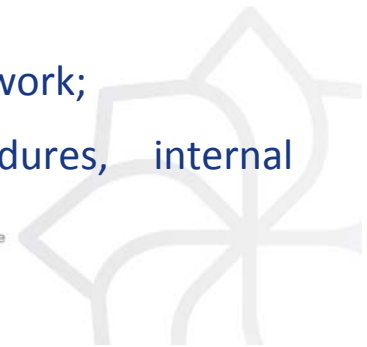
Jointly for our common future

### The “Gap Analysis”: the findings

A quality partnership had to demonstrate:

- well justified and balanced mix of countries, right mix of competences and experience offered by the partners involved;
- cooperative work made by the partners during the whole project’s life, with specific defined role for each of them and adequate allocation of financial resources;
- support of relevant EU/national bodies and network;
- clear management structures and procedures, internal communication and knowledge sharing.

Jointly for our common future



### The “Gap Analysis”: the findings

...combined with quality in the project’s contents, including:

- well defined analysis of problems/challenges, based on the results of previous projects and the specific features of the territories, producing SMART (**S**pecific, **M**easurable, **A**ttainable, **R**ealistic, **T**ime bound) objectives, in line with the Programme strategy, the Priority Axis and the Aol;
- clear transnational dimension/impact;

Jointly for our common future



### The “Gap Analysis”: the findings

- well designed, concrete activities, adequate to achieve the project objectives, timely, clearly located, realistically budgeted, tailored to the right target group, resulting in measurable, concrete, innovative and relevant outputs and results;
- balanced adequate budget, with consistent division by partner, work package, budget line and spending forecast;
- realistic and well prepared viability plans, fostering the uptake of the results by the relevant target groups and providing the political, administrative and financial sustainability for the produced results.

Jointly for our common future

### Strategy & methodology

- *Confirming the original SEE Programme strategy*: no budget shifts between Priorities/Areas of Intervention
- *Targeted*: open only to Aols exhausted less than 52% available budget: 1.3, 2.2, 2.3, 2.4, 3.1, 3.2, 3.3, 4.3
- *Focused*: aiming at “filling the gap” giving specific guidance for 2.2, 2.3 and 2.4
- *“Two-step” procedure*: learning and updating the 1<sup>st</sup> CfP

Jointly for our common future

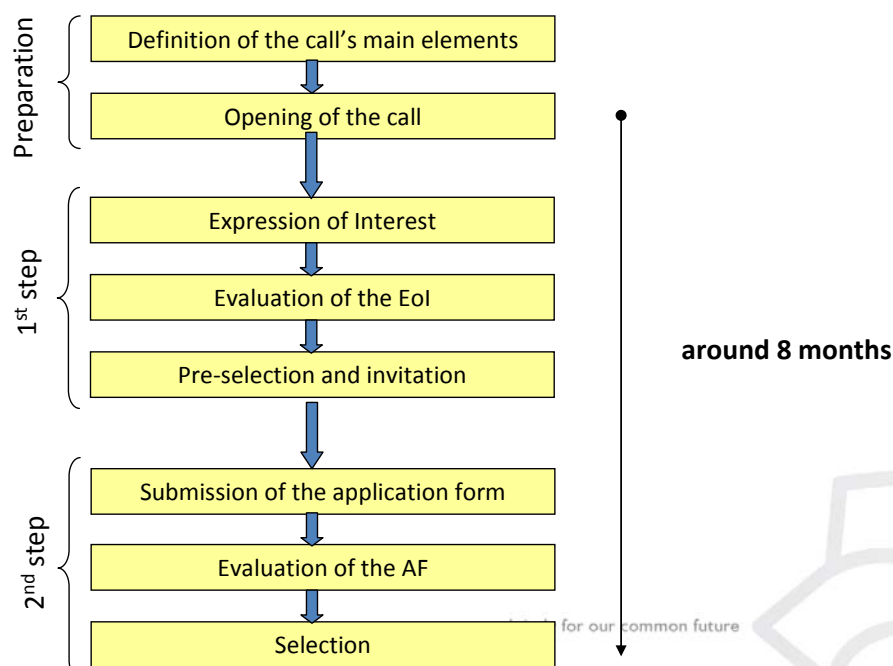
## Main documents

- *SEE Operational Programme (27.12.2007)*
- *SEE Programme Manual (MC approval 25.09.2009)*
- *SEE Applicants' Guidelines (MC approval 25.09.2009)*
- *SEE Call Announcement (MC approval 25.09.2009)*
- *SEE Expression of Interest (MC approval 25.09.2009)*

Jointly for our common future



## Step by step



around 8 months

for our common future



### Enhance the framework conditions and pave the way for innovation

The purpose of this AoI is primarily to set up exchange and coordination mechanisms for research, technology and innovation approaches and policies (governance aspect) *[strengthen the institutional framework supporting innovation]* and to increase public awareness on the importance of technological progress and innovation developed through transnational actions in the area (awareness aspect) *[develop an image where innovation can happen and where it takes place; understanding and engagement of public]*

Jointly for our common future

### Improve prevention of environmental and technological risks

The Programme is expecting the generation of concrete projects which will develop policies, plans and systems for the joint prevention of environmental risks both natural or imposed or accelerated by human activities while facilitating the exchange of information and coordination of activities in cases of emergency along with the rehabilitation of affected areas and risk sources and mitigation and prevention measures, integrated cross-sectoral activities for reducing risks.

In this second call for proposal, particular attention should be paid to conversion of brown fields and transportation of dangerous goods, rehabilitation of polluted soils.

Jointly for our common future

### Promote cooperation in the management of natural assets and protected areas

The Programme is expecting the generation of concrete projects which will address the need for the implementation of the relevant EU legislative framework, developing and implementing management plans for natural/semi-natural and protected areas of transnational interest which might also include actions to foster their development and actions promoting sustainable tourism.

In this respect, particular attention should be paid also to maritime/lake basin natural areas and to proposals addressing the demand for know-how transfer and the development of skills for the better management of natural assets and protected areas.

Jointly for our common future

### Promote energy and resource efficiency

The Programme is expecting the generation of concrete projects which will support the adoption of renewable energy policies, resource efficiency (namely sustainable consumption and production) policies and technologies, reduction of greenhouse gas emissions and the movement to a recycling society.

Furthermore, proposals should exploit the capitalisation of results of previous projects implemented at a national and European level (especially Intelligent Energy Europe) and with a strong focus on the transnational aspect of the management of renewable energy sources.

Jointly for our common future

### Improve coordination in promoting, planning and operation for primary and secondary transportation networks

The transnational cooperation should generate concrete projects, which will contribute to the creation and strengthening of networks for the coordinated development of transport connections and corridors and the elaboration of concrete action and financing plans for network development. The projects should also offer room for environmentally friendly transportation and the joint management of networks.

Jointly for our common future



### Develop strategies to tackle the “digital divide”

Transnational cooperation should generate concrete projects which will contribute to the accessibility of territories, information and services via ICT, as substitute for and supplementing physical accessibility, for local and regional authorities and public services, through concepts of public and private partnerships, the collaboration of public authorities and scientific institutions in the development of public services, the interoperability and the harmonisation of information systems

Jointly for our common future



### Improve framework conditions for multi-modal platforms

The transnational cooperation should generate concrete projects, which will contribute to the development of multi-modal concepts and action plans, foster agreements for the promotion of multi-modality and support the development of tools and systems for the facilitation of multi-modal platforms.

Jointly for our common future



### Promote the use of cultural values for development

Transnational action should support joint conservation and the utilisation of cultural values as a development factor and a resource for sustainable tourisms.

Projects should make sure that the action undertaken contributes to developing the endogenous potential and generates directly or indirectly income and jobs.

Jointly for our common future



- SEE Programme Manual
- Call announcement
- JTS Project Manager

### Priority 1

Stephen Halligan

[\(halligan@southeast-europe.net\)](mailto:halligan@southeast-europe.net)

### Priority 2

Alessandra Pala

[\(pala@southeast-europe.net\)](mailto:pala@southeast-europe.net)

### Priority 3

Roberta Calcina

[\(calcina@southeast-europe.net\)](mailto:calcina@southeast-europe.net)

### Priority 4

Kirill Dimanopulosz

[\(kirill@southeast-europe.net\)](mailto:kirill@southeast-europe.net)

Jointly for our common future



### Main elements

#### *First Step*

- More developed and demanding Expression of Interest (Eoi);
- Eligibility checks limited to the minimum required
- Quality partnership/contents focused selection criteria
- Only electronic submission

Jointly for our common future



## Main elements

### *Second Step*

- Largely similar to the 1<sup>st</sup> Call for Proposals (in terms of contents)
- Complete formal/eligibility checks with higher degree of LP/PP responsibility
- Wider and deeper selection criteria
- Electronic submission confirmed by paper version

Jointly for our common future



## Who can apply?

### ERDF:

- Public bodies
- Bodies governed by public law
- Bodies governed by private law

Jointly for our common future



## Who can apply?

### **Bodies governed by public law:**

- a) they are established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character;
- b) they have legal personality; and
- c) they are financed, for the most part, by the State, regional or local authorities, or other bodies governed by public law; **or** subject to management supervision by those bodies; **or** having an administrative, managerial or supervisory board, more than half of whose members are appointed by the State, regional or local authorities, or by other bodies governed by public law.

Jointly for our common future



## Who can apply?

### **Bodies governed by private law:**

- a) they are established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character;
- b) they have legal personality; and
- c) they are financed, for the most part, by the State, regional or local authorities, or other bodies governed by public law; **or** subject to management supervision by those bodies; **or** having an administrative, managerial or supervisory board, more than half of whose members are appointed by the State, regional or local authorities, or by other bodies governed by public law.

Jointly for our common future



## Who can apply?

### **Bodies governed by private law:**

- a) they are established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character;
- b) they have legal personality; and
- d) they make available the results of the project to the general public;
- e) they apply the principles of public procurement.

Jointly for our common future



## Who can apply?

### **Bodies governed by private law (infrastructure and transport operators):**

- a) they are established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character;
- b) they have legal personality; and
- d) they make available the results of the project to the general public;
- e) they apply the principles of public procurement

**FOR PRIORITY 3 only: Improvement  
of accessibility!**

Jointly for our common future



## Sort and role of Partners

**Financing Partners:** being directly financed by the Programme (by ERDF or IPA) and bearing full responsibility for their budget

**Associated Strategic Partners:** being not directly financed by the Programme but – eventually – “sponsored” by an ERDF Partner that is bearing the responsibility for their participation to the project. Associated Strategic Partner (ASP) in the SEE is an organisation whose participation is considered as crucial for the added value given to the partnership

Jointly for our common future

## Sort and role of Partners

	Sort of Partner	Location	Does it have a separated budget?	ERDF budget lines	IPA budget lines	Partner eligibility rules
Financing Partners	<b>LEAD PARTNER</b>	Only EU part of the Programme area	Yes	All	No	Applicable (see section 3.2.1)
	<b>ERDF PARTNER (Project Partner)</b>	Only EU part of the Programme area	Yes	All	No	Applicable (see section 3.2.1)
	<b>20% ERDF PARTNER (Project Partner)</b>	Only EU outside the Programme area	Yes	All	No	Applicable (see section 3.2.1)
	<b>IPA FINANCIAL LEAD PARTNER</b>	Only Albania, Bosnia and Herzegovina, Croatia, the former Yugoslav Republic of Macedonia, Montenegro, Serbia	Yes	No	Yes	Applicable (see chapter 5)
	<b>IPA PARTNER</b>	Only Albania, Bosnia and Herzegovina, Croatia, the former Yugoslav Republic of Macedonia, Montenegro, Serbia	Yes	No	Yes	Applicable (see chapter 5)
Associated Strategic Partners	<b>EU ASSOCIATED</b>	Only EU Partners within the Programme area	No (it's part of a "sponsoring" ERDF PARTNER budget)	Only TRAVEL and ACCOMODATION	No	Applicable as ERDF (see section 3.2.1)
	<b>EU ASSOCIATED 20%</b>	Only EU Partners outside the Programme area	No (it's part of a "sponsoring" ERDF PARTNER budget)	Only TRAVEL and ACCOMODATION	No	Applicable as ERDF (see section 3.2.1)
	<b>10% PARTNER</b>	Only Albania, Bosnia and Herzegovina, Croatia, the former Yugoslav Republic of Macedonia, Montenegro, Serbia, Republic of Moldova, Ukraine	No (it's part of a "sponsoring" ERDF PARTNER budget)	Only EXTERNAL EXPERTISE and SERVICES; and TRAVEL and ACCOMODATION	No	Applicable as IPA (see chapter 5)
	<b>OBSERVER</b>	No limitation	No (Observers do not receive any financial support)	No	No	<b>Not applicable</b>

Jointly for our common future

### Some features: 10% ERDF flexibility rules

It can be considered for the involvement of two sorts of partners:

- ERDF LP or ERDF PP: in case of expenditure incurred for the implementation of a project or part of it in countries outside the EU, part of the Programme area;
- non EU PP of the programme area (10% Partner): for the implementation of specific activities of the project, not financed by IPA resources in the same project.

Jointly for our common future



### Some features: 20% ERDF flexibility rules

Bodies located within the EU but outside the programme area can be involved in the projects in two different ways, depending on the project structure:

- involvement of the partner as Financing Partner (20% ERDF Partner) with separate budget and related financial responsibility;
- involvement of the partner as strategic partner in the form of Associated Strategic Partner (so called EU Associated 20%), without separate budget but significant strategic role within the project.

Jointly for our common future



## Money, money, money

- no specific budget restrictions at project level...
- the ERDF co-funding is based on public contribution only!
- IPA and ERDF contribution is 85%
- budget allocated for the call as following...



ERDF*	EU 8	Max 50.000.000
IPA	Albania	600.000,00
	Bosnia and Herzegovina	888.788,80
	Croatia	400.000,00
	former Yugoslav Republic of Macedonia	506.680,00
	Montenegro	673.632,00
	Serbia	1.264.283,00

\*the allocation is indicative and not binding

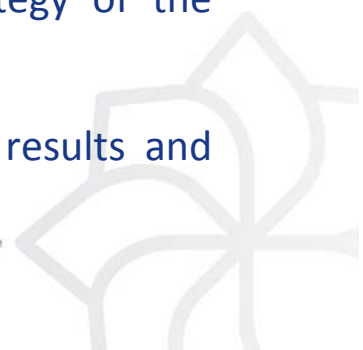
Jointly for our common future



## Features of good projects...

- Transnationality
- Partnership targeted towards the objectives of the project
- Addressing already approved international/transnational documents, treaties, conventions and strategies
- Internal and external communication abilities
- Consistency with the objectives and strategy of the Programme
- Cross-sectoral and integrated approach
- Clear definition of the expected outputs/ results and their use and transferability
- Sound budget planning

Jointly for our common future



### Involvement of IPA participants...

IPA Partners are contributing to the quality of the projects and the Programme as a whole, but

- Good communication between the ERDF Lead Applicant and IPA participants is necessary for a successful proposal
- ERDF Lead Applicants should involve IPA participation based on the real requirements of the project
- ERDF Lead Applicant should take into consideration the experience and field of expertise of the IPA participants

Jointly for our common future



### IPA participants: some suggestions

- The ERDF partners should carefully consult the potential IPA PPs on eligibility. In case there is more than one IPA PP and one is ineligible the IPA contract for that country will not be eligible, which might hinder the quality of the project.
- In case more than two PP (either ERDF or IPA) are not eligible or are rejected for other eligibility reasons, **the full proposal is considered as not eligible**. Therefore, IPA Partners' eligibility should be carefully checked before involving them.

Jointly for our common future



**We wish you a succesfull cooperation!**

SEE Joint Technical Secretariat  
[jts@southeast-europe.net](mailto:jts@southeast-europe.net)

Jointly for our common future

