

Alpine Space programme

Project implementation handbook

14 | 20





Introduction

Dear reader,

This "Project implementation handbook" has been made to provide the (potential) project participants with all the information needed to develop, implement and close a project within the Alpine Space programme. This handbook is a handy tool designed as a collection of fact sheets with concise information and guidance on the different aspects to be observed during each phase of the project life cycle.

However, this handbook does not replace any other documents, and we invite participants to study carefully the cooperation programme, the EU-structural funds regulations and other relevant information provided by the Partner State in which the respective project participants is situated.

This handbook is meant to be interactive: simply tick the fact sheet which is of interest for you and the respective document will automatically be opened. If the fact sheets would be updated by the programme, an announcement will then be published on the programme's website and the new version made available for download at www.alpine-space.eu, with indication of the new date of publication in the footer.

We hope you will find this handbook useful and wish you a successful implementation of your Alpine Space project!

Managing authority and joint secretariat

February 2015



Table of Contents

1. [Project generation & application](#)

Fact Sheet 0.0: Quality requirements and contents

Fact Sheet 1.1: Project generation

Fact Sheet 1.2: Who can participate

Fact Sheet 1.3: Funding principle

Fact Sheet 1.4: What can be co-financed? The programme's eligibility rules

Fact Sheet 2.1: Project application: the two-step application procedure

Fact Sheet 2.2: National requirements

Fact Sheet 2.3: Project selection: procedure and criteria

Fact Sheet 2.4: Project net revenues

Annexes

FS 2.1 annex 1: Technical guidance online application system

FS 2.1 annex 2: Guidance for EoI and AF

2. [Contractual arrangements](#)

Fact Sheet 3.1: Partnership agreement

Fact Sheet 3.2: Subsidy contract

Fact Sheet 3.3: Decommitment of funds

Fact Sheet 3.4: Resolution of complaints

Annexes

FS 3.1 annex 1: Partnership agreement template – ERDF LP

FS 3.1 annex 2: Partnership agreement template – MS LP

FS 3.2 annex 1: Subsidy contract template – MS LP

FS 3.2 annex 2: Subsidy contract template – ERDF LP

3. [Project implementation](#)

Fact Sheet 4.1: First level control manual

Fact Sheet 4.2: Public procurement

Fact Sheet 4.3: State aid

Fact Sheet 4.4: Project communication

Fact Sheet 4.5: Ownership of project outputs and intellectual property rights

Fact Sheet 4.6: Project changes



- Fact Sheet 4.7: Project reporting
- Fact Sheet 4.8: Project greening
- Fact Sheet 4.9: Project management

Annexes

- FS 4.1 annex 1: Technical guidance online first level control system
- FS 4.1 annex 1.2: FLC guidance for sitting ducks
- FS 4.2 annex 1: Procurement documentation, guidance for public project partners
- FS 4.2 annex 2: Template purchase form for private project partners
- FS 4.3 annex 1: Template de minimis aid declaration
- FS 4.7 annex 1: Guidance for reporting
- FS 4.7 annex 2.1: Project assignment template
- FS 4.7 annex 2.2: Project assignment guidance
- FS 4.7 annex 3.1: Six monthly task report template
- FS 4.7 annex 3.2: Six monthly task report guidance

4. **Project closure**

- Fact Sheet 5: Project closure

Annexes

- FS 5.0 annex 1: Template and guidance of the project final report



FactSheet

No. 0

Quality requirements and contents

Background

This factsheet provides potential project applicants with practical guidance and illustrations to better understand the programme's expectations towards quality project proposals.

The first part outlines the programme's expectations for quality partnerships, the result orientation focus and how projects can impact policy making by positioning themselves in the "policy cycle". The programme's intervention logic as a key element to structure the projects set up and aligning them to the programme is further explained. All elements developed in this first part are to be understood as transversal and applicable for all project proposals.

The second part of the factsheet explains the contents of the four programme priorities. Here, in addition to the information given in the Alpine Space cooperation programme (CP), project applicants find guidance on main topics of transnational cooperation per programme specific objective. This chapter does not replace the Alpine Space CP but illustrates in a practical approach the rationale of each specific programme objective.

For examples of already approved projects please check out the programmes' website and the [KEEP](#) database on European level.



Table of content

Required features for quality projects..... 2

Transnational approach..... 2

Project Partnership..... 2

Result’s durability and transferability..... 3

Impact on the policy cycle 3

The programme intervention logic 7

Most common reasons for a project application failure 12

Thematic Content 14

Priority 1: Innovative Alpine Space 14

Priority 2: Low Carbon Alpine Space 17

Priority 3: Liveable Alpine Space 20

Priority 4: Well-Governed Alpine Space..... 23

Required features for quality projects

Transnational approach

The projects shall clearly demonstrate why and how the transnational approach adds value in tackling the defined topics. The genuine transnational character and the transnational added value shall be explained, as well as in how far the challenges addressed and the solutions proposed are answering a need identified in the CP and/or in other supranational documents. It shall be explained why the transnational level is the right level to address the issue tackled by the project, compared to the national, regional or local levels. The benefits and advantages of a transnational approach for the project and for the planned objectives must be clearly demonstrated.

Project Partnership

The minimum number of participants which a project shall have is four, coming from at least four different Partner States of the programme. The size of partnership shall not exceed a total of 15 project participants, including the lead partner and non-EU partners. However, projects shall consider that it is not the number of



partners that makes a project good but the appropriateness and relevance of the partners and the quality of the partnership.

The project shall demonstrate that the partnership includes key/competent actors able to address the defined project objectives. It must also be balanced in terms of geographical coverage and between relevant sectors and administrative levels (e.g. sector-specific expertise, multi-level and multi-sectorial composition). The partnership should enable knowledge transfer and capitalisation of project results for relevant groups (business, practitioners, academia or administrations). The involvement of representatives of key target groups as partners is an asset.

Relevant stakeholders shall already be involved in the preparation phase of the project proposal to ensure shared project ownership and a project set up addressing demand in terms of needs and supply. Those stakeholders could join the partnership as project partners or as observers (see factsheet 1.2 Who can participate).

Result's durability and transferability

The project shall ensure that its outputs are specific, measurable, realistic, durable and transferable. The project's outputs and results should be clearly linked to the identified target group's needs and should bring an added value on the existing.

The long term use of the project results and the expected impact on target areas (geographically and thematically) and target groups, shall be made explicit. The stakeholders for whom the tackled problem, the intended solutions and proposed project results are relevant shall be clearly identified. A strategy for their involvement, already in the project preparation phase, but also during project implementation shall be foreseen. Further, concrete and solid measures demonstrating that the long term use of project results by the identified target groups is secured shall be planned.

Impact on the policy cycle

Alpine Space projects shall be result oriented and produce impacts on policy making, in fields where the programme is active. In this context policy making is not a project but a process that is ideally looked at as of cyclical nature. The policy cycle represents the development of a policy item, from its inception (policy formulation) to implementation. Because the context is continually changing, policies have to be reviewed and reshaped occasionally on the basis of the impact they produced.



Three types of projects according to their objectives and nature of activities and therefore their positioning in the policy cycle have been identified in the ASP:

- Strategic policy development: analytical and research activities involving e.g. policy owners;
- Explorative and piloting activities: development of new tools or methodologies and their testing to find most appropriate means for strategy implementation;
- Policy implementation: focus on fully developed instruments for the concrete implementation of a policy.



Graph 1: The policy cycle

- **Projects with a focus on strategic policy development**

These projects focus on rather general analytical and research activities. Their aims are strategic and include long-term rather broad impacts. Results expected from this type of projects relate to policy analysis, agenda setting and strategy development.

- **Projects with a focus on explorative and piloting activities**

These projects work in a defined thematic strategy and have a focus on the development of new tools or methodologies (e.g. problem-specific models or scenarios) and their testing. They focus on increasing and developing knowledge and know-how, as well as on gathering and exchanging experience at a transnational level in specific thematic fields. Successful pilot activities (implemented in close cooperation with stakeholders/beneficiaries) are crucial for these projects when it comes to the application and testing of know-how and experience. Results expected from this type of projects are very specific to the thematic field and still represent an important input towards a mature policy.



- **Projects with a focus on policy implementation**

These projects aim to improve and develop existing policies with instruments ready for implementation. In this case, projects provide additional tools or improve/harmonise existing ones through their transnational approach. At this stage of the policy cycle, projects are developing (together with policy makers) the existing legal framework and other planning instruments at a transnational level. Results expected from these projects are very concrete and also support future policy development.

Positioning projects in their policy context

The projects should be aware of the policy context in their field of activities. When developing a project idea it might be helpful to reflect on the following questions:

What is the policy background and status? How is the profile of policy development and what are the (project) challenges? Are there already achieved agreements (on national or transnational level)? Being aware of all this will directly influence the factors such as the set-up of the partnership, the structure of the project and the type of the transnational problem that is tackled (political, financial, technical).

The structure of the partnership and its consistency must be carefully assessed. Which is the institutional role of the partners in the specific policy field addressed? What is the relevance of the partnership and the ability and know-how of the partners to perform joint transnational actions and achieve the expected results? These are questions projects must ask themselves.

Projects will usually address one phase of the policy cycle mainly. In many cases even two phases will be covered (e.g. from strategy policy development to piloting), however, covering the three phases of the policy cycle within a three years project is not realistic.

Depending on the type of project, its position in the policy cycle and on which phase of this cycle it aims to impact, different types of tasks and activities can be fulfilled/set and different conditions should be met in order to successfully contribute to the respective phases of the policy cycle.



Project type	Tasks and activities	Conditions for policy development
1. Strategic policy development	<p>Policy agenda setting:</p> <ul style="list-style-type: none"> • Research • Lessons for decision makers on necessary activities • Negotiation and consensus building 	<ul style="list-style-type: none"> • Involvement of policy makers • Involvement of researchers (e.g. universities, education, training and technological and scientific research centres) • Involvement of the business community (e.g. organisations representing enterprises and especially SMEs) • Participation of civil society • Politically active networks/project partnerships (e.g. NGOs and NPOs in the fields of environment, water management, natural resources management and hazards control management) • Awareness rising
2. Exploration / piloting	<p>Policy formulation/testing:</p> <ul style="list-style-type: none"> • Selection of policy • Consensus building • Integrated approaches • Concrete pilot activities 	<ul style="list-style-type: none"> • Leadership and common political understanding • Identification of needs and political will • Specific know-how and competence in the project partnership • Relevant stakeholders involved assessing usefulness and applicability of project activities • Participation of civil society • Clearly aligned information and dissemination activities
3. Policy implementation	<p>Joint planning:</p> <ul style="list-style-type: none"> • Integrated regulations • Implementation tools/solutions • Transnational agreement 	<ul style="list-style-type: none"> • Clear policy framework • Involvement of key stakeholders and policy makers • Specific know-how and competence of the project partnership • Politically active networks/project partnerships



The programme intervention logic

Europe 2020 Strategy and Common Strategic Framework

In 2010 the European Commission (EC) proposed a 10-year growth strategy to become a smart, sustainable and inclusive economy, so called Europe 2020 Strategy. To achieve these goals a strong coordinated approach across EU funds and policies was identified as essential for the financial period 2014-2020 (so called thematic concentration). To establish a better link between the strategic policy framework and the use of EU funds and to ensure a more focused and result oriented approach by programmes and projects, the EC provided regulations for the Structural Funds 2014-2020 with a common strategic framework and the concept of intervention logic. The intervention logic presents causal relationships between the strategic policy framework, its implementation through the means of funding programmes and the impacts of concrete projects in the territory.



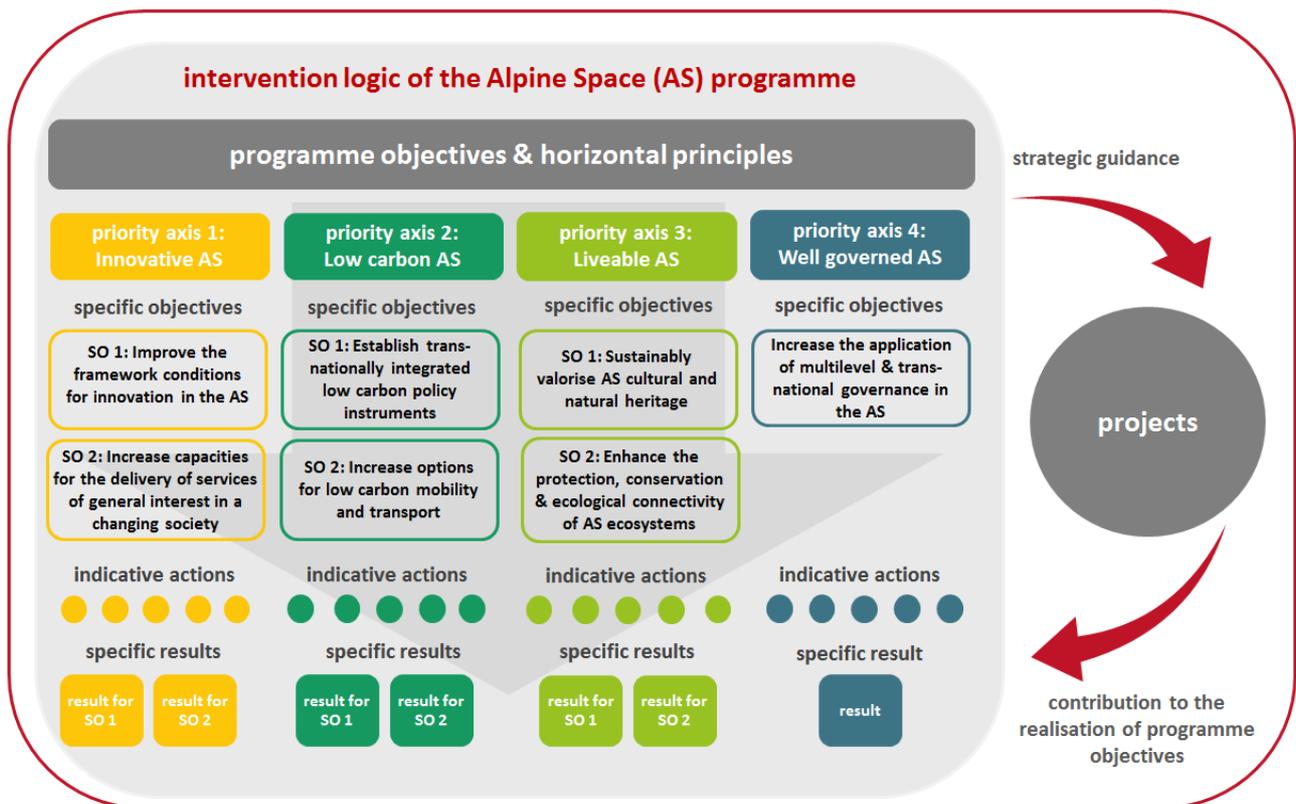
Graph 2: Strategic Framework 2014-2020 for INTERREG programmes

In general each INTERREG programme should show which changes it wants to achieve for its inhabitants and how the programme will reach these changes. This strategic backbone of the programme needs to be agreed among the Partner States participating in the programme and is written down in the CP. The intervention logic represents an essential part of the CP.



Alpine Space programme intervention logic

According to the European strategic and legal framework the Alpine Space programme derived its strategy/programme objectives from the needs and challenges of the Alpine Space as defined in the strategy development process⁽¹⁾, which lasted from mid of 2011 to mid of 2013, a SWOT-analysis⁽²⁾ and a public consultation. On this basis four thematic objectives were identified which were transferred into the four priority axis of the Alpine Space programme in which projects can be co-financed. The following graph shows the priority axis and their specific objectives of the Alpine Space programme.



Graph 3: Priority axis and specific objectives of the Alpine Space programme

To fulfil the result-orientation approach for each priority axis specific objectives and their expected results were defined. In addition for each specific objective indicative actions were formulated to demonstrate possible ways for projects to contribute to the expected outputs and results. To measure the change brought by projects in this period the programme output and result indicators were defined. Detailed information on

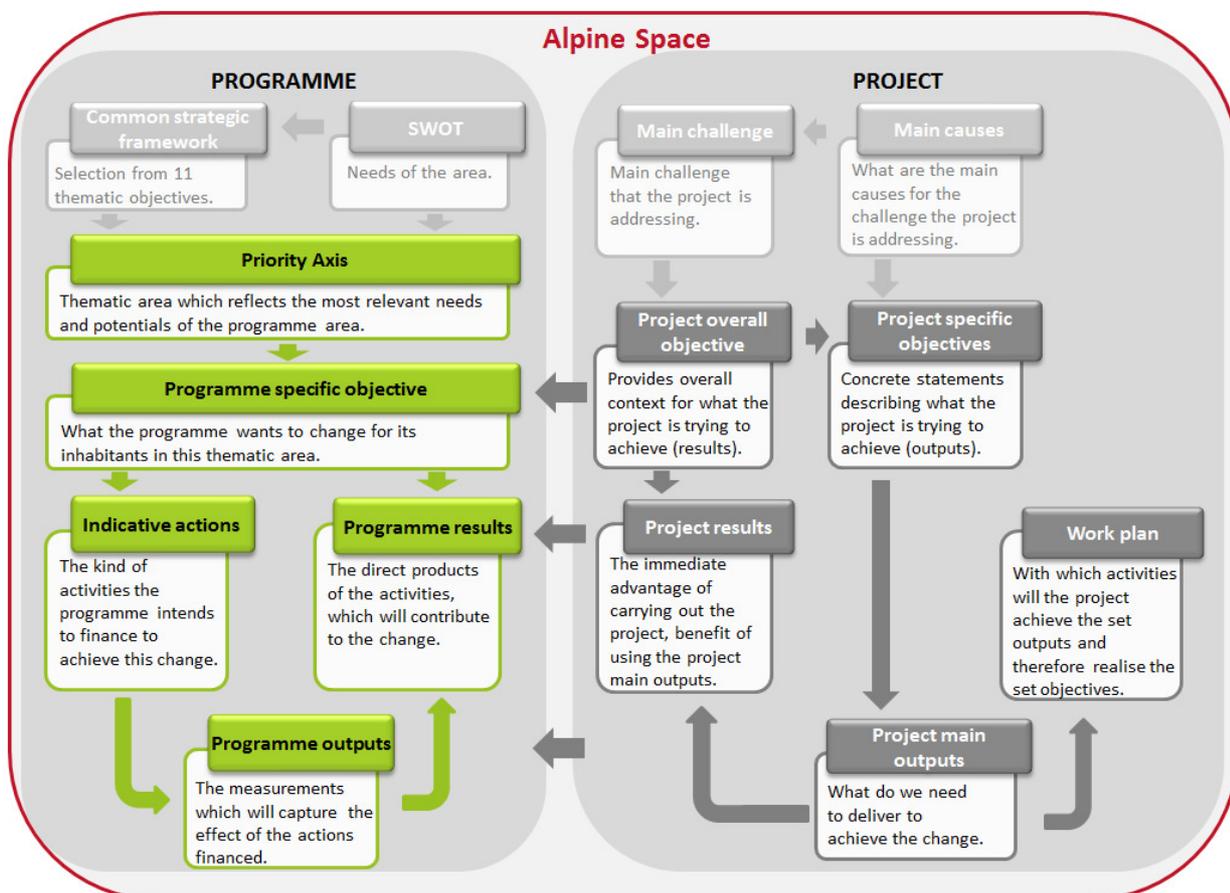
¹ Results of this process are summarised in the [Strategy development for the Alpine Space Final report](#)
² [Cooperation programme "Alpine Space"](#) page 10-15



the intervention logic, especially outputs and result indicators for each priority and specific objective can be found in section 2 of the CP and on the second part of this document.

Linking programme and project intervention logic: how shall projects contribute to the programme objectives?

In order to achieve the results as set in the CP, the principles of "thematic concentration" and "results orientation", promoted by the EC, need to be followed also in the project proposals. While the intervention logic of the Alpine Space programme is set in the CP, the intervention logic of the projects is outlined in the expressions of interest and described in detail in the application form.



Graph 4: How to plan the project intervention logic



Main challenge to be addressed

The project idea always starts with the identified need or challenge that is considered transnational and commonly shared in the programme area.

Project overall objective

The project overall objective provides the overall context of what the project intends to achieve, and aligns to a programme priority specific objective. It relates to the strategic aspects of the project.

After the main challenge is set, the applicants identify the main cause for this challenge (problem), which is common to different regions in the area. By turning this cause in a positive statement, the overall project objective is formed and the main change (result) the project wants to achieve - in relation to the identified challenge - is set. At this point the applicants have to check the CP and see to which priority the project proposal fits thematically and what kind of actions, outputs and results the programme plans under the selected priority. After this step some applicants might realise that the Alpine Space programme is not the right programme for what they want to achieve, or they might reconsider the challenge addressed and the overall project objective.

If the Alpine Space is indeed the right programme to address the issue, then the applicants should choose a programme priority specific objective to which the project contributes and describe how it will contribute to it. It is important to secure consistency between project objectives and programme priority objective.

Project results

A project result is the immediate advantage of carrying out the project, telling us about the benefit of using the project main outputs. It should indicate the change the project is aiming for. It contributes to the programme result indicator.

Considering the project overall objective the project results should be defined. It should be specified what the immediate advantage of carrying out the project will be for the programme area, especially as regards the improvement of the identified challenge (problem) the project is tackling.

Again the applicants should consult the CP. For each programme priority specific objective there is an expected result indicator set. So by choosing a programme specific objective, the project automatically chooses also the related programme result indicator and this is the result the project should contribute to. Results often materialise only after the project closure, however the project shall demonstrate the direct link



between programme and project results, possibly also indicating to what extent it will contribute to the programme result.

Project specific objectives

The project specific objectives are a concrete statement describing what the project is trying to achieve. They refer to the project main outputs. It can be evaluated at the conclusion of a project to see whether it was achieved or not.

To break the overall project objective in specific objectives, the applicants should go back to the main cause of their challenge and break it down to the main reasons behind it. Again they transform them into positive statements and by doing so, the specific objectives are formed. These objectives will naturally contribute to the project overall objective, because they are solving the reasons behind the main cause of the challenge. The projects should plan up to three specific objectives, which should be carefully chosen in order to capture what the partnership aims to do. Project specific objectives should be realistic and planned in a way that it is possible to achieve them with the given project means (available budget, project duration, number of partners, area covered).

Project main outputs

The project main output is the outcome of the activities co-financed, telling us what has actually been produced for the money given to the project. It can be captured by a programme output indicator and directly contributes to the achievement of the project result.

After defining the specific objectives, the applicants need to think about which main outputs need to be planned to lead towards the achievement of the specific objectives during the project implementation. Preferably it should be also possible to measure the achievement of the specific objectives with project main outputs.

The main outputs have to be quantified

A clear link to the programme intervention logic needs to be established. In the CP there are programme output indicators set for each objective. In the application form, the projects have to link the project and programme outputs and also set the target values the project will achieve until the end of its implementation. Each project main output should be defined in a way that it can be captured by a programme output indicator and that it directly contributes to the achievement of the project result.



Work plan

A work package is a group of related project activities required to produce project main outputs. An activity is a specific task performed for which resources are used. It's a work package component which may or may not result in a deliverable or an output. A deliverable is a side-product or service of the project that contributes to the development of a project's main output. Deliverables are planned in the application form and reported in the progress reports.

Project objectives, results and outputs have to be logically linked to the project work plan (work packages, activities, time plan). The project work plan shall explain what needs to be done to deliver project main outputs and achieve project specific objectives. During the process of work plan development it might turn out that one or the other main output needs to be redefined.

The work plan is divided in several work packages, which are broken down into activities. The number of work packages should be limited to five content related ones to encourage projects to be focused. Additionally each project shall have three obligatory work packages (preparation, management and communication). The number of activities, however, is unlimited.

A side-product of the project that contributes to the development of a project main output can be listed as a deliverable of an activity in the work package, however not every activity has to have a deliverable.

Most common reasons for a project application failure

There are a few of good reasons why a project application could fail. The evaluation of proposals is based on the eligibility and selection criteria, which are given in the factsheet 2.3 Project selection: procedure and criteria. The most common pitfalls when setting up a proposal and building a partnership are listed are the following:

- Strategies on different levels (EU/macro-regional/national/regional) to which the proposal is contributing are mentioned in the proposal, but the proposal does not manage to establish any direct link through the planned outputs and partnership, therefore the contribution of the proposal to these strategies could only be very limited;



- The transfer of results to the policy level is not demonstrated; the policy level is not involved in participating countries in order to ensure the transfer of results and to influence the present situation at a transnational level;
- The proposal follows a local, regional or cross-border approach – no added value of a transnational project setup is developed;
- The partnership is geographically very unbalanced (most actors from the same country) or is very limited in terms of covered programme area;
- The partnership does not involve a critical mass of relevant thematic, sectoral and institutional actors to significantly influence the situation in the cooperation area;
- The projects results are not durable, i.e. they do not remain in use after the project end;
- The proposal does not foresee the transfer of achieved results during project implementation into stable, permanent structures; the results are only produced for the partnership and are not designed to be transferred and applied outside the project partnership;
- The proposed outputs, results and partnership show a too scientific approach and are lacking an applicative dimension;
- The proposed objectives, outputs and results do not cover the specific programme objectives of the Alpine Space programme; the programme's intervention logic is not followed.



Thematic Content

The programme builds on four thematic priorities of particular relevance to the Alpine region. These are further broken down into specific objectives and respond to the programme area's challenges and needs or build on opportunities identified in the analysis included in the CP.

As a general principle, applicants should elaborate a project proposal fitting into the specific context of the Alpine Space cooperation area. In other words projects shall check whether the Alpine Space programme is best suited to support them in tackling the challenge they want to address. Does the project fit in the programme? Does it bring added value to it?

The following part illustrates each priority specific objective, as regards the expected results and the main topics of cooperation (for both lists not exclusive). It has to be read in addition to the relevant chapters of the CP and does not replace it.

Priority 1: Innovative Alpine Space

Objective and available budget

The first priority of the Alpine Space programme 2014-2020 is about enhancing the innovation capacities in the Alpine region. Projects supported under this priority will have to contribute to one of the following specific objectives (SO):

- Improve the framework conditions for innovation in the Alpine Space;
- Increase capacities for delivery of services of general interest in a changing society.

The Alpine Space programme will dedicate EUR 37.32 million ERDF to this priority, corresponding to 32% of the total programme ERDF, with an estimated number of 19 projects to be implemented.



Expected results

SO 1: Improve the framework conditions for innovation in the Alpine Space

- Development of a favorable environment for the innovation players (e.g. universities, research centers, enterprises): improved governance, enhanced legal, economic, administrative and organisational framework, fit for purpose policy solutions, etc...;
- Increased knowledge transfer between academia, administration, business and end-users of the area (quadruple helix approach);
- Enhanced potential for business innovation using research results on topics of Alpine Space importance, e.g. building innovation on the traditional economic sectors or exploiting the opportunities of new, innovative market fields like the green economy and clean technologies;
- Established operating mix of delivery instruments (e.g. financial engineering tools, R&D grants, etc.) to support innovation;
- Established operating system of monitoring and evaluation that specifically targets innovation.

SO 1 programme specific result indicator: Level of maturity of framework conditions for innovation for generating innovation processes among business, academia and administration.

SO 2: Increase capacities for delivery of services of general interest in a changing society

- More efficient, adaptable and adequate services of general interest of comparable quality in the entire Alpine Space;
- Improved accessibility to services of general interest in the cooperation areas;
- Strengthened capacities for regional/national administrations in charge of delivering services of general interest for better design, uptake and diffusion of social innovation;
- Increased integration of social innovation issues in the regional/national strategy on innovation;
- Strengthened active role of social enterprises and third sector in the governance and delivering of services of general interest.

SO 2 programme specific result indicator: Level of capacity of social organisations and public authorities to deliver innovation in the field of social services and services of general interest through transnational networking



Main topic of cooperation

SO 1: Improve the framework conditions for innovation in the Alpine Space

- Implementation of common analysis and identification of innovation resources and obstacles as a base for further action;
- Coordination, evaluation and monitoring of multi-level and transnational innovation strategies and capacity building on innovation in topics of Alpine Space importance (e.g. climate change vulnerability, risk management, socio-demographic change and ageing society, transport, energy and air pollution, water, forests, tourism, barrier free accessibility and health services, valorisation of environmental goods, traditional activities, natural and cultural heritage, creative industries, eco-innovation and smart technologies, resource efficiency and green growth etc.). If focus is not put on innovation in the listed topics, proposal should apply in the relevant thematic priority;
- Improvement of the governance for innovation through coordination of the relevant players, better definition of the roles and competences at national/regional level and the active involvement of all relevant stakeholders (e.g. universities, research, private business, social actors, etc.). Creation of innovation visions for the Alpine Space based on innovation policy foresight;
- Promotion of the Alpine Space as a model region (e.g. for the green economy, green public procurement);
- Support to the development of (meta) clusters, networks for innovation and open innovation;
- Development of instruments for supporting innovation or generating innovation processes.

SO 2: Increase capacities for delivery of services of general interest in a changing society

- Development, testing and adoption of new social innovation solutions. This can be achieved through raising the awareness and understanding among the national and regional decision makers on the potentials of social innovation related to the services of general interest;
- Development and use of new concrete tools and instruments in the delivery of services of general interest and for supporting social innovation and enhancing capacities;
- Development of models for business, social and public innovation to deliver more efficient, adaptable and fit for purpose services of comparable quality;
- Setting up of action plans for social inclusion at different scales, and better participation of concerned social groups and users to the conception and the offer of social services and services of general interest;
- Implementation of capacity building and training for innovation for social services and public authorities (e.g. developing common standards, developing qualifications, promote exchange of information);



- Support social innovation, especially in the fields of social services and health;
- Strengthening the governance efficiency for the provision of social services and services of general interest as contribution to cohesive territorial development;
- Promotion of the Alpine Space as a model region (e.g. for public services, social public procurement);
- Creation of support materials for the launch, operation and monitoring of social enterprises.

Priority 2: Low Carbon Alpine Space

Objective and available budget

The attention given to low-carbon policies, actions and investments has been greatly increased in the European cohesion policy for the period 2014-2020. In the Alpine Space programme, the second priority, named “Low Carbon Alpine Space”, aims at contributing to a low carbon economy and society. Projects supported under this priority will have to contribute to one of the following objectives:

- Establish transnationally integrated low carbon policy instruments;
- Increase options for low carbon mobility and transport.

The Alpine Space programme will dedicate 31.49 million ERDF to this priority, corresponding to 27% of the programme total ERDF, with an estimated number of 15 projects to be implemented.

Expected results

With its second priority, the Alpine Space programme will contribute to three different objectives of the EU roadmap for moving to a low carbon economy in 2050: preventing and diminishing the effects of climate change, supporting green growth and reinforcing energy security.

SO 1: Establish transnationally integrated low carbon policy instruments

- Increased awareness of policy and decision makers on potentials of low carbon policies instruments in different sectors and cross sectorial departments;
- Increased integration of low carbon policies (e.g. related to energy, transport, building, spatial planning etc...) in regional development strategies;



- Established low carbon policy instruments in the cooperation area as new regulations, strategies and financial instruments;
- Improved operating framework for the introduction and implementation of support tools for low carbon policies (e.g. coordination, funding and pricing, incentives, behavioral change, technologies and applications...);
- Established joint monitoring and evaluation systems for the low carbon policies.

SO 1 programme specific result indicator: Level of implementation of low carbon policy instruments.

SO 2: Increase options for low carbon mobility and transport

- Increased awareness of decision and policy makers on the potentials of low carbon passenger and freight transports options as well as their impacts;
- Increased availability and use of low carbon mobility options for passengers and freight, including the change of behavioral patterns;
- Improved integrated organisation of spatial interaction, economic activity and mobility and transport patterns;
- Improved operational framework enabling low carbon mobility and transport options (e.g. strategies and action plans, coordination mechanism, regulations, incentives and funding systems...).

SO 2 programme specific result indicator: Level of potential to access and use low carbon mobility and transport options.

Main topics of cooperation

SO1: Establish transnationally integrated low carbon policy instruments

- Promotion of awareness and understanding of low carbon policy instruments' potentials and implications particularly in the fields of spatial planning, energy, buildings;
- Valorisation/capitalisation process on existing solutions, allowing them to be improved and transferred to other regions;
- Development of new tailor-fitted low carbon solutions thanks to transnational networks;
- Capacity building of public administrations in launching and managing low carbon policies and introducing low carbon principles in all public policies and activities (e.g. SEAPs, green public procurement, energy management, etc.);



- Development of negotiation, mediation, participation and conflict resolution models and set up of a broad exchange among stakeholders and the public by debating on the impacts of low carbon policies, technologies and instruments;
- Support for the setting up of and the exchange between low carbon model areas and regions;
- Support for research to business networks and cooperation structures and thus for the development, testing and implementation of new low carbon applications and technologies;
- Assessment of the various actions taken to establish transnationally low carbon policy instruments on their relevance, their efficiency and their sustainability.

SO2: Increase options for low carbon mobility and transport

- Promotion of awareness and understanding of the impacts in introducing low carbon mobility and low carbon freight solutions;
- Valorisation/capitalisation process on existing solutions, allowing them to be improved and transferred to other regions;
- Development of tools and solutions for better integration/coordination of regional mobility/transport strategies and plans;
- Development of new tailor-fitted solutions to increase low carbon transport thanks to transnational networks;
- Support for research to business networks and cooperation structures and thus for the development, testing and implementation of new low carbon applications and technologies;
- Operational, technological and funding applications at Alpine scale aiming at a behavior change for low carbon mobility and transport;
- Assessment of the various actions taken to establish transnationally low carbon mobility and transport options on their relevance, their efficiency and their sustainability.

The policies that can be covered in this priority include energy, transport (including classic transport as well as soft mobility), housing and spatial planning. The Alpine Space programme does not fund the construction of energy and transport infrastructures.



Priority 3: Liveable Alpine Space

Objective and available budget

The third priority of the Alpine Space programme 2014-2020 is about quality of life in the Alpine region. Projects supported under this priority will have to contribute to one of the following specific objectives:

- Sustainably valorise Alpine Space cultural and natural heritage:
sustainable valorisation is understood as integration of natural and cultural heritage in the added value chain without the risk of jeopardising or endangering the given natural, social or cultural capital. The natural and cultural heritage should be seen as an opportunity rather than an obstacle for sustainable regional development.
- Enhance the protection, the conservation and the ecological connectivity of the Alpine Space ecosystems

The Alpine Space programme will dedicate 27 % of its global budget to this priority (i.e. EUR 31.5 million ERDF for the period 2014-2020).

Expected results

SO 1: Sustainably valorise Alpine Space cultural and natural heritage

- Increased awareness on the present potential of the Alpine Space natural and cultural heritage and future challenges;
- Strengthened transnational Alpine identity through using material and non-material assets and green growth as constituent elements of an alternative and distinct Alpine lifestyle;
- Fostered interaction/cooperation among organisations involved in the protection of natural and cultural heritage;
- Increased innovation and new development options on the basis of the cultural and natural heritage (importance to combine conservation/protection and advancement);
- Fostered development of innovative approaches for the sustainable valorisation of cultural and natural heritage to become part of mainstream policies and to foster green growth and resource efficiency;
- Increased new balanced approaches and innovation combining tourism and valorisation of natural and cultural heritage.



SO 1 programme specific result indicator: Level of sustainable valorization of cultural and natural heritage of Alpine Space.

SO 2: Enhance the protection, the conservation and the ecological connectivity of the Alpine Space ecosystems

- Harmonised management approaches, improved knowledge transfer and shared responsibilities with the goal of integrating Alpine Space ecosystems functions and needs into policies;
- Improved protection, preservation and ecological connectivity of Alpine Space ecosystems;
- Fostered development and implementation of new and innovative tools for the management of ecosystem services (e.g. cultural landscape management, risk management, conflict management);
- Increased public/private investment and concrete policy implementation in the field of protection, preservation and connectivity of ecosystems;
- Increased new transnational common tools, methodologies, strategies aiming at the protection, preservation and the connectivity of ecosystems;
- Improved cooperation among structures and capacity building for the development of valorisation approaches for ecosystem services, and their implementation into policies and decision and planning processes;
- Established concept of ecosystem services in the public debate.

SO 2 programme specific result indicator: Level of integration of the ecosystem services approach in the policy systems of the Alpine Space.

Main topic of cooperation

SO 1: Sustainably valorise Alpine Space cultural and natural heritage

- Use and capitalisation of cultural and natural heritage for innovation and sustainable regional development;
- Promotion of an Alpine identity and lifestyle through marketing activities, Alpine products development, labelling activities, promotion of skills of handicraft, Alpine Space wide cultural initiatives, etc.;
- Sustainable valorisation of the Alpine natural, cultural and landscape heritage as part of public policies: development of governance tools, conflict management tools, capacity development actions, etc.;



- Development of sustainable tourism based on the valorisation of natural, cultural and landscape heritage; development of innovative and green tourism by moving away from mono-structured winter-tourism (design implementation strategies, set up models and test pilot actions);
- Use of sustainable valorisation of natural and cultural heritage to foster green growth and resource efficiency: improvement of the “ground” for decision-making (design and evaluation of strategies), practical demonstration, evaluation and broad adoption of sustainable valorisation tools and models, through knowledge transfer, exchange of good practices, networking and development of cultural initiative, etc.

Rural development is already strongly supported by other EU funds, therefore projects should move away from farming and agriculture related activities and focus rather on broader concept of sustainable regional development.

SO 2: Enhance the protection, the conservation and the ecological connectivity of the Alpine Space ecosystems

- Models for integrating ecosystem services into decision making and decision planning processes;
- Transnational, national and regional governance instruments and tools addressing ecosystem services;
- Transnational coordination and exchange in sustainable and innovative resource management practices, following the implementation of EU Directives and integrating the ecosystem services approach. Results of such efforts should be harmonised and coordinated management systems and interoperable information databases. As resources are considered land, water, air, soil, minerals but also flora and fauna;
- Integration of ecological connectivity, green corridors, green infrastructure and landscape management in strategies of relevant sectors like spatial planning, transport, energy, agriculture, forestry, tourism..., providing cooperation platform between different sectors;
- Finding balance in implementation of different EU directives on concrete territories; resolving conflicts between different land-uses; forming cross-sectoral cooperation platforms, engaging stakeholder involvement processes;
- Transnational coordination and exchange in management of natural risks and hazards in terms of implementation strategies, methodologies and practices (prevention, preparedness, response, and reconstruction activities), with special emphasis on coordination between different sectors and on conservation and protection of ecosystems.



Priority 4: Well-Governed Alpine Space

Objective and available budget

The objective of the fourth priority of the Alpine Space programme 2014-2020 is to **increase multilevel and transnational governance** in the Alpine region, including the support to the development and implementation of the European Strategy for the Alpine Region (EUSALP).

The Alpine Space programme intends to trigger and guide the debate for governance innovation by supporting public administrations in re-defining their tasks, approaches, services and processes, developing, testing and adopting innovative solutions through transnational cooperation.

The Alpine Space programme will dedicate 8 % of its global budget to this priority (i.e. EUR 9.3 million ERDF for the period 2014-2020).

Expected results

- Strengthened institutional and administrative capacity;
- Enhanced efficiency of public administration;
- Increased institutional capacity building of public authorities – improved interaction with and deliverance of services to businesses and citizens;
- Achieved "good governance" in the Alpine Region.

Main topic of cooperation

Projects from priority 4 can in principle relate to fields like spatial planning, public transport, training, environment, social issues, security, culture, education, tourism, youth, sport, etc. **provided that the capacity building aspect is their main focus**. Moreover projects are encouraged to address themes related to EUSALP strategy and to support networks of relevant institutional actors responsible for the specific field concerned.

Whether an action should be financed under priority 4 or the other programme priorities will thus depend on the focus of the action. If the primary objective is to take an integrated approach addressing institutional bottlenecks in the administration as a whole, the project fits into priority 4. Other priorities of the Alpine Space programme can be addressed in cases where the capacity building is an integral part of the actions necessary to attain the specific objective of the priority.



- Set up transnational frameworks, platforms and networks for the identification of existing resources and obstacles, as well as the valorisation of proofed concepts in the field of governance (mapping of resources, studies, pilots and strategies governance needs, development potentials, human resources etc.);
- Develop, test and implement instruments to stimulate cooperation and organization processes in the context of EUSALP;
- Developing transnational models for the design, testing, up-scaling, comparison and evaluation of innovations (tools, processes, actors, organisations and interfaces) in the field of public administration;
- Setting up a policy foresight for governance challenges in relation to the Alpine Space driving forces³;
- Developing innovative models for institutional co-operation and spatial organisation for and between different territorial types⁴;
- Improving governance through a more active involvement especially of non-institutional actors;
- Designing implementation strategies, setting up models and test pilot actions for successful and reciprocal communication of public administrations among them and with the civil society.

³ The relevant driving forces are climate change, tensions on the energy market, economic globalization, rise of the information society and the knowledge economy, socio-demographic change, increased mobility of goods and persons (ref. Alpine Space cooperation programme, section 1, page 5).

⁴ The relevant territorial types are alpine metropolises, cities, stable or growing rural areas, declining or shrinking rural areas, tourism areas (ref. Alpine Space cooperation programme, section 1, page 7).



FactSheet

No. 1.1

Project generation

As stated in section 5.3 of the cooperation programme (CP), the Alpine Space programme supports project applicants in the project generation process. The aim of this support is to ensure the development of efficient and high quality projects.

The support is provided through the network of Alpine Space contact points (ACPs) and the joint secretariat (JS), by the means of the following services and tools:

- Thematic workshops at transnational level;
- Info days at national level;
- Project generation service.

The JS has a coordinating function and provides mainly technical information. The ACPs are the main contact at this stage. They provide information on content and consistency of the proposal and its overall coherence to the cooperation programme. It includes information on the suitability of the selected thematic objective, the transnational relevance, the clarity of the intervention logic, the selection of target groups and the suitability of the partnership as well as general advice on the preparation of project proposals.

Thematic workshops

The JS organises transnational thematic workshops focusing on the priorities and informing about the opportunities offered by the programme. The events bring stakeholders, project applicants and project



participants together and offer the occasion to network and exchange on project ideas. Matchmaking and project development sessions may be organised when suitable.

Information on planned thematic events can be found on the programme website and national sub-websites, in the newsletter and social media.

Info days

At national level, when appropriate, the ACPs carry out information days before each regular call for proposals. These combine three different strands: information on application procedures and (national) requirements for the upcoming calls; information on project generation, such as the programme intervention logic, durability and transferability of results; information on project implementation, such as reporting procedures and forms, eligibility rules, first level control requirements etc.

Meetings with ACP/JS staff and project developers can also be organised in the frame of the national info days, provided that project ideas are submitted in advance.

Information on national info days can be found on the programme and national sub-websites, the national and transnational newsletters and social media.

Project generation service

Aiming to steer the project generation process and improve the relevance, focus and quality of the submitted project proposals, the JS and ACPs offer a project generation service to project developers.

1) Online submission of project ideas via the project idea community

Project applicants are encouraged to submit their project idea to the programme via the project idea section on the programme website. This section is open to anyone, offering the possibility to request a non-binding feedback from an ACP (or JS for general information). A project idea developer can decide if they want to publish their project idea in the project idea database where it is visible for anybody entering the database. A person who subscribes to the project idea community, can additionally make use of the partner search tool, allowing them to look for potential partners by country, type of institution, priority and keywords.



The subscription to the project idea community can be made in the section “Join the community”. The user can create their own user name and password allowing them to enter the tool at any time to edit their project idea. By creating an account, the user will **automatically appear in the partner search database** and their contact details will be **visible for other persons who also subscribed to the community**.

With the submission of a project idea, feedback can be requested from an ACP (or JS for general information). This is the preferable way to request feedback on a project idea and not via e-mail. The user has the possibility not to publish the idea (yet) and still request a feedback. In this case, the project idea will be treated as confidential among the programme bodies and is circulated within the ACP/JS network confidentially, assisting the project idea developer in partner search or providing feedback service. Any project idea can be edited or published at a later stage and also feedback can be requested later, using the edit function. The editing of a project idea should always be finalised using the button “submit” as this guarantees that all the information is saved. As long as no feedback is requested, the form won’t be sent to the ACPs and/or the JS.

Once a new call for proposal opens, all ideas that have been submitted prior to that call will not appear in the database anymore. However, the person who submitted the project idea can still see it when they log into their account.

To report a problem or delete an account, please contact js@alpine-space.eu.

2) Feedback by ACPs and JS

Upon request, the ACPs provide feedback on submitted ideas and offer support in terms of partner search. The JS provides mainly technical and general information. Feedback by JS and/or ACP can only be given on a project idea. As both programme bodies are involved in the assessment no feedback will be provided on prefilled application documents neither of step 1 nor of step 2 (Eol and AF).

The feedback of an ACP and/or the JS is non-binding and should be considered only as guidance for the improvement of the project idea. It includes information on the suitability of the selected programme, on transnational relevance, fitting to the selected objective, clarity of the intervention logic, selection of target groups and suitability of the partnership.

Feedback by the JS is provided only once – either at face-to-face meetings arranged alongside national info days or via telephone conference. The ACP network can be contacted anytime (see below).



3) Bilateral support by ACPs

At any stage of the project development process, project applicants are welcome to get in contact with their respective ACP for information and specific support. Information in national language will be provided and appointments for bilateral exchange can be arranged.

Above mentioned support services and tools are optional and not linked to the timing of the calls for project proposals. They can be called upon at any time.

Contacts

Contact details for all national ACPs and the JS can be found on alpine space website.

ACP CONTACTS:

http://www.alpine-space.eu/contacts_landing_page/acp

JOINT SECRETARIAT CONTACT:

http://www.alpine-space.eu/contacts_landing_page/js

Reference Documents

- Cooperation Programme “Alpine Space programme 2014-2020”, section 5.3.



FactSheet

No. 1.2

Who can participate

The Alpine Space programme welcomes the participation of organisations from the public and private sector that bring added value to the preparation and implementation of an Alpine Space project. Such organisations may participate as project participants, observers or external experts. These roles are described below as well as the specific requirements that apply.

Project participants

Project participants are those organisations that are involved in the preparation and implementation of an Alpine Space project. They may act as lead partner or project partner as described below (see section structure of the partnership). They are officially listed in the expression of interest (EoI) and in the application form (AF), section B. They may be:

- public bodies and bodies governed by public law;
- private organisations.



Public bodies and bodies governed by public law are defined in the Directive 2014/24/EU, article 2¹, on public procurement as:

- the State, regional or local authorities, associations formed by such authorities;
- bodies governed by public law and their associations.

According to this Directive, a 'body governed by public law' is anybody:

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

Private organisations are those organisations having legal capacity and that are not included in the definition of public bodies and bodies governed by public law as set out above.

A non-exhaustive list of possible project participants (beneficiaries) can be found in section 2 of the cooperation programme for each thematic priority. The list is indicative. Therefore, even bodies not listed in the cooperation programme may apply for co-financing as long as they are not explicitly excluded in the terms of reference of the respective call for project proposals.

Partnership requirements

Transnationality

The transnational dimension of a project should be reflected in the composition of the partnership. Therefore, the programme has set the following minimum requirement: any project must involve at least 4 project participants from 4 different ASP countries.

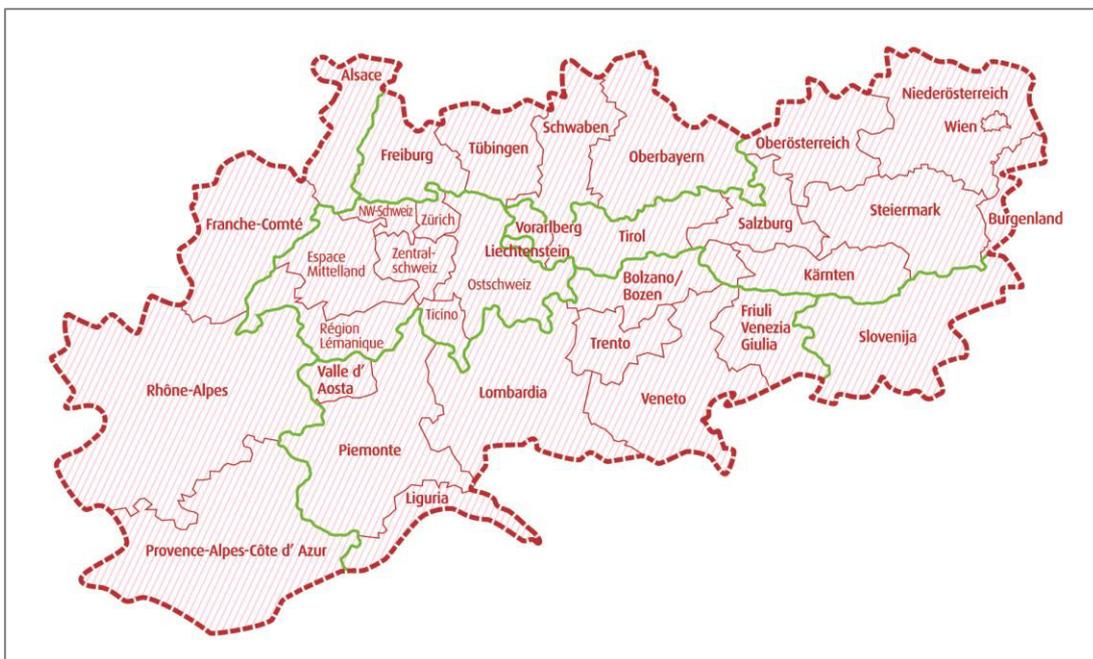
¹ Directive 2014/24/EU is applicable from 18 April 2016 and replaces Directive 2004/18/EC.



Geographical location

As a general rule, project participants have to be located inside the cooperation area (see also section 1.1.1 of the cooperation programme):

- Austria: whole country;
- France: Rhône-Alpes, Provence-Alpes-Côte d’Azur, Franche-Comté, Alsace;
- Germany: districts of Oberbayern and Schwaben (in Bayern), Tübingen and Freiburg (in Baden-Württemberg);
- Italy: Lombardia, Friuli Venezia Giulia, Veneto, Trentino-Alto Adige, Valle d’Aosta, Piemonte and Liguria;
- Liechtenstein: whole country;
- Slovenia: whole country;
- Switzerland: whole country.



In addition, to receive the ERDF co-financing project participants have to be located in the territory of an EU Member State. Partners from Liechtenstein and Switzerland are not entitled to receive ERDF; they may however receive national public contributions. Applicants are invited to contact in due time the relevant Alpine Space contact point (ACP) for information how to receive national public contribution. Further details are available on the factsheet ‘Funding principle’.



Considering that the cooperation area is only partially covering the territory of France, Germany and Italy, there are two possible exceptions to the rule on the geographical location of project participants. They concern those cases where a participant is located outside the cooperation area but still on the territory of a Member State involved in the Alpine Space programme; in these cases the following rules apply:

- The project participant has a competence covering the whole country or participating region (e.g. national/ regional ministries located in the capitals/ regional capitals of France, Germany and Italy) and this is demonstrated in the relevant sections of the EoI and AF. They may request ERDF co-financing, even though they are not located in the cooperation area. There are no specific restrictions to the participation of these partners.
- The contribution of the project participant is for the benefit of the cooperation area and this is demonstrated in the relevant sections of the EoI and AF. In line with the EU Regulation 1299/2013, art. 20, ERDF co-financing for these partners is limited to 20% of the total ERDF budget approved for the project.

Structure of the partnership

The project participants have the following functions and responsibilities:

- lead partner (LP): takes the overall responsibility for the preparation of the project and its implementation according to the AF. The lead partner corresponds to the term "lead beneficiary" used in the EU-regulations on structural funds. Only public bodies and bodies governed by public law may act as lead partner;
- project partners (PP): participate in the preparation of the project and its implementation according to the AF. They correspond to the term "beneficiary" used in the EU-regulations on structural funds.

For those projects where the LP is an institution located in Lichtenstein or Switzerland, the LP is supported by the ERDF-LP who ensures the financial management of the project. The ERDF-LP is located in an EU Member State. The lead partner and project partners (and ERDF-LP if relevant) have to be listed in the relevant sections of the EoI and AF. Their role and responsibilities are set in the AF and in the partnership agreement (PA) (see annexes). For guidance on how to structure a good partnership please refer to the terms of reference for each call for project proposals.



Observers

Observers may have different roles in a project. They are usually institutions with a multiplier function, i.e. with the commitment and capacity to promote the project results among target groups and/or to support their uptake at the policy level. In addition, observers may provide good practices and know-how in their field of expertise; they may test project outputs or implement them at the end of the project. Projects may grant the observer status to such institutions and enable them to take part in the project's activities. It is essential that observers are involved at an early stage in the project development and its implementation. A common understanding should be reached with the project partners on their roles and expectations. Practice has shown that the involvement of observers brings mutual benefits to the project and the observers themselves. However, observers have a limited function in the partnership and are not responsible for the day-to-day preparation and implementation of the project. They provide an external view and support and can also have an advisory function.

Requirements for observers

The role of observers has to be described in the relevant section of the AF. Project participants may plan budget for the reimbursement of travel and accommodation costs for the involvement of observers to project meetings and events; other than that, the involvement of observers is free of charge and cannot give rise to the reimbursement of expenditure (see section on external expertise and services in factsheet 'What can be co-financed').

External experts

When project participants lack the internal resources for the performance of certain project tasks they may sub-contract these tasks to external providers of services, goods or (where relevant) works.

Requirements for external experts

The relevant partner is responsible for ensuring that the involvement of external providers in the project complies with the applicable public procurement rules (see section on external experts and services in factsheet 'What can be co-financed').



Reference Documents

- Directive 2014/24/EU on public procurement (replacing Directive 2004/18/EC)
- EU Regulation 1303/2013 on common provisions on ESI funds, art. 2
- EU Regulation 1299/2013, art. 20
- Cooperation programme "Alpine Space Programme 2014-2020", section 1.1.1. and section 2
- Factsheet and templates of partnership agreement



FactSheet

No. 1.3

Funding principle

Total costs principle

The Alpine Space programme (ASP) follows the "total costs" principle¹. The project participants from EU Member States are co-financed by the European Regional Development Fund (ERDF) up to a maximum rate of 85% of the eligible costs. Every ERDF beneficiary needs to secure public or private contribution to complete its budget (15% at least) either from its own resources or from other entities.

As Liechtenstein and Switzerland are not members of the European Union, project participants from these countries are not eligible for ERDF co-financing. However, they may receive public contribution from their countries as indicated below.

Pre-financing of project expenditure

The ASP payment scheme is based on the principle of reimbursement of costs and no advance payment of ERDF is foreseen. Therefore each beneficiary needs to pre-finance its expenditure and request the related ERDF co-financing to the programme every six months through a progress report (see the factsheet "Progress report" for more details). Only when the progress report has been approved by the managing

¹ During the programming period 2007-2013, ASP followed the "total public costs" principle which meant that no private contribution was allowed.



authority/joint secretariat, the ERDF co-financing can be paid out to the lead partner. The lead partner, in turn, transfers the share of ERDF co-financing to the individual beneficiaries with no delay.

Considering the reporting procedure and its timeframe, it is indispensable that beneficiaries have the financial capacity to pre-finance expenditure for the project implementation until the reimbursement of project related costs is received.

Public contribution schemes in the Partner States

If public contribution schemes exist and how they are organised varies from state to state.

Austria

In Austria no centralised fund exists to which beneficiaries taking part in the projects of European Territorial Cooperation programmes could apply for public contribution. If a project envisages public contribution, Austrian beneficiaries may apply for individual funding from ministries, regions or municipalities. Liaising with the members of the National Committee is considered helpful (generally in the stage of project generation) in order to ensure coordination with existing or prior operations and strategic priorities of the bodies providing the contribution. For more information on the procedure contact the Austrian ACP.

France

There is no specific national public contribution instrument dedicated to projects applying for European Territorial Cooperation programmes available in France. Each project participant has to address an individual request to the local, regional or national public authorities, who may provide a contribution according to their interest in the project aims. Thus, it is necessary to involve those authorities in a very early stage of project development to meet their possible specific requirements.



Germany

Generally, no specific national public contribution instrument is available in Germany. Public authorities on regional and national level or other bodies governed by public law may provide a contribution in specific cases, depending on the interest in the overall project aims. Beneficiaries are therefore recommended to address their request for contribution directly to the authorities who are expected to have a special interest in the project. Thus, it is useful to involve those authorities in a very early stage of project development to meet their possible specific requirements.

Italy

Following the approval of the project by the ASP programme committee, Italy makes available through the National Fondo di Rotazione (National law 183 dated 16-04-1987) the national public contribution (15% of the total beneficiary's budget) to those Italian beneficiaries, who are public or public equivalent bodies. Criteria for national contribution are specified in Delibera CIPE to be published soon.

Liechtenstein

The information for Liechtenstein will be provided as soon as possible.

Slovenia

No specific national public contribution instrument is available in Slovenia. Nevertheless, project participants can get in contact with public bodies, relevant for the topic of the concerned project and if they find interest in the project content and its outputs, they might decide to provide the project participants with public contribution. Therefore project participants are advised to get in contact with relevant public institutions already during the project generation phase.



Switzerland

In the framework of the New Regional Policy (NRP), Switzerland has foreseen a national budget for its partners which is managed by the Federal Office for Spatial Development (ARE). The Swiss project participants are asked to address early the Alpine Space contact point in order to discuss the procedure and funding. Swiss partners have to fill in a form during the second step of the application procedure where they give information on their activities and a detailed budget. The contribution is then discussed on the basis of this form. The co-financing rate is flexible and is decided partner per partner.

Other public authorities on national, regional and local levels, other bodies governed by public law and private may also provide a contribution to a project, under the condition that the provenance of money is known.

For further information please contact your national ACP: <http://www.alpine-space.eu/>

Reference Documents

- Cooperation programme "Alpine Space Programme 2014-2020", section 3.2



FactSheet

No. 1.4

What can be co-financed? The programme's eligibility rules

Contents

Background information	2
Guidance	2
General principles of eligibility	3
A. Staff costs.....	6
A.1 Staff costs based on real costs	6
A.2 Staff costs based on a flat rate	7
A.3 Audit trail	8
B. Office and administration expenditure.....	8
B.1 Audit trail.....	9
C. Travel and accommodation costs	9
C.1 Audit trail	11
D. External Expertise and Services costs.....	11
D.1 Audit trail.....	13
E. Equipment Expenditure	13
E.1 Audit trail	14
F. Ineligible expenses	15
Reference Documents	16



Background information

The EU Regulations and Delegated Acts¹ include common eligibility rules to be respected by all European Territorial Cooperation programmes. Based on these documents and following Article 18 of Regulation (EU) No 1299/2013, the Alpine Space programme (ASP) has defined eligibility rules valid for all beneficiaries (meaning lead partner and its project partners) coming from the EU Member States of the cooperation area. These eligibility rules do not apply to expenditure of project participants from Switzerland and Liechtenstein as they are not eligible for European Regional Development Fund (ERDF) co-financing.

Guidance

The ASP eligibility rules specify and complement the eligibility rules laid down by the EU Regulations and Delegated Acts. The programme tailored the rules to its specificities where allowed.

According to article 18 of Regulation (EU) No 1299/2013 eligibility rules on national level are only applicable for matters not covered by eligibility rules on EU or programme level. Nonetheless, applicable national law remains unaffected in case it is stricter than the EU or ASP eligibility rules.

This factsheet includes information on general principles of eligibility (including information on preparation costs, eligibility period and exchange rates) and describes the detailed ASP eligibility rules covering the following budget lines:

- A. Staff costs
- B. Office and administration expenditure
- C. Travel and accommodation costs
- D. External expertise and services costs
- E. Equipment expenditure

Beneficiaries are herewith strongly recommended to seek advice at the respective First Level Control Body, the Alpine Space Contact Points or the Joint Secretariat if there is any issue related to the eligibility of expenditure that is not answered by the present eligibility rules.

¹ Delegated Acts are non-legislative acts from the European Commission to implement Regulations of the European Parliament and of the Council.



General principles of eligibility

The main **preconditions for eligibility of all expenditure** incurred are the following:

- The expenditure is essential for the implementation of a project and would not have been incurred if the project had not been carried out (additionality).
- Double financing is not allowed. In case of financial contributions of third parties specifically assigned to the project or any of its actions, the following rules shall apply:
 - Expenditure which is already co-financed from another EU-funding source shall not be reported to and cannot be co-financed by the programme.
 - Expenditure that is already financed in total by any public subsidy shall not be reported to and cannot be co-financed by the programme.
 - Expenditure that is co-financed partially by any public subsidy can be considered for co-financing only if the financial contribution of the latter is not exceeding the share of the national contribution to the project expenditure according to the approved application form. In any other case the ERDF contribution shall be reduced accordingly (so that the total funding is not exceeding the beneficiary's expenditure).²
- Financial contributions that are not dedicated to the specific project approved by the programme are not of any relevance for the calculation of the ERDF co-financing.
- Costs incurred by public authorities (e.g.: staff costs relating to the preparation and implementation of a project) shall be eligible only if these costs do not arise from their statutory responsibilities or day-to-day management, monitoring and control tasks.
- Any revenues generated by project activities must be deducted from the total eligible costs claimed.³
- The expenditure must comply with the principles of **efficiency, economy and effectiveness**. Especially the cost/benefit ratio has to be ensured.

² Explanatory example: PP Alps planned a total budget of EUR 100.000 (85% and therefore EUR 85.000 ERDF, and a fixed national subsidy from federal level amounting to EUR 15.000). After implementation the PP reported eligible expenditure in the amount of EUR 95.000 only. As the national subsidy was granted in the total of EUR 15.000, the ERDF co-financing rate decreases and the final ERDF co-financing will amount to EUR 80.000 only.

³ See relevant factsheet.



- Only expenses incurred on the level of the respective project participant (PP) are eligible. Expenses based on invoices that are not addressed to the PP respectively expenses based on payments that have not been initialised by the PP itself and costs that are not finally borne by the PP itself are not eligible.
- The expenditure must comply with the principle of real costs except for specific cases such as flat rate, lump sum or depreciation as further detailed in this factsheet.
- Beneficiaries are responsible for minimising any possible risk of conflicts of interest. Specific attention should be given especially within the framework of procurement processes.
- Expenses related to contracts between beneficiaries concerning the delivery of services, supplies or works among themselves cannot be co-financed.⁴
- Expenses of organisations contracted via in-house procurement⁵ can be considered as eligible as long as based on verified actual and eligible costs without any additional fees charged. The respective expenses shall be reported in the budget lines they would normally belong to if directly incurred by the project partner. The present eligibility rules therefore apply in full to organisations contracted via in-house procurement too (i.e. staff costs calculation for an employee of such an organisation is the same as the one for an employee of the project partner)⁶. The same rule shall apply to contracts concluded between public bodies falling outside the scope of the EU public procurement directive (Article 12 (4) of Directive 2014/24/EU).
- All expenditure is supported by invoices and proofs of payment or documents of equivalent probative value. Electronic invoices can be accepted if they meet the requirements set out in national law and include information on the funding programme and the reference number and the name (acronym) of the project. If applicable (e.g. same document covering different cost items), a statement on the share claimed as eligible has to be indicated too.
- When applicable, the relevant public procurement procedures have to be observed.
- Any expenditure reported to ASP must be in euro. Therefore, expenditure incurred in a currency other than the euro shall be converted into euro by the beneficiary by using the monthly accounting exchange rate of the Commission in the month during which the expenditure was submitted for verification to the first level controller.⁷

⁴ I.a. expenses based on activities formerly known as “CTA”

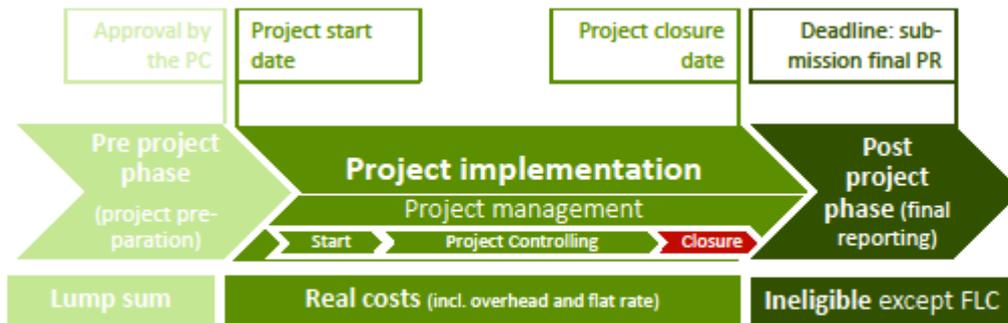
⁵ Formerly known as affiliated institutions in the Alpine Space Programme 2007-2013

⁶ See factsheet on public procurement

⁷ http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm



Additionally, the expenditure must be incurred in the eligible period. Following the programme's definition, each project consists of three project phases.



Project preparation: It comprises all activities related to the elaboration of the expression of interest (EoI) and application form (AF) and ends with the approval of the project by the Programme Committee. For the preparation activities, the programme grants **a lump sum of EUR 20.000 for total eligible costs** (corresponding to maximum EUR 17.000 ERDF) if the project is approved. Therefore, costs incurred during the preparation phase can never be claimed on a real costs basis (even if paid after the project approval). This lump sum covers all project preparation costs and shall be shared among the project beneficiaries in proportion to their involvement in the preparation of the project (to be detailed in the application form). No further documentation is necessary; i.e. project beneficiaries do not need to document that the expenditure has been incurred and paid, or that the lump sum corresponds to the reality.

Project implementation: The implementation starts after the project approval⁸ and lasts until all activities related to the approved work packages (including project management) of the project have been completed. Costs related to the project implementation and incurred between the project start date and the project closure date (both dates to be specified in the application form) are eligible unless they violate any of the eligibility rules as outlined in this paper⁹. The project partners are recommended to foresee sufficient resources for the administrative project closure (e.g. for the reporting to the LP, the drafting of the final report, preparation of the first level control) and to finalise all activities within this phase.

⁸ Further details may be provided in the terms of reference of the respective call and the guidance for EoI and AF.

⁹ Expenses based on payments initialised with a minor delay after the project implementation period can be accepted as long as the activities have been implemented and the invoices have been issued before the project closure date (time period to be agreed with the FLC body responsible).



Post project phase: Any costs related to activities implemented in this phase are ineligible with the exception of the costs related to the first level control of the last reporting period (to be invoiced by the first level control body and paid by the beneficiary before the issuing of the certification).

A. Staff costs

Staff costs cover gross employment costs of persons employed by the beneficiary and working full or part time on the project in line with their respective employment contracts.

Staff costs of beneficiaries can be co-financed by the programme on the basis of:

1. real costs
2. a 20% flat rate of the direct costs reported under the budget lines “travel and accommodation costs”, “external expertise and services costs” and “equipment expenditure”.

Each project partner shall decide on whether to apply the real costs or the flat rate principle in the project application phase (i.e. when elaborating the application form). Its choice is valid for all staff members of the project partner and cannot be modified during the entire project duration.

A.1 Staff costs based on real costs

If staff costs are calculated on the real costs method, the following **principles** have to be obeyed:

- Staff costs have to relate to activities which the beneficiary would not carry out if the project was not undertaken.
- Staff members can either be already employed by the beneficiary or contracted specifically for the project.
- In case of recruitment of staff for a project a job announcement has to be published adequately.
- The staff costs calculation is based on costs actually paid out and proofed by pay slips or documents of equivalent probative value (e.g. data from the project partner accounting system which allows the proof of the payments for each single staff member may be accepted).
- The staff costs must be calculated individually for each staff member.
- A written assignment to the project needs to be issued for each staff member (precondition for eligibility)¹⁰.
- In case of part time assignment of a staff member to the project, a percentage of assignment has to be fixed that is in line with the project related tasks, responsibilities and outputs defined for this employee.

¹⁰ The minimum requirements as laid down in the model assignment provided by the programme shall be considered.



This percentage remains applicable for the entire duration of the assignment. It can only be changed in exceptional and well justified cases (e.g., changes in the tasks and responsibilities of the employee). In this case the employer must issue an amendment to the assignment (see audit trail), setting out the changes in detail.

Eligible are the following **cost components**:

- Gross salary including overtime (provided it is paid out),
- Other costs linked to the salary such as employment taxes and social security contributions which have to be borne by the employer if they are stated by law and not recoverable by the employer.

The following **cost components** are **ineligible** under this budget line:

- Unpaid voluntary work (i.e. contribution in kind) is generally not eligible.
- Voluntary payments (e.g. payments not in line with the employment contract or the employment policy of the beneficiary or payments without any legal commitment), bonuses and rewards are not eligible.
- Staff costs for employees not officially assigned to the project are ineligible.
- Overheads cannot be reported under this budget line (to be reported under the budget line “office and administration”).
- Per diems and any other travel and accommodation costs cannot be reported under this budget line (to be reported under the budget line “travel and accommodation”).

Depending on the extent of assignment to the project the following **calculation method** applies:

Full time assignment to the project: 100% of the gross employment costs are eligible (as long as they are in line with the general principles outlined above).

Part-time assignment to the project – fixed percentage of time: The gross employment costs multiplied by the fixed percentage of time worked on the project is eligible. As already highlighted, the percentage shall be fixed in the project assignment.

A.2 Staff costs based on a flat rate

The staff costs are calculated as a **flat rate of 20%** of the beneficiary’s direct costs other than staff costs. The eligible amount for staff costs is thus equal to 20% of the total eligible amount declared under the following budget lines:

- Travel and accommodation costs,
- External expertise and services costs,
- Equipment expenditure.



When reporting staff costs using this option, the distribution of costs between work packages shall reflect the distribution between work packages of the respective direct costs (e.g. costs for external experts and equipment amount to 40% of work package 1 and 60% of work package 2; thus 40% of staff costs shall be allocated to work package 1 and 60% to work package 2). If the beneficiary opts for the flat rate financing of direct costs, no other staff costs can be claimed (e.g. direct staff costs).

A.3 Audit trail

In order to ensure a proper **audit trail** the following documentation is required if the beneficiary follows the **real costs principle**:

- employment contract;
- official, written assignment of the employee to the project activities with information on the main tasks to be performed and outputs to be delivered (the assignment shall also specify information on the involvement on work package level, the duration for which the staff member is assigned to the project and whether the staff member works full time or part-time in the project, in the latter the fixed percentage of time assigned to the project). In case the staff member works for several public funded projects, the official assignment must cover all projects and clearly indicate the funding sources.
- evidence of adequate publicity for the recruitment of new staff involved in project activities;
- pay-slips or documents of equivalent probative value (e.g. internal accountancy documents which allow the proof of the payments for each single staff member);
- a six-monthly task report informing on the activities and outputs on WP level and mentioning any other public funded project worked on within this period as well as confirming that not more than 100% of the staff costs are invoiced to public funded projects (form of the programme shall be used).

When the **20% flat rate option** is applied, it has to be proved that the beneficiary has at least one employee (e.g. by providing a registration at the social insurance agency). Beneficiaries do not need to document that the expenditure has been incurred and paid.

B. Office and administration expenditure

Office and administration expenditure covers operating and administrative expenses of beneficiaries. They are limited to:

- office rent;



- insurance and taxes related to the building where the staff is located and to the equipment of the office (e.g. fire and theft insurances);
- utilities (e.g. electricity, heating, water);
- office supplies (e.g. paper, files, pencils);
- general accounting (provided inside the beneficiary organisations);
- archives;
- maintenance, repair and cleaning;
- security;
- IT systems (hardware and software of general nature);
- communication (e.g. telephone, fax, internet, postal service, business card);
- bank charges for opening and administering an account;
- charges for transnational financial transactions.

Office and administration expenditure is covered by a **flat rate of 15% of the reported staff costs**. The above list is exhaustive and all listed items are to be considered as covered by the flat rate and cannot be reported under any other budget line. If no staff costs are foreseen and reported, no office and administration costs can be charged.

B.1 Audit trail

No specific audit trail is necessary. Project partners do not need to document that the expenditure has been incurred and paid.

C. Travel and accommodation costs

This budget line covers travel and accommodation costs of employees of beneficiaries that relate to project activities. It shall be limited to:

- travel costs (e.g. tickets, travel and car insurance, fuel, car mileage, toll and parking fees);
- the costs of meals;
- accommodation costs;
- visa costs,
- daily allowances.

The following **principles** shall be obeyed:



- These costs are borne by a beneficiary (direct payment of costs by a staff member must be supported by a proof of reimbursement from the employer) in line with its travel and accommodation policy/rules.
- The choice of transport and accommodation should be led by effectiveness, cost-efficiency and eco-friendliness.
- Travel and accommodation costs of external experts, service providers and observers are ineligible under this budget line (to be reported under the budget line external expertise and services in accordance with the respective contract).
- Only travel and accommodation costs of the following staff members are eligible:
 - responsible person and contact person indicated in the AF and their officially designated substitutes (in case of applying the flat rate for staff);
 - responsible person and contact person indicated in the AF and their officially designated substitutes as well as the staff members officially assigned to the project for the period in question (in case of applying the real costs principle for staff costs calculation).

Any travel and accommodation costs of staff members not listed above are eligible in well justified and documented cases only (active contribution and project-added value to be laid down in detail – to be checked by the FLC body).

- Elements of travel costs covered by the daily allowance of the beneficiary shall not be reimbursed in addition to the daily allowance (e.g. the cost of a meal is not eligible if the concerned staff member receives a daily allowance).
- Airfare is eligible beyond a distance of 400 km. Below a distance of 400 km, it is eligible if it is the cheapest or fastest (time gain above 90 minutes) mean of transport.
- Public transports have priority over private or company cars and taxis. The use of taxis, private or company cars is only allowed in duly justified cases (e.g. if it is verifiably the most economic means of transport or if it substantially saves time).
- Carbon compensation is not eligible.
- Cancellation costs or costs of any unused travel tickets or booking (due to cancelled travels) are ineligible in any case.
- Costs of travel and accommodation related to activities outside of the programme cooperation area are only eligible, if they have been included in the approved Application Form or approved beforehand by the Joint Secretariat. In all cases, benefits of such activities to the project and the programme area must be demonstrated.
- Maximum daily allowances which are accepted by the programme are set out in the table below. If these are applied the following shall be considered: this daily allowance covers breakfast, two main meals and local transportation at the destination. Necessary reductions must be applied whenever costs of selected meals are covered by the hosting organisations or included in the hotel bill (e.g. breakfast).



Maximum daily subsistence allowances and indicative rates for hotels

Regarding daily subsistence allowances and rates for hotels the travel and accommodation policy/rules of the beneficiary shall be obeyed. However, costs higher than indicated in the following limits for daily subsistence allowances are not eligible. Regarding rates for hotels the following figures are indicative. It has to be well justified to the FLC body if higher costs arise.

Country ¹¹ (destination)	daily subsistence allowance	daily rate for hotel
Austria	95	130
France	95	150
Germany	93	115
Italy	95	135
Liechtenstein	120	181
Slovenia	70	110
Switzerland	120	181

C.1 Audit trail

In order to ensure a proper audit trail, the following documentation is required:

- documentation according to the travel and accommodation policy/rules of the beneficiary; in any case it shall keep the following documents:
 - agenda of the event (e.g. meeting, seminar, conference);
 - proof of participation (signed participation list or similar);
 - invoices or daily subsistence allowance claims;
 - transport justifications: (boarding pass, tickets or similar);
 - proofs of payment (receipt, bank account statement or equivalent);

D. External Expertise and Services costs

This budget line covers expenses related to professional services and expertise provided by external service providers (other than the project partners) contracted to carry out certain activities linked to the delivery of the project. This includes:

- studies or surveys exclusively set up or specifically needed for the purpose of the project;
- training;
- translations;

¹¹ Travels outside the programme area remain limited to duly justified cases (see above). For those cases, the applicable indicative maximum daily subsistence and rates for hotel shall apply as set out in Council Regulation (EC, EURATOM) No 337/2007 of 27 March 2007 which can be found [here](#).



- IT systems and website development; modifications and updates;
- promotion, communication, publicity or information;
- financial management;
- services related to the organisation and implementation of events or meetings (including rent, catering or interpretation);
- participation in events (e.g. registration fees);¹²
- legal consultancy and notarial services, technical and financial expertise, other consultancy and accountancy services
- intellectual property rights and consultancy fees;
- first level control of the project;
- certification and audit costs on programme level;
- the provision of guarantees by a bank or other financial institution when required by Union or national law or in a programming document;
- travel and accommodation costs for external experts, speakers, chairpersons of meetings, observers and service providers of the project;
- other specific expertise and services needed.

The following **principles** have to be obeyed:

- Beneficiaries which fulfil the definition of a contracting authority according to the relevant national procurement legislation have to respect these public procurement rules and properly document the procurement procedure.
- All other beneficiaries must ensure adequate market research (e.g. by asking for at least 2 comparative offers, internet researches) for contracts with a value higher than EUR 5,000 excluding VAT. For purchases with an estimated contract value of EUR 50,000 net and more, a call for offers must be published on the programme's dedicated website allowing interested companies appropriate time to file an offer (at least two weeks). The purchase process must be documented in English (as guidance a form has been provided by the programme).
- As legal basis, a written contract (or any document of equivalent probative value) specifying the service to be delivered is necessary between the beneficiary and the service provider.
- The services or expertise are essential to the project.
- Any expenses based on contracts concluded between project beneficiaries or beneficiaries and observers (except the reimbursement of travel and accommodation costs of observers by a beneficiary)

¹² Any other costs related to the participation in external events such as accommodation, travel costs and daily allowances shall be reported in the budget line 'travel and accommodation costs'.



are ineligible as neither project partners nor observers shall be contracted as service providers by any other project partner (so to avoid a conflict of interest in the procurement of services and goods).

- Contractual advances are eligible if they are in line with normal commercial law and practice, stipulated in a written contract between the beneficiary and the expert/service provider, supported by receipted invoices and provided that the service/supply has been delivered within the project eligibility period.
- Promotional material is eligible provided that the costs of a single item remain limited and do not exceed EUR 50 and that it clearly serves the objectives of the project communication strategy¹³. Principles of sound financial management must be respected.

D.1 Audit trail

In order to ensure a proper audit trail the following documentation is required:

- evidence of the procurement process in line with applicable procurement and this eligibility rules;
- written contract (or any document of equivalent probative value) laying down the services to be provided with clear reference to the project;
- daily rate together with the number of days contracted and the total amount of the contract must be provided for experts paid on the basis of a daily fee;
- documentation of any change to the contract (any change must comply with the public procurement rules and must be sufficiently documented);
- invoice (or request for reimbursement) providing all relevant information in line with the applicable accountancy rules;
- proof of outputs or services delivered;
- proof of payment.

E. Equipment Expenditure

In this budget line equipment purchased, rented or leased by a beneficiary, other than those covered by the office and administration budget line, shall be reported. Equipment is limited to the following items:

- office equipment;
- IT hardware and software;
- furniture and fittings;
- laboratory equipment;
- machines and instruments;

¹³ For more details on further requirements please consult fact sheet 4.4.



- tools or devices;
- vehicles;
- any other equipment necessary for the project.

Equipment can only be co-financed if it is necessary for the project implementation or if it is considered as a project output or deliverable.

- An **equipment necessary for the project implementation** is a tool or device used to carry out project activities. It must be necessary for the delivery of the project results and used for that purpose. The full purchase price is eligible if used solely for the purpose of the project and depreciable within the eligible period. Otherwise a pro-rata calculation needs to be carried out on the basis of a justified and equitable method (e.g. the equipment was purchased before the start date of the project or the depreciable lifetime ends after the eligible period which means that only the respective part of costs are eligible).
- An **equipment considered as a project output or deliverable** (small scale investment) is a tool or device that remains in use by the target group after the completion of the project. Such equipment may be approved by the Programme Committee provided that the transnational benefit is well justified in the application form. The full purchase price is eligible.

The following **principles** have to be obeyed:

- Equipment is eligible if it is listed in the approved application form.
- Equipment is eligible if it is not covered by the office and administration costs (e.g. the IT system of the beneficiary is covered by the budget line office and administration while any IT system developed for the project specifically can be included under equipment).
- The relevant public procurement rules must be respected and properly documented by all beneficiaries that are subject to public procurement law (for details see the factsheet on public procurement).
- Costs of equipment which is purchased, rented or leased from another beneficiary are not eligible.
- Second-hand equipment is eligible if not originally acquired with the support of EU funds and if its price does not exceed the generally accepted market price.
- Costs related to the site preparation, delivery or installation of the equipment are eligible.

E.1 Audit trail

In order to ensure a proper audit trail the following documentation is necessary:

- application form in which the respective item of equipment is listed;
- evidence that the procurement was done in line with the applicable public procurement law and these eligibility rules;



- invoice providing all relevant information in line with the applicable accountancy rules;
- proof of payment;
- equipment necessary for the project implementation: applicable calculation scheme for depreciation;
- equipment considered as project output or deliverable: contract laying down the investment to be provided, with clear reference to the project and programme;
- document of the check carried out by the First Level Controller to verify the existence of equipment¹⁴.

F. Ineligible expenses

Non-exhaustive list of ineligible expenditure:

- VAT unless it is genuinely and definitely borne by the project partner;
- interests on debts;
- exchange rate losses;
- national banking charges;
- housing (residential building, domestic architecture);
- purchase of land;
- fines, financial penalties and expenditure on legal disputes and litigation;
- contributions in kind (provision of land, real estate, equipment, unpaid voluntary work...);
- gifts;
- any costs incurred before project approval and after project closure (except the costs related to the first level control of the last reporting period);
- expenditure already funded in total with public funds;
- communication material that is not in line with the programme rules on communication;
- tips;
- fees between beneficiaries of the same project for services, supplies and work carried out within the project;
- costs related to the contracting of employees of the partner organisations as external experts (e.g. as freelancers).

As the list of ineligible expenditure is not exhaustive, expenditure not listed should not be necessarily considered as eligible.

¹⁴ The first level controller of each beneficiary should carry out at least one on-the-spot check during the project implementation. For more details, please refer to the respective factsheet.



Reference Documents

- Regulation (EU) No 1299/2013
- Regulation (EU) No 1303/2013
- Commission Delegated Regulation (EU) No 480/2014
- Commission Delegated Regulation (EU) No 481/2014
- Article 184 of Regulation (EU) No 1268/2012
- EGESIF 14_0012. Guidance for Member States on Management verifications
- EGESIF 14_0017. Guidance on Simplified Cost Options (SCOs). Flat rate financing, Standard scales of unit costs, Lump sum
- EGESIF 14_0030. Public procurements. Guidance for practitioners on the avoidance of common errors in ESI Funded projects
- Alpine Space factsheets on procurement law, revenues and project communication



FactSheet

No. 2.1

Project application: the two-step application procedure

As laid down in section 5.3 of the cooperation programme (CP), depending on the availability of funds one regular call for project proposals shall be launched per year. Projects are normally selected in a two-step application procedure:

- step 1 is the submission of the expression of interest (EoI);
- step 2 is the submission of the application documents: the complete application form (AF) along with the partnership agreement (PA).

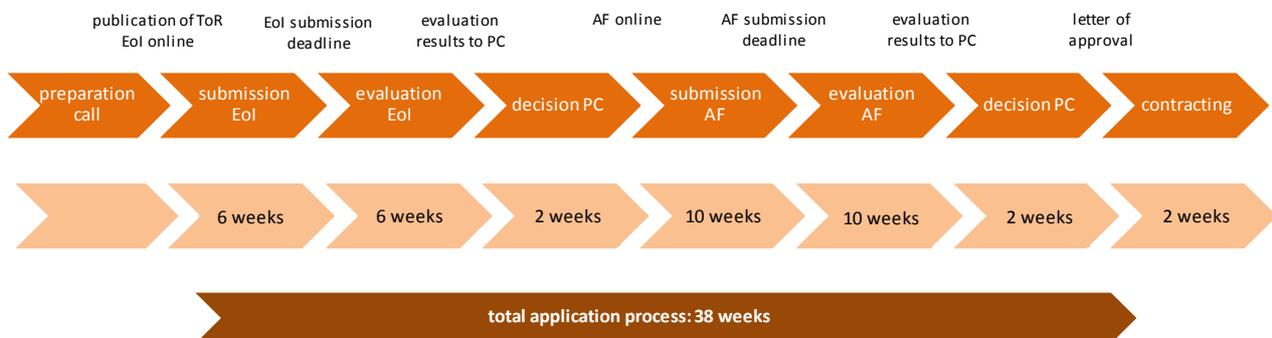
The procedure comprises a selection of the submitted EoI, this selection marks the end of step 1. The pre-selected EoIs are invited to enter step 2 and therefore to submit the application documents (including the AF and the PA). The application process is carried out completely in an online monitoring system.

Terms of reference (ToR) are published for each call outlining the framework of the call and the specific expectations of the programme in terms of content (e.g. open priorities, topics to be covered and type of results) as well as on operational and technical aspects (e.g. budget, partnership). Project applicants should acknowledge the eligibility criteria and evaluation criteria described as set out in the factsheet 'Project selection: procedure and criteria' when drafting their proposal.



The whole procedure, from the publication of the call until the decision of the programme committee (PC), shall last approximately 38 weeks and is generally following the steps as outlined below:

- publication of the call and ToR by the programme,
- opening of the call,
- step 1 - the submission of the EoI by the applicants within the deadline,
- information from the programme on selection of the EoI to the project,
- preparation of the AF and PA and submission of the application documents within the deadline for closure of the call,
- information from the programme on approval or rejection to the project,
- signature of the subsidy contract (SC) between the lead partner (LP) and the managing authority.



Expression of interest (EoI)

In step 1, an EoI shall be submitted to the programme. The joint secretariat (JS) evaluates the EoI, with support of the Alpine Space contact points (ACP) for national verifications with regard to the partners situated in their country (see factsheet 'National requirements'). The final decision and selection of the EoI for entering step 2 is taken by the PC. The selected applicants are invited to step 2: to submit the application documents which are the basis for the selection of projects.

The EoI contains key information about the project and is a short version of the AF. At the opening of a call for project proposals, the project applicants are enabled to fill in the EoI online (link to the EoI section available on www.alpine-space.eu). After registration each project applicant receives a unique



login/password in order to access her/his EoI. The EoI needs to be completed before the announced deadline. In case of multiple EoI versions for the same project, only the last version submitted is taken into account.

The EoI describes the project's objectives and expected results and their consistency towards the programme aims. Further core elements are the transnational approach, the main outputs and target groups, as well as elements on the structure of the partnership.

The information filled in the text boxes shall be in English and be precise and concise as the number of characters is limited. In the EoI form every section is well described by a series of questions that all have to be answered. Within the period of the call open to submission, the project applicant can develop its EoI online at its own rhythm. Once the EoI is filled in and submitted no changes are possible.

It is essential that the project applicants get in contact with the Alpine Space contact point (ACP) of their country. The ACPs support the potential project participants in the preparation of the EoI and give detailed information e.g. during national information events/info days. The contact of the EoI lead partner with the respective ACP is obligatory (see eligibility criteria in factsheet Project selection: procedure and criteria). Applicants shall consult the factsheet "National requirements", as additional elements may be requested at national level.

After the selection by the PC the EoI lead partner receives a letter from the managing authority (MA) on the results of the process. If appropriate, project applicants are given recommendations by the PC on how to further elaborate the project proposal to meet the expectations of the programme.

Application form (AF)

In step 2, the application documents (AF and PA) have to be submitted. The AF is a binding document which describes the project and gives detailed information on the work plan and financial figures. It is based on the EoI, however the AF requests more detailed information on the presented project proposal. Between the EoI and the AF the project proposal and partnership shall be further developed in terms of quality. The AF is the reference document for implementation during the whole project duration.

Together with the AF, the applicants have to submit the signed PA (see annexes).

In step 2 only project applicants of selected EoIs are invited to fill in the complete AF. As for the EoI, the AF is an online form which can only be entered and submitted with registered access to the online system



available under www.alpine-space.eu. Only the last version submitted is taken in to account, any earlier versions of the same project are not considered as valid and are not assessed.

During step 2 of the application procedure, project applicants are given technical support and advice by the JS and ACPs. A transnational seminar on project preparation explaining in detail the AF and the PA is organised by the programme.

To ensure the submission of quality documents it is highly recommended to consult the programme documents and to contact the programme management bodies (ACP and JS). Each LP shall have a contact with the JS and its ACP for discussing the findings of the assessments results from step 1 (obligatory contact). Furthermore national requirements might foresee an obligatory contact for each project partner with its ACP. Additional national documents might be requested as well (see factsheet 'National requirements').

The evaluation of the AF is carried out by the JS supported by the ACPs. The final decision on the selection of projects is taken by the PC. The lead partner (LP) receives a letter on the results of the selection process from the MA. Details on the selection of projects are explained in the related factsheet 'Project selection: procedure and criteria'.

Once the AF is approved by the PC, no more changes are possible unless an official request to the programme is made (see annexes). The AF is the reference document to monitor the project implementation.

The AF is composed of several sections and focuses on:

- the selected programme priority and project's contribution to the selected programme objective,
- the partnership structure and relevance,
- the project transnational relevance and approach,
- the objectives of the project,
- the project's result and outputs and their contribution to the programme progress indicators,
- the workplan with defined work packages, activities and time schedule of the project,
- target groups, durability and transferability of project outputs and results,
- the financing of the project.



Reference Documents

- Cooperation programme "Alpine Space", sections 5.3

Annexes

- Guidance for EoI and AF, Two-step calls for proposals
- Model partnership agreement
- Model subsidy contract



Technical guidance online application system

(version 3.3 as of 6 April 2017)

This guidance contains key technical information on the operation and use of the electronic monitoring system of the Alpine Space programme (eMS). Both steps of the application process – the completion and submission of the expression of interest (EoI) and the application form (AF) – are done via the eMS. It is therefore highly recommended to read this document carefully before starting to use the eMS. This technical guidance on the eMS complements the guidance for EoI and AF which is available on the Alpine Space website.

Technical information and system requirements

The eMS is a web application which can be accessed with recent versions of most common browsers (e.g. Internet Explorer 11, Firefox 52, Chrome 57)¹. The functionality of the system follows the common standards of web applications for entering and submitting data.

Access and registration

The eMS can be accessed at the following link <https://ems.alpine-space.eu>.

To use the eMS, each applicant must first register by clicking on “Register” on the homepage of the eMS and provide a set of credentials.



The screenshot shows a web form with two input fields: "User name:" and "Password:". Below the fields are three buttons: "Login" (with a checkmark icon), "Register" (with a plus icon), and "Forgot Password" (with a question mark icon).

¹ When working with Internet Explorer, the option “display intranet sites in compatibility view” should be de-selected in the compatibility view settings of the browser (to access Internet Explorer preferences for compatibility view you can press Alt + T + B).



In the registration form, fill in the following information:

Registration

Description	
Username	<input type="text"/>
Email *	<input type="text"/>
Password *	<input type="password"/>
Password Again *	<input type="password"/>
Firstname *	<input type="text"/>
Lastname *	<input type="text"/>
Title	<input type="text"/>
Language	EN <input type="button" value="v"/>

- **Username:** used to log in and submit the applications; it can be freely chosen by the applicant.
- **Email:** the email address of the applicant.
- **Password:** password used to access the eMS (in case the password is forgotten, please use the button “Forgot Password” on the front page of the eMS).
- **First name / Last name / Title:** personal information of the lead applicant’s contact person.
- **Language:** English is pre-defined and cannot be changed; it is the official language of the Alpine Space programme.

Following the registration, a confirmation email is automatically sent to the email address provided in the registration form. In case the confirmation email is not received, please check the spam folder of your email box. Only after confirmation, the applicant will be able to log in to the eMS and create an EoI.

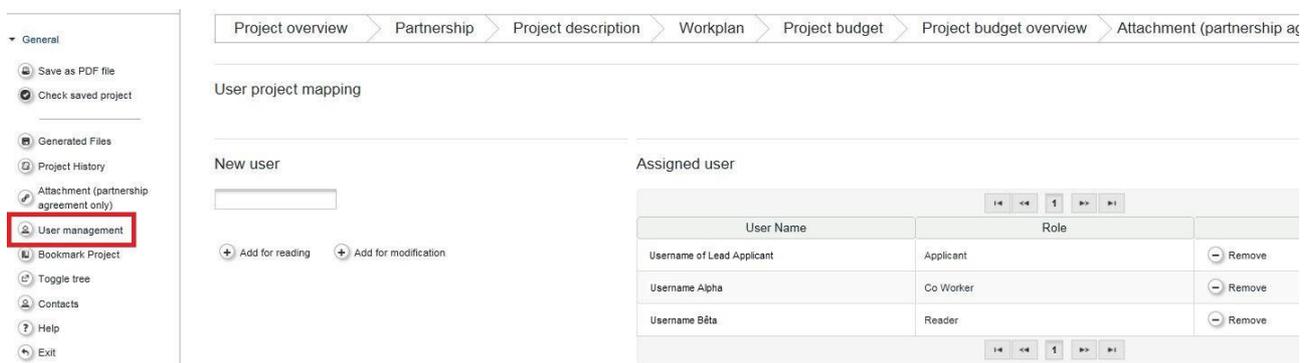
By registering in/logging into the eMS the applicant agrees to the Terms and Conditions present on the homepage of the system.

Point of attention: Once registered, the same login and password will be used by each applicant throughout the application procedure, both for the EoI in step 1 and for the AF in step 2.



User management

The lead applicant can grant access rights to sections of the EoI/AF to other users, namely the project partners. To this end, other applicants have to first register in the eMS as users and then provide the lead applicant with their username. The lead applicant can then enable new users in the “User Management” section (see screenshot of project menu below). Users can be granted either read-only rights (“add for reading”), or edit and add data rights (“add for modification”). Please note that the lead applicant is responsible for the submission of the EoI/AF and certain automatically generated emails (e.g. confirmation of EoI/AF submission) will be sent only to the email address of the lead applicant. Therefore, this person should ideally be the contact person of the lead applicant institution.



Project overview > Partnership > Project description > Workplan > Project budget > Project budget overview > Attachment (partnership agreement only)

User project mapping

New user

Assigned user

User Name	Role	
Username of Lead Applicant	Applicant	Remove
Username Alpha	Co Worker	Remove
Username Bêta	Reader	Remove

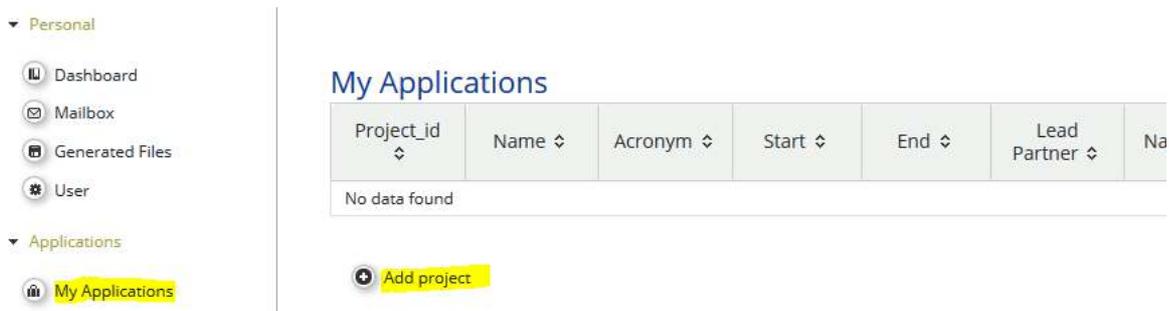
To a certain extent, it is possible for different users to work in parallel (at the same time) on the same EoI/AF. **When working in parallel, users have to make sure though that they are not working simultaneously in the same section or sub-section as this might create potential loss of data.**

Point of attention: Should the lead applicant change between step 1 and step 2, then the JS should be contacted (don't forget to provide the name of the project, username of the lead applicant to be changed, username of the new lead applicant).



Filling in the Eol/AF

To create your Eol click on “add project” in the section “My Applications”.



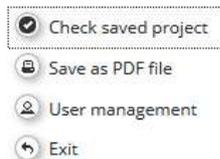
In step 2, the AF is prefilled with Eol data. The AF should be further completed considering both the recommendations of the programme committee and the guidance for Eol and AF.

The following important aspects have to be remembered when filling in the Eol/AF:

- Always remember to save the data regularly and before leaving a section in the Eol/AF (“Save” button on upper left corner or at the bottom of a page); otherwise data will be lost. (e.g. in case of interruptions of the internet connection or other technical issues).
- For some sections of the Eol/AF (e.g. Project relevance), all fields need to be filled in before leaving the page, otherwise information will be lost. Please pay attention to the warning message appearing in red on top of the page.
- Do not use the “Enter” key of your keyboard to save data while filling the forms as it may lead to unexpected results. Always use the commands provided by the eMS interface.
- Fields in the eMS have character limitations. When writing text for your Eol or AF, it is recommended to use a plain text without any formatting. Text formatting reduces the number of characters allowed by the eMS. Furthermore, copy-pasting from an outside source into the eMS (Word document and other word processors) may result in additional characters.
- The button “+ new observer” in the section “Partnership” is only for step 2 / AF.
- The order of the work packages and activities follows the order in which they were added in the eMS. This order cannot be changed apart from deleting and modifying the work packages or activities.



- If needed, work packages, activities, deliverables or outputs can be deleted. Nevertheless, you have first to fill in and save all the related fields before you can proceed to a deletion.
- Please note that you can create a pdf file of the Eol/AF at any time of its development by pressing the “Save as PDF File” button (see also screenshot of project menu above). You will find the created pdf file(s) in the general menu in the section “Generated Files”. Be aware that the saving of the pdf document in the file browser might take several minutes.
- Before submitting your Eol/AF, please click first on the button "Check saved project" (see screenshot of project menu below). Use this opportunity to go through your Eol/AF to verify that all necessary fields are completed and properly filled in. **Please be aware that this button does not run automatic checks on the completeness of information in the Eol/AF. It remains the responsibility of each applicant to make sure that all necessary fields are properly filled in.**

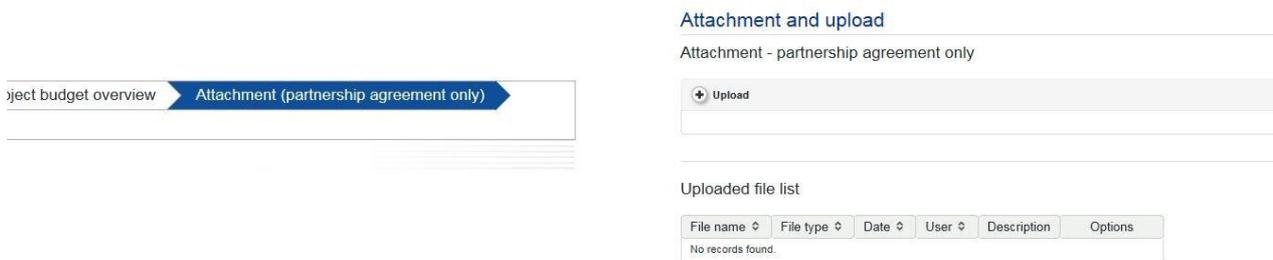


- Applicants are advised not to submit their Eol/AF at the very last minute before the closure of the Call. **Submission will no longer be technically possible after the announced deadline of the Call (step 1 / Eol and step 2 / AF).**



Upload of the partnership agreement (step 2 / AF)

A scan of the signed partnership agreement must be uploaded in the eMS **before pressing the “Submit checked project” button**. To do so, the applicant must select the tab “Attachment”, click on “Upload” and upload the document.



Attachment and upload

Attachment - partnership agreement only

Upload

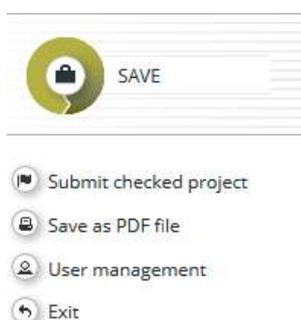
Uploaded file list

File name	File type	Date	User	Description	Options
No records found.					

Any other document uploaded will be disregarded for the assessment of the AF. **In case the AF is submitted without the PA the application will be considered as incomplete and will not be assessed.**

Submission of the EoI/AF

To submit your EoI/AF, press the “Submit checked project” button. Please be aware that only one version of the EoI/AF can be submitted. Once submitted, the information in the EoI/AF cannot be changed or integrated any longer. It is recommended to save the final version as a pdf file.



SAVE

- Submit checked project
- Save as PDF file
- User management
- Exit

After submission, the lead applicant will receive an automatic email confirmation.



Technical support

For any difficulties you might experience with the online submission system, please contact the joint secretariat at js@alpine-space.eu or + 49 (0) 89 9214 1800 during workdays from 9:00 to 12:00 and from 14:00 to 17:00; on Friday until 15:00 in the afternoon.



Guidance for EoI and AF

Two-step call for proposals

This guidance provides support to applicants in the development of their application documents in the eMS (e-monitoring system). It refers to two-step calls for proposals and provides information on how to fill in the EoI (expression of interest) in step one and the AF (application form) in step two.

Information entered in the EoI in step one will be automatically carried over to the AF in step two, and does not have to be entered again.

The text boxes below are marked with the following colour code:

- Violet:** pre-set information (titles of boxes, guidance information, data entered automatically, etc.)
- White:** information that has to be entered in step one (EoI)
- Red:** information that has to be entered in step two (AF)

All text boxes of the EoI in step one and of the AF in step two have to be completed with the requested information. Not filling in these boxes may result in the rejection of your project, therefore please check carefully the eligibility criteria stated in Factsheet 2.3 “Project selection: procedure and criteria”.

In step one, any information included in boxes relevant for step two (red-marked text boxes / sections with red colour font) will not be considered for the purpose of assessing the EoI.

Point of attention: Please follow the number of characters indicated in this guidance. Exceeding characters won't be taken into account during the evaluation.

When writing text for your EoI or AF, it is recommended to use a plain text without any formatting. Text formatting reduces the number of characters allowed by the eMS. Furthermore, copy-pasting from an outside source into the eMS (e.g. Word document and other word processors) may result in additional characters.



PART A – PROJECT OVERVIEW

A.1 Project identification

Please start with this section and identify the programme priority and the specific objective which are relevant for your project.

Programme priority	Please select from the pre-defined drop-down list one of the priorities (1 to 4: innovative, low carbon, liveable and well governed Alpine Space).	
Programme priority specific objective	Select from pre-defined drop-down list (will be automatically inserted in section C.2.1).	
Project acronym	The acronym of the project should be short, meaningful and <u>not</u> in conflict with an existing brand or project. [maximum 15 characters]	
Project title	Please insert the name of the project, which describes it the best. Please keep it short and appealing. [maximum 250 characters]	
Project number	Automatically generated by the eMS	
Name of the lead partner organisation Automatically filled in from part B.		
Name of the lead partner organisation in English Automatically filled in from part B.		
Project duration Automatically calculated (maximum 33,5 months for Call 4)	Start date DD.MM.YYYY	The start date of your project is defined by the programme. For call 4 projects, please select the 2 October 2019 . The exact date will be communicated in step two.
	End date DD.MM.YYYY	The end date of your project can not be later than 30 June 2022.

A.2 Project summary

Please give a short overview of the project (in the style of a press release) and describe:

- the common challenge you are jointly tackling and why there is a need for the project;
- the main objective of the project and the expected change the project will make to the current situation;
- the approach you plan to take to tackle the identified challenges;



- the added value of the transnational approach: why must the challenge be tackled at transnational level?
- what makes the project innovative;
- the main outputs you will produce and who will benefit from them, also after the end of the project.

Please write a summary of the project in English and answer **all** the different aspects mentioned above. This summary delivers the first presentation/impression of the project. In case the project is approved, this summary will also be used by the programme for communication purposes, therefore make sure the text will be understandable by a non-expert public and will be both informative and appealing. Please also indicate the planned total project budget (for Step 1/ EoI only). It is recommended to write or adapt the project summary once all EoI/AF sections are filled in. [maximum 2000 characters]

A.3 Project budget summary

Overview table on project budget as defined in the partner budget (automatically filled in from section D)									
Partner			Programme co-financing			Contribution			Total budget
Partner	Abbr.	Country	ERDF	ERDF co-financing (%)	% of total ERDF	Public	Private	Total	
Automat. inserted	Automat. inserted	Automat. inserted	Automat. inserted	Automat. inserted	Automat. inserted	Automat. inserted	Automat. inserted	Automat. inserted	Automat. inserted
Total			Automat. calculated	Automat. calculated	Automat. calculated	Automat. calculated	Automat. calculated	Automat. calculated	Automat. calculated

A.4 Project outputs

Overview table on project outputs as defined in the work plan (automatically filled from section C.5)					
Programme output indicators	Project output indicator targets	Measurement unit	Project output quantification target	Project output indicator number	Project output title
Programme output indicator (automatically inserted for the selected programme specific objective)	Automatically calculated from the provided quantification	Automatically inserted from WP	Automatically inserted from WP	Automatically inserted from WP	Automatically inserted from WP
		Automatically inserted from WP	Automatically inserted from WP	Automatically inserted from WP	Automatically inserted from WP
		Automatically inserted from WP	Automatically inserted from WP	Automatically inserted from WP	Automatically inserted from WP



PART B – PROJECT PARTNERS AND OBSERVERS

To prepare this section, please refer specifically to Factsheet 1.2 “Who can participate”.

B.1 Project partners

Partner number	The partner number will be automatically assigned. Make sure that the numbering of partners follows this order: 1) Lead partner (LP) 2) ERDF-LP, only if the LP is from a non-Member State (CH or LI) 3) EU partners 4) Non EU partners
Partner role in the project	Please choose either “lead partner” or “project partner” from the drop-down list.
Official name of the organisation in original language	[255 characters]
Name of the organisation in English	Use the official translation if it exists. [255 characters]
Abbreviation of organisation	Please provide an abbreviation for the organisation, if available use the English one. Please use the same abbreviation if applying in different projects.
Department/unit/division in English	Use the official translation if it exists. [255 characters]

Address

NUTS code¹	NUTS0: Choose the right country
	NUTS2: Number and name of the region where the department/unit/division is located (drop-down list). If NUTS2 is not indicated (as outside the programme area), please tick “From all regions”.
	NUTS3: Number and name of the region where the

¹ For non-EU MS a classification system comparable to the *Nomenclature des unités territoriales statistiques* is used.



	department/unit/division is located (drop-down list).
Main address	Please provide the address of the department in charge of the activities or where most of the activities will be implemented in case of multiple locations.
	Street
	House number
	Postcode
	City
	Homepage

Legal and financial information

Type of partner	Drop-down pre-defined list (see Annex 1 – “Type of partner and target group classification”).	
Legal status	Public (or public equivalent)/private	
Co-financing source	Select: - ERDF for EU partners - Non-ERDF for CH and LI partners	
Co-financing rate	The maximum co-financing rate is 85%. It is automatically inserted once you selected the co-financing source.	
VAT number	If available	
Is your organisation is entitled to recover VAT based on national legislation for the activities implemented in the project?	No/yes/partly (drop-down list)	If partly explain how. [255 characters]
In case no VAT number available: Other national identifying number	Only if no VAT number is available for the organisation. Please untick the VAT box, insert the identifying number and specify its type: - for Austria: choose among the “Vereinsregisternummer”, the “Firmenbuchnummer”, the “Unternehmensregister” or you could ask for registration in the “Ergänzungsregister”	



	<ul style="list-style-type: none"> - for France: SIRET - for Germany: Steuernummer - for Italy: Codice fiscale - for Liechtenstein: Unternehmens-Identifikationsnummer (UID) or in second choice Mehrwertsteuernummer - for Slovenia: davčna številka - for Switzerland: le numéro d'identification des entreprises (IDE) / Unternehmens-Identifikationsnummer (UID) / Numero d'identificazione delle imprese (IDI)
--	---

Legal representative and contact person

Legal representative	Title
	First Name
	Last Name
	E-mail address
	Telephone (format: 0049 (0) 123456789)
Contact person	Title
	First Name
	Last Name
	E-mail address
	Telephone (format: 0049 (0) 123456789)
Experience of partner Which are the partner's thematic competences and experiences relevant for the project? What are the institutional role and policy addressing capacity of the partners?	<p>Please indicate with which thematic/institutional/policy related competences and experiences the partner organisation can contribute to the project.</p> <p>Please check Factsheet 0 "Quality requirements and contents".</p> <p>[maximum 1000 characters]</p>
Role in the project What is the partner's role and responsibility in the project?	<p>Please outline briefly the role of the partner in the project (WP, activities).</p> <p>Is the organisation performing any economic activity within the project</p>



	<p>or as a result of it? This information is only required for project partners implementing activities such as provision of services – this information will be used to assess potential state aid relevance.</p> <p>[maximum 255 characters]</p>
<p>Other international projects If applicable, describe the organisation's experience in participating in and/or managing EU co-financed projects or other international projects.</p>	<p>Please mention here the most recent and relevant experiences, especially in Interreg projects.</p> <p>[maximum 255 characters]</p>

B.2 Observers

Should you already have started entering information on observers during step 1, please double-check that all required boxes are filled in.

<p>Observer number</p>	<p>The observer number will automatically be assigned.</p>
<p>Official name of the observer organisation in original language</p>	<p>[255 characters]</p>
<p>Name of the organisation in English</p>	<p>Use the official translation if it exists.</p> <p>[255 characters]</p>
<p>Associated to partner</p>	<p>Drop-down list of all project partners. Several observers can be associated to one partner. The travel and accommodation costs of the observers can be covered by the concerned partners. However, please consider that the partner's budget (budget line: External expertise and services) should remain reasonable and reflect the cost/benefit ratio.</p>

Address

<p>NUTS code²</p>	<p>NUTS0: Choose the right country Tick "From all regions", if the observer is from another country than the</p>
-------------------------------------	--

² For non-EU MS a classification system comparable to the *Nomenclature des unités territoriales statistiques* is used.



	ones of the Programme.
	NUTS2: Number and name of the region where the department/unit/division is located (drop-down list). If NUTS2 is not indicated (as outside the programme area), please tick "From all regions".
	NUTS3: Number and name of the region where the department/unit/division is located (drop-down list).
Main address	Please provide the address of the department in charge of the activities or where most of the activities will be implemented in case of multiple locations.
	Street
	House number
	Postcode
	City

Legal representative and contact person

Legal representative	Title
	First Name
	Last Name
	E-mail address
	Telephone (format: 0049 (0) 123456789)
Contact person	Title
	First Name
	Last Name
	E-mail address
	Telephone (format: 0049 (0) 123456789)
Interest in the project	Please describe why the observer institution is interested in the project. [maximum 255 characters]



<p>Role in the project</p> <p>What is the benefit for the organisation from participating in the project?</p>	<p>Please describe the institution's role as observer in the project.</p> <p>[maximum 255 characters]</p>
--	---

PART C – PROJECT DESCRIPTION

C.1 Project relevance

<p>C.1.1 What are the common territorial challenges and/or joint assets that will be tackled by the project?</p>
<p>Please describe the need for and relevance of the project for the programme area in terms of common challenges and/or opportunities addressed.</p> <p>Be precise and focus on the specific issues tackled by your project.</p> <p>[maximum 1000 characters]</p>
<p>C.1.2 What is the project's approach and why is transnational cooperation needed to address these common challenges and/or joint assets? What is innovative about the project's approach? How is this reflected in the project activities?</p>
<p>Please explain how the project will tackle the challenges and/or opportunities. Explain why the project objectives cannot be efficiently reached acting only on a national/regional/local level. Describe what benefits the project partners/target groups/programme area gain in taking a transnational approach. Transnational cooperation should exceed the mere exchange of experiences and should enable joint development of solutions and implementation.</p> <p>Please describe innovative solutions that will be developed during the project and/or existing solutions that will be adapted and implemented during the project lifetime. In what way does the approach go beyond existing practices in the sector/programme area/participating countries? Please sketch out the main activities which shall lead to your project result.</p> <p>[maximum 1000 characters]</p>

C.2 Project focus

C.2.1 Project objectives, expected result(s) and outputs

To complete the information required in this section please check carefully the programme intervention logic and the programme indicators. In the AF, pay attention that consistency is established with section C.5



“Work plan”.

Programme priority specific objective (automatically indicated as selected in part A – “Project Overview”).

Programme result indicator the project will contribute to (field automatically filled in after the specific objective is selected).



Project overall objective	Project result(s)
<p>What is the overall objective of the project? How does it contribute to the programme’s objective?</p>	<p>What is/are the project’s result(s) and how do they contribute to the programme result indicator?</p>
<p>Make sure to provide a clear, concise description of the project overall objective. The project’s overall objective should be feasible and realistic within the project’s lifetime.</p> <p>Explain its contribution to the specific objective of the relevant programme priority.</p> <p>[maximum 750 characters]</p>	<p>Make sure that you indicate the result(s) the project will achieve. Project results refer to the direct change the project intends to achieve in the programme area. Explain the contribution of project’s results to the programme result indicator.</p> <p>N.B.: please make sure to indicate result(s) and not outputs. For further reference on this, please check Factsheet 0 “Quality requirements and contents”.</p> <p>[maximum 750 characters]</p>



Project specific objectives	
<p>Which are the specific objectives the project will be working towards?</p>	
<p>Maximum of 3 project specific objectives.</p> <p>A project specific objective is a “sub-objective” that contributes to the achievement of the overall project objective.</p> <p>Please consult Factsheet 0 “Quality requirements and contents – part on the intervention logic”.</p>	
Title of specific objective	Please provide a short explanation on the link of the specific objective with the project outputs.
<p>1. Title in one sentence.</p>	<p>The specific objectives should further precise the overall objective. They should be concrete, realistic and achievable within the project duration. They are closely linked to the project outputs, as the purpose of the outputs is to help in</p>



	achieving the objectives. Please describe the link. [maximum 500 characters]
2. Title in one sentence.	[maximum 500 characters]
3. Title in one sentence.	[maximum 500 characters]

C.2.2 Project outputs

What will be the outputs the project will produce?
Please list the key project outputs and describe them shortly. [maximum 1000 characters]

C.2.3 Target groups

Which are the direct target groups of the project?
Please state here which target groups will be using the project outputs and how they will benefit from the project outputs. [maximum 1000 characters]

Target groups (under the tab “work plan”)

Target groups (automatically inserted from work plan)	Please further specify the target groups	Target value
Target group type 1	Provide further information on your direct target groups. E.g. if the target group type selected is a “sectoral agency”, then specify the type: environmental, energy/local or regional etc. [maximum 255 characters]	Please indicate the size of the target group the project will address in terms of number of organisations reached. Please refer to annex 1 for the measurement unit.
Target group type 2	[maximum 255 characters]	
Target group type n	[maximum 255 characters]	

Target value for each target group:

The target value of each project will be different. It has to be discussed between partners what is a target



group reach. For instance, a project aiming at raising awareness of local public authorities might not have the same target of local authorities than a project aiming at changing their behaviour and actions.

Each organisation is to be counted only once in the project. Therefore it is important to consider by each partner which target they have and if they can name it, so that the number of the target is plausible.

C.3 Project context

C.3.1 Project context

How does the project contribute to the wider strategies and policies?
<p>Please shortly describe the position of the project in the relevant phase of the policy cycle (see also Factsheet 0 “Quality requirements and contents – part on the policy cycle”).</p> <p>Please specify how the project will contribute to EUSALP and other relevant European, national and regional strategies and policies. Do not only list strategies but focus on how concretely the project will contribute to them.</p> <p>[maximum 1000 characters]</p>

C.3.2 Macro-regional strategy contribution

Indicate how the project contributes to the EU Strategy for the Alpine Region (EUSALP)
<p>Please indicate which of the nine actions of the EUSALP the project will contribute. Specify in which way a contribution will be provided by the project.</p> <p>[maximum 500 characters]</p>

C.3.3 Synergies

What are the synergies with past or current EU and other projects or initiatives the project makes use of?
<p>Please describe the experiences/lessons learned that the project draws on from past or current projects: e.g. the takeover of previous projects’ outputs to further develop them, and the complementary of this project proposal with other relevant projects.</p> <p>[maximum 1000 characters]</p>

C.3.4 Knowledge

How does the project build on available knowledge?
<p>Please describe the added value of the project compared to the status quo in the field tackled by your</p>



proposal.
[maximum 1000 characters]

C.4 Horizontal principles

Please consult section 8 of the cooperation programme to check in how far your project can contribute to one or several of the following horizontal principles.

Please indicate which type of contribution to horizontal principles applies to the project, and justify the choice.		
Horizontal principles	Type of contribution	Description of the contribution
Sustainable development	Drop-down list: neutral, positive effects, negative effects	Please consider for all the principles if realistically your project's activities will create a change. If the principle is acknowledged but not a main focus of the project work, please select neutral. [maximum 255 characters]
Equal opportunities and non-discrimination	Drop-down list: neutral, positive effects, negative effects	[maximum 255 characters]
Equality between men and women	Drop-down list: neutral, positive effects, negative effects	[maximum 255 characters]

C.5 Work plan per work packages (whole section for step 2 only)

This section describes the **activities** that are planned for the successful implementation of the project. There are three obligatory work packages (WP) that have to be filled in:

- project preparation,
- management
- and communication.

In these work packages the activities referring to project preparation, management and communication have to be listed. Additionally, the project has to plan implementation related work packages (up to five), where all thematic/content activities should be described.

Where activities per work package result in the delivery of **deliverables** and/or outputs³, a clear description

³ For the definition of deliverables and outputs, please refer to the Factsheet 0 "Quality requirements and contents"



and a reasonable quantification has to be provided. Please note that the number of deliverables should remain limited to the most significant ones.

Please find below a few examples of possible deliverables:

- WP management: steering committee meetings, project handbook, internal evaluation report, etc. (deliverables such as minutes of meetings and project reports should not be listed)
- WP communication: project final conference, project publications (e.g. project brochures, flyers, leaflets, publication on final results), press conference, etc. Promotional material, articles which have been published in paper or eMedia (which were not produced by the project) are not considered as project's deliverables.
- WP implementation: thematic reports, studies/analyses, thematic workshops, other tools supporting the preparation of the project output(s).

There are no deliverables/outputs to be planned for WP preparation.

Outputs are a key element of the project but it is not expected for every work package to have outputs. Please make sure that the outputs contribute clearly to the selected programme output indicators and that the table is coherent as described in the intervention logic in Factsheet 0 "Quality requirements and contents". Pay particular attention to the date of delivery of outputs: it has to be consistent with the project activities and should allow sufficient time for an active dissemination of the outputs (also take into account that the last 2-3 months of the project, focus should be on the administrative closure).

Based on the selected programme objectives to which the project intends to contribute, applicants should select indicators from the programme system. The full list of indicators is provided in the following table.



Code	CP code	Priority	Specific objective	Indicator
	CO_26	1	1.1	Number of enterprises cooperating with research institutions
	CO_42	1	1.1	Number of research institutions participating in cross-border, transnational or interregional research projects
OI1.1.1	OI_1b_1_1	1	1.1	Number of supported transnational cooperation structures improving the framework conditions for innovation
OI1.1.2	OI_1b_1_2	1	1.1	Number of developed strategic elements improving the framework conditions for innovation
OI1.1.3	OI_1b_1_3	1	1.1	Number of developed implementation elements improving the framework conditions for innovation
OI1.2.1	OI_1b_2_1	1	1.2	Number of supported transnational cooperation structures increasing capacities for the delivery of services of general interest in a changing society
OI1.2.2	OI_1b_2_2	1	1.3	Number of developed strategic elements increasing capacities for the delivery of services of general interest in a changing society
OI1.2.3	OI_1b_2_3	1	1.4	Number of developed implementation elements increasing capacities for the delivery of services of general interest in a changing society
OI2.1.1	OI_4e_1_1	2	2.1	Number of supported transnational cooperation structures aiming at establishing trans-nationally integrated low carbon policy instruments
OI2.1.2	OI_4e_1_2	2	2.1	Number of developed strategic elements aiming at establishing trans-nationally integrated low carbon policy instruments
OI2.1.3	OI_4e_1_3	2	2.1	Number of developed implementation elements establishing trans-nationally integrated low carbon mobility and transport
OI2.2.1	OI_4e_2_1	2	2.2	Number of supported transnational cooperation structures increasing options for low carbon mobility and transport
OI2.2.2	OI_4e_2_2	2	2.2	Number of developed strategic elements increasing options for low carbon mobility and transport
OI2.2.3	OI_4e_2_3	2	2.2	Number of developed implementation elements for low carbon mobility and transport
OI3.1.1	OI_6c_1_1	3	3.1	Number of supported transnational structures aiming at the implementation of sustainable valorisation of cultural and natural heritage of the Alpine Space
OI3.1.2	OI_6c_1_2	3	3.1	Number of developed strategic elements aiming at the implementation of sustainable valorisation of cultural and natural heritage of the Alpine Space
OI3.1.3	OI_6c_1_3	3	3.1	Number of developed implementation elements sustainably valorising cultural and natural heritage of the Alpine Space
OI3.2.1	OI_6d_1_1	3	3.2	Number of supported transnational cooperation structures aiming to enhance the protection, the conservation and the ecological connectivity of the Alpine Space ecosystems
OI3.2.2	OI_6d_1_2	3	3.2	Number of developed strategic elements aiming to enhance the protection, the conservation and the ecological connectivity of the Alpine Space ecosystems
OI3.2.3	OI_6d_1_3	3	3.2	Number of developed implementation elements enhancing the protection, the conservation and the ecological connectivity of the Alpine Space ecosystems
OI4.1.1	OI_11.01	4	4.1	Number of supported transnational cooperation structures encompassing multilevel and transnational governance in the Alpine Space
OI4.1.2	OI_11.02	4	4.1	Number of developed strategic elements aiming at the increase of the application of multilevel and transnational governance in the Alpine Space
OI4.1.3	OI_11.03	4	4.1	Number of developed implementation elements applying multilevel and transnational governance in the Alpine Space

A definition of the programme indicators and guidance on their quantification is provided here after⁴:

- CO_26: this indicator captures the number of enterprises that cooperate with research institutions in R&D projects. The indicator is defined as follows by the EC⁵: “At least one enterprise and one research institution participates in the project. One or more of the cooperating parties (research

⁴ The definition of programme specific output indicators (OI) derives from page 6 of the cooperation programme of Alpine Space. This is available on the programme website: http://www.alpine-space.eu/about/programme-documents/asp_cooperation_programme_final.pdf.

⁵ The definition derives from page 29 of the EC guidance documents on monitoring and evaluation (https://ec.europa.eu/regional_policy/sources/docoffic/2014/working/wd_2014_en.pdf).



institution or enterprise) may receive the support but it must be conditional to the cooperation. The cooperation may be new or existing. The cooperation should last at least for the duration of the project. Due to the specific nature of this indicator, applicants wishing to select it should take contact with the relevant programme bodies (ACP/JS) in order to check whether the activities proposed in the project and the use of this output indicator are in line with the programme specific objectives.

How to measure: cooperation should be counted based on the operation. Therefore a project can plan and report maximum “1” as target and achieved value.

- CO_42: captures the number of research institutions participating in transnational research projects. The indicator is defined as follows by the EC⁶: it is a variant of indicator 26 with the difference that it counts cooperating research institutions instead of enterprises, and that the research project must qualify as cross-border, transnational or interregional. Due to the specific nature of this indicator, applicants wishing to select it should take contact with the relevant programme bodies (ACP/JS) in order to check whether the activities proposed in the project and the use of this output indicator are in line with the programme specific objectives.
- OI_1b_1_1, OI_1b_2_1, OI_4e_1_1, OI_4e_2_1, OI_6c_1_1, OI_6d_1_1, OI_11.01: these outputs (in each of the relevant specific objectives) measure the number of transnational cooperation structures supported. These are those structures which accommodate transnational cooperation and enable the generation of added value compared to national and regional structures, like associations, agreements, frameworks, platforms and networks, which consist of a number of partners that sufficiently cover the Alpine Space area in terms of regional coverage, thematic relevance and institutional completeness. These have at least one feature which can “make a difference” on the transnational level (e.g. legislation mandate, PR-presence, scientific excellence etc.). **How to measure:** each cooperation structure is to be counted only once it is established by the project. For instance, already existing networks the project leverages on cannot be counted for this indicator. Also, if the project intends to establish a network, it will not be sufficient to gather a list of experts who expressed interest in cooperating; the output will be reached only when the network has been set up and is functioning (ideally, this is also formalised in an agreement).
- OI_1b_1_2, OI_1b_2_2, OI_4e_1_2, OI_4e_2_2, OI_6c_1_2, OI_6d_1_2, OI_11.02: these outputs (in each of the relevant specific objectives) measure the number of transnational strategic elements. These are formal or informal documents and papers which jointly identify new fields of action among the Alpine Space regions (future), coordinate and enhance existing mainstream policy tools (present) or evaluate and draw conclusions from past actions in order to lead to coordinated or joint

⁶ The definition derives from page 29 of the EC guidance documents on monitoring and evaluation (https://ec.europa.eu/regional_policy/sources/docoffic/2014/working/wd_2014_en.pdf.)



action in the future. The more concrete such an output is, the better it is (e.g. detailed action and time plan, resources allocation, evaluation plan). **How to measure:** each completely developed strategic element, whether implemented or not, should be only counted once under the respective output indicator.

- OI_1b_1_3, OI_1b_2_3, OI_4e_1_3, OI_4e_2_3, OI_6c_1_3, OI_6d_1_3, OI_11.03: these outputs (in each of the relevant specific objectives) measure the number of transnational implementation elements. They define the “way to do things right in transnational terms” like jointly developed methodologies and tools, pilot actions, investment preparations which support the operation and implementation of the two groups above by reinforcing their innovation and cost-effectiveness. Therefore the “added value” of developing such elements in transnational projects is emphasised. **How to measure:** each fully developed tool, whether implemented or not, should be only counted once under the respective output indicator.

Work packages

• Preparation

WP Nr	Project preparation	WP start date	WP end date	WP budget
P	Project preparation	MM.YYYY not before 01/2014	MM.YYYY until project start date ⁷)	Automatically filled in from the budget section
Partners' involvement				
Partners involvement selection		Please tick the partners involved in this WP.		
Summary description of activities carried out and contribution of each partner.				
Please copy/paste this text: - Preparation and submission of the application form and partnership agreement. [maximum 1000 characters]				

• Management

WP Nr	WP title	WP start date	WP end date	WP budget
M	Project management	Automatically inserted from project's start date	Automatically inserted from project's end date	Automatically filled in from the budget section

⁷ For call 4 projects, the end date of this work package is 1 October 2019. Specific date may be confirmed by the programme in step 2.



Partners' involvement			
WP responsible partner	Lead partner – automatically inserted from Part B - Partners		
Partners involvement selection	Please tick the partners involved in this WP		
Provide an overview how the project management will be organised: general structure and procedures, share of responsibilities, if project management will be externalised.			
<p>Describe how the management on the strategic and operational level will be carried out in the project, specifically:</p> <ul style="list-style-type: none"> - structure, responsibilities and procedures for the day-to-day management and coordination - internal communication: communication within the partnership - reporting and evaluation procedures - risk and quality management - indicate whether the management is foreseen to be externalised <p>[maximum 2000 characters]</p>			
Please describe activities and deliverables within the work package.			
Activity M.1	Activity title [maximum 120 characters] Please list the different kind of activities of the work package. Be aware that max. 5 activities can be listed per work package. Typical activities for this work package are for instance: <ul style="list-style-type: none"> - Internal communication within the partnership - Project controlling (which can be also divided in different activities) - Coordination of the partnership - Project administrative closure (to ensure the timely closure of the project, it is recommended that this activity lasts 2-3 months before the project end date and that content related activities do not overlap with the administrative project closure). 	Start date (MM.YYYY) <i>e.g. same as project start date</i>	End date (MM.YYYY) <i>e.g. same as project end date</i>
	Activity description [maximum 500 characters]		
M 1.1	Deliverable title Deliverables can be planned for the corresponding activity whenever relevant. Please keep it limited to the most important ones. It is not mandatory to have a deliverable per activity. The deliverable planned will have to be reported in the project reports.	Deliverable description [maximum 255 characters]	Target value (number)



	[maximum 120 characters]		
Activity M. N+	Activity title [maximum 120 characters]		Start date (MM.YYYY)
	Activity description [maximum 500 characters]		
M.N+.1	Deliverable title [maximum 120 characters]	Deliverable description [maximum 255 characters]	Target value (number)

• **Implementation**

WP Nr	WP title	WP start date	WP end date	WP budget
T1 - 5	WP implementation	Automatically inserted from activities	Automatically inserted from activities	Automatically filled in from part D or E
Partners' involvement				
WP responsible partner		Drop-down list		
Partners involvement selection		Please tick the partners involved in this WP.		
Objective of the work package and link with the other work packages				
Please describe the objectives of the work package and how the below activities contribute to them. If an output is planned in this work package, please explain how it will be developed. Please describe also the relation of this work package to the other work packages. [maximum 2000 characters]				
Please describe the project outputs that will be delivered based on the activities carried out in this work package. For each project output, a programme output indicator should be chosen. Please note that they need to have the same measurement unit.				
Project output	Describe your project output and its contribution to project specific objectives	Choose a programme output indicator to which the project output will contribute	Quantify your contribution	Delivery date
Output T.1 (automatic numbering)	Output 1 The output is the outcome of the activities co-financed, which is crucial for the fulfilment of project objectives. It is resulting from a work package and	Drop-down list	Number	MM.YYYY



		usually not from a single activity. It is not mandatory to have an output in each WP. There should not be more than 3 outputs per WP. Please only mention the output in this section and do not list them again as deliverables. [maximum 255 characters]			
Output T.N+ (automatic numbering)	Output 2		Drop-down list	Number	MM.YYYY
Target group involvement					
Who will use the outputs delivered in this work package?		Drop-down list of pre-defined target groups in annex 1 (multiple selection possible)			
How will you involve the target groups (and other stakeholders) in the development of the project outputs?		Please remember to countercheck the coherence with the sections target groups in C.2.3. [maximum 500 characters]			
Durability and transferability of outputs delivered in this work package					
How will the project outputs be further used once the project has been finalised? Please describe concrete measures (including e.g. institutional structures, financial sources etc.) taken during and/or after project implementation to ensure the durability of the project outputs. If relevant, please explain which project partner will be responsible and/or the owner of the output.		Please list here concrete measures and if relevant towards which precise target group. [500 characters] Please make sure to base your approach on the communication strategy outlined in the communication WP.			
How will the project ensure that the project outputs are applicable and replicable by other organisations/regions/countries outside of the current partnership? Please describe to what extent it will be possible to transfer the outputs to other organisations/regions/countries outside of the current partnership.		Please explain here shortly how the output can be transferred and re-used. [500 characters] Please make sure to base your approach on the communication strategy outlined in the communication WP.			
Please describe activities and deliverables within the work package.					
Activity T.1	Activity title [maximum 120 characters] The number of activities per implementation work package		Start date (MM.YYYY)	End date (MM.YYYY)	



	is limited to 5.		
	Activity description [maximum 500 characters] Outline your activities and mention the partners involved.		
D 3.1.1	Deliverable title Deliverables are tangible products (and major project events) delivered by the project; they are intermediate steps that lead to the output. List only the most important deliverables. It is not the quantity of deliverables, but quality, effectiveness and their usability by the target groups that counts. [maximum 120 characters]	Deliverable description [maximum 255 characters]	Target value
Activity T.N+	Activity title [maximum 120 characters]		Start date (MM.YYYY)
	Activity description [maximum 500 characters]		End date (MM.YYYY)
D T.N+.N+	Deliverable title [maximum 120 characters]	Deliverable description [maximum 255 characters]	Target value

- **Communication**

WP Nr	WP title	WP start date	WP end date	WP budget
C	Communication activities	Automatically inserted from activities	Automatically inserted from activities	Automatically filled in from the budget section
Partners' involvement				
WP responsible partner		Drop-down list		
Partners Involvement Selection		Please tick the partners involved in this WP.		
<p>Please indicate main objectives of the work package, as well as its linkage to the other work packages and provide a short description of the main activities.</p> <p>Be aware that max. 5 activities can be listed per work package.</p>				
Please describe your overall communication strategy. Please describe how communication activities will				



support you in reaching your project objectives and achieving your planned results.
 Make sure that the communication activities included in the other work packages are shortly mentioned or referred to in this overview (e.g. target group involvement and transferability measures).
 Make sure that you include the mandatory communication activities listed in the subsidy contract (e.g. project final event, poster, etc.).
 More information can be found in Factsheet 4.4 “Project Communication”.
 [maximum 2000 characters]

Project specific objectives	Communication objectives What can communications do to reach a specific project objective?	Approach/Tactics What type of activities do you plan to reach your target groups? How do you plan to reach the communication objective?
Specific objective 1 (Pre-filled from C.2.1)	Possibility to fill in 1 to 2 communication objectives per project specific objective Choose among the four communication objectives (drop-down list): - Raise awareness (if target group knows nothing about the topic) - Increase knowledge (if target group knows little about the topic) - Influence attitude (if target group knows about but has a different opinion about the topic) - Change behaviour (if target group needs encouragement to use your output)	[maximum 500 characters] Describe here the way you want to reach your target groups. Make sure you also refer to the transfer of the project outputs in this description.
Specific objective N+ (Pre-filled from C.2.1)	Choose among the remaining communication objectives (drop-down list)	[maximum 500 characters]

Please describe activities and deliverables within the work package

Activity	Activity title	Start date	End date
C.1	Please choose among (drop-down list): - Start-up activities including communication strategy and website set up - Publications - Public events	(MM.YYYY)	(MM.YYYY)



	<ul style="list-style-type: none"> - Digital activities including social media and multimedia - Promotional activities <p>Please don't forget the mandatory activities/deliverables listed in the subsidy contract.</p>			
	<p>Activity description Make sure to mention the target groups you would like to reach with this activity. [maximum 500 characters]</p>			
C 1.1	<p>Deliverable title Please only list relevant deliverables that support/complete your project outputs. Possible deliverables: printed material such as reports, flyers, maps, plans or other project publications as well as tools, networks and dissemination events. [maximum 120 characters]</p>	<p>Deliverable description [maximum 255 characters]</p>	<p>Target value Please indicate the number of deliverables developed (e.g. 1 event rather than the number of participants)</p>	
Activity C.N+	<p>Activity title (drop-down list)</p>		<p>Start date (MM.YYYY)</p>	<p>End date (MM.YYYY)</p>
	<p>Activity description [maximum 500 characters]</p>			
C N+.1	<p>Deliverable title [maximum 120 characters]</p>	<p>Deliverable description [maximum 255 characters]</p>	<p>Target value</p>	

C.6 Activities outside of the Union part of the programme area

<p>If applicable, please list and estimate activities to be carried out outside the Union part of the programme area</p> <p>Please do <u>not</u> include here the activities and budget of partners from Switzerland or Liechtenstein. This section only concerns activities that are co-financed by ERDF.</p> <p>Please include here the following:</p> <ul style="list-style-type: none"> - 100% of budget of project partners based outside the EU part of the programme area (but only from a programme partner State), excluding project partners who have a competence covering the whole country or participating region; - activities of partners (based in the EU part of programme area) that are implemented outside the EU part of the programme area (excluding activities connected to publicity and capacity building). <p>Please provide a summary of the relevant activities and the added value for the programme. For further guidance, please refer to Factsheet 1.2 "Who can participate"</p>



[maximum 255 characters]	
Total budget of activities to be carried out outside the Union part of the programme area (indicative)	EUR manually inserted
ERDF outside the Union part of the programme area (indicative)	EUR manually inserted
% of total ERDF (indicative)	EUR Automatically calculated

C.7 Indicative time plan (automatically generated with data from section C.5)

Work packages and activities	Year 1			Year 2			Year 3		
WP 1 title									
A 1.1 title									
A 1.2 title					D.1.2.1				
A 1.3 title									
A 1.4 title								D.1.4.1	
A 1.5 title								O1.1	
WP 2 title									
A 2.1 title									
A 2.2 title									
A 2.3 title									
A 2.4 title									
A 2.5 title									
WP 3 title									
Etc.									

PART D - PROJECT BUDGET (whole section for step 2 only)

Before starting to build the budget, please consult the programme eligibility rules (Factsheet 1.4 “What can be co-financed”).

How to fill in the budget section of the AF

Define budget breakdown

The budget breakdown defines the reporting periods and the deadlines for reporting.

“Period 0” concerns the preparation phase of the project. Period 0 is to be filled in manually. The start and



end dates of this period have to be consistent with the information provided in the work plan for the corresponding work package “preparation”: the start date cannot be earlier than 1 January 2014 and the end date cannot overlap with the project implementation (therefore preparation has to end just before the start date of the project⁸). Field “reporting date” should be disregarded as not relevant for preparation.

The following periods are filled in automatically based on the information provided in the project overview (project start and end date). In case the project start and end dates are changed in step 2 (i.e. from the EoI to the AF), periods will have to be refreshed by clicking on the button “Re-create budget breakdown”.

It is recommended clicking on “re-create budget breakdown” and saving before filling in the budget section.

After this preliminary step, the individual budget per partner will have to be filled in. The sum of the partners’ budgets will define the overall project budget.

Enter budget per partner

In the tab “Partner budget”, select the relevant project partner and click on “Define budget”.

List of partners and observers

Number	Name	Country	Abbreviation	Role	Associated to	Budget
1	ASP Test LP	ÖSTERREICH	ASP LP	LP		<input type="button" value="Define Budget"/> <input type="button" value="Define contribution"/>

The first step to do is enabling the flat rates by clicking on the relevant box (see below).

Budget flat rates

Budget Flatrate

The following information will appear:

Budget flat rates

Budget Flatrate

Flatrate Staff

Flatrate Office

15.00%

According to programme rules, the flat rate for “office and administration” is pre-set at 15% of the reported

⁸ For call 4 projects: the project start will be 2 October 2019, and therefore the end date of the preparation phase is 1 October 2019.



staff costs (real costs are not allowed). This value cannot be changed. Additionally, a project partner may select a flat rate for staff. This is set at 20% of all other direct costs (if a project partner selects this option, the budget for staff cannot be planned on real costs basis in addition). If selected, it cannot be increased or decreased. The flat rate on staff costs is optional: it is up to each project partner whether to select it or not; in the same project, there might be a combination of partners using the flat rate for staff costs or not; once adopted by a partner, however, the flat rate will apply to its budget for the entire project duration. When developing their AF, partners should carefully evaluate whether or not they wish to use the flat rate for staff costs. Once the AF approved, this can no longer be changed. For further details see Factsheet 1.4 “What can be co-financed”.

The second step is to provide the budget details. The budget per partner is displayed in three tables:

- Budget lines / work packages
- Budget lines / period
- Work packages / period

The costs budgeted for each partner have to be allocated to budget lines, work packages and periods. These three “dimensions” (budget lines, work packages, periods) are always considered in each of these tables, even when not fully displayed. Any information entered in one table is automatically taken over into the other tables. Therefore, applicants can choose working on one table only or shift from one to the other.

Example: filling in the partner budget via the table budget lines / period

Budgetline	Subbudgetline	Period 0	Period 1	Period 2	Period 3	Period 4	Period 5	Period 6	Sum
Staff costs	Staff costs / Staff costs	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00
	Sum	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00
Office and administration	Office and administration	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00
	Sum	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00
Travel and accomodation	Travel and accomodation	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00
	Sum	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00
External expertise and services	External expertise and services	€ 20,000.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 20,000.00
	Sum	€ 20,000.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 20,000.00
Equipment	Sum	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00
Net Revenue	Net Revenue	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00
	Sum	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00
Sum		€ 20,000.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 20,000.00

 This symbol allows entering information in the budget tables. Each “pencil” allows the applicant to access a table where the budget can be filled in per work packages (i.e. the missing “dimension” of the table budget lines / periods).



 This symbol allows entering equipment items. A description box will appear where information on the planned equipment has to be provided. For technical reasons, please enter the equipment items in alphabetical order.

A description is only requested for the budget line equipment. For the other budget lines, the amount is sufficient and descriptive elements (e.g. budget items, staff type, unit types) are not required.

Points of attention:

- Financial figures are to be entered without any digits after the comma (e.g. euro 125 and not 125.25). Please make sure this is the case for all partners, to limit rounding issues.
- The budget for preparing the project should be included in the first place. This budget has to be allocated in period 0 (corresponding to work package 0 'preparation'). It consists of a lump sum of EUR 20,000 total eligible costs for the whole project (equivalent to maximum EUR 17,000 ERDF). Within this total amount, any partner can plan budget in the WP preparation and it is up to each project to decide whether to allocate it to one single or more partners. For simplification reasons and as it is **not** necessary to prove these costs, projects are kindly asked to budget the lump sum under the budget line "external expertise and services".
- When building the budget for the implementation phase, projects are requested to estimate the amounts needed to carry out the planned activities and that will in addition be paid out within each period. Estimating in which period the actual payment will be made is important because approved projects are expected to report according to the budget per period as planned in the AF (in other words, the budget period corresponds to the project payment per semester and is the basis for future reporting). For instance: if an activity will be implemented towards the end of period 1 and the actual payment will only be made in period 2, the budget for this activity has to be planned in period 2.
- Adequate resources should be budgeted to implement project activities. As the core of the project is represented by the content related activities, it is expected that the relevant work packages absorb most of the budget. Because pilot activities have a test character supporting the main project activities, attention should be paid that costs for pilot activities remain reasonable.
- The budget for project management should remain reasonable and it is recommended that it does not exceed 20% of the total project budget.
- Equipment items can be planned when necessary for the successful implementation of the project or if they are considered as a project output/deliverable. Please specify the kind of equipment (implementation-related or output/deliverable) in the description of the equipment item. The description of the items has to be clear and allow making a link to the planned activities. Please have



a careful look at the programme eligibility rules (Factsheet 1.4 “What can be co-financed”) concerning the type of equipment allowed under this budget line. Be aware that equipment items connected to operating and administrative expenses of project partners (e.g. IT systems for project management) are covered by the flat rate for “office and administration” and cannot be budgeted in addition under the budget line “equipment”. While for equipment considered as an output/deliverable the full purchase price is eligible, for other equipment it is eligible if used solely for the purpose of the project and depreciable within the eligible period, otherwise a pro-rata calculation needs to be carried out. When building the budget, the depreciation costs should be split and allocated to the respective reporting periods.

- Budget line “infrastructure and works” has to be disregarded and not filled in. No costs budgeted in this budget line can be co-financed by the programme.
- Net revenues: for projects expecting to generate net revenues, the value of these net revenues has to be estimated and indicated in section D.2 of the AF. Net revenues are defined by Regulation (EU) No. 1303/2013 (articles 61 and 65) as cash in-flows paid by users for the goods or services provided by the project, such as payments for services minus any operating costs and replacement costs of short-life equipment which are incurred during the corresponding period. Examples of services may be e.g. conference fees, sales of publications, or other services offered to target groups against payment. This means for instance that if the gains derived from the selling of a service by the project are higher than the operating costs, this gap would be a net revenue and will have to be indicated in the AF (in order to be deducted in full or pro-rata from the project eligible costs during its implementation, depending on whether it was generated entirely or only partly by the co-financed project).

Enter the contribution of each partner

The contribution should be entered once the total budget is filled in. In the tab “Partner budget”, select the relevant project partner and click on “Define contribution”.

List of partners and observers

Number	Name	Country	Abbreviation	Role	Associated to	Budget
1	ASP Test LP	ÖSTERREICH	ASP LP	LP		Define Budget Define contribution

The source of the contribution, its legal status (private or public) and its amount must be filled in. Different sources of contribution are allowed; a new source can be added by clicking on the “+” symbol. The total of contribution should not be higher than the “total target value”. If higher, the co-financing rate of the partner should be lowered accordingly. If making changes in the budget after the “partner contribution” has been filled in, it may be necessary to update the contribution afterwards.



Please double-check if the figures are still correct.

Partner contribution

Partner contribution rate

	Amount	Cofinancing rate
Programme cofinancing	€ 8.542,50	85,00 %
Partner contribution	€ 1.507,50	
Partner total eligible budget	€ 10.050,00	

Source of contribution

Source Of Contribution	Legal Status	% of total partner contribution	Amount	Options
ASP Test LP	public	100,00 %	€ 0,00	
	private	0,00 %	€ 0,00	
Sub-total public contribution		0,00 %	€ 0,00	
Sub-total private contribution		0,00 %	€ 0,00	
Total			€ 0,00	
Total target value			€ 1.507,50	

 Return to list of partners

PART E – PROJECT ANNEXES (Step 2 only)

→ only the signed partnership agreement is to be uploaded. Any other document will be disregarded



ANNEX 1

INTERACT classification of type of partners and target groups

Nr	Main categories	Examples	Measurement unit
1	Local public authority	municipality, etc.	[number of organisations]
2	Regional public authority	regional council, etc.	[number of organisations]
3	National public authority	ministry, etc.	[number of organisations]
4	Sectoral agency	local or regional development agency, environmental agency, energy agency, employment agency, etc.	[number of organisations]
5	Infrastructure and (public) service provider	public transport, utility company (water supply, electricity supply, sewage, gas, waste collection, etc.), airport, port, railway, etc.	[number of organisations]
6	Interest groups including NGOs	international organisation, trade union, foundation, charity, voluntary association, club, etc.	[number of organisations]
7	Higher education and research	university faculty, college, research institution, RTD facility, research cluster, etc.	[number of organisations]
8	Education/training centre and school	primary, secondary, pre-school, vocational training, etc.	[number of organisations]
9	Enterprise		[number of enterprises]
10	SME	micro, small, medium	[number of SME]
11	Business support organisation	chamber of commerce, chamber of trade and crafts, business incubator or innovation centre, business clusters, etc.	[number of organisations]
12	EEIG, EGTC ⁹		[number of organisations]
13	International organisation	under national law, under international law	[number of organisations]
14	General public ¹⁰		[number of people]
15	Other ¹¹		

⁹ Relevant only for type of partner classification

¹⁰ Relevant only for target groups

¹¹ Relevant only for target groups



FactSheet

No. 2.2

National requirements

Country sections

Austria	2
France	3
Germany	5
Italy.....	6
Liechtenstein	7
Slovenia.....	8
Switzerland	9

Most countries of the Alpine Space programme set up national requirements as regards the application procedure and ask for additional documents to be submitted at the national level. Those requirements might be different between the two steps of the application procedure and are used in the process of project selection. Templates for all national requirements forms can be downloaded from the [national pages section](#) of the programme's website.

In step 1 and in step 2 of the project application the eligibility criteria foresee obligatory contacts with the Alpine Space contact points (ACPs). For details please check the information provided by the different countries and the factsheet "Project selection: procedure and criteria". As a general rule each project applicant is advised to get in contact with its [ACP](#).



Austria

First step: expression of interest

Each Austrian EoI lead partner (LP) is obliged to consult the Austrian ACP within step 1 of the application procedure to ensure the submission of a quality project proposal (at least one written contact before project submission). It is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.

No further national requirements are set for the first step of the application process; however Austrian EoI lead partner and project partners might be contacted after submission and might be asked to provide short feedback on involvement and legal status.

Second step: application form

Each Austrian lead partner is obliged to consult the Austrian ACP within step 2 of the application procedure. For all Austrian project partners it is highly recommended to consult the Austrian ACP within step 2 of the application procedure. The established contact to the ACP is part of the national evaluation and shall ensure the submission of quality application documents and – if relevant – to explain the PC recommendations from step 1 in detail. As in step 1 the obligatory contact of the LP is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.

Additionally, documents need to be submitted by all Austrian project participants (partner and lead partner) via e-mail to the Austrian ACP within the second step with the following information. Deadlines will be communicated for each call in due time.

- *Partnerformular*: checklist for further required information of each project partner/lead partner to be submitted via e-mail together with all respective additional documents as required by the Austrian ACP. Further information and explanation will be included in a cover letter of the ACP.

Please note that in the second step the national requirements are necessary for national confirmation of all Austrian partners listed in the application form. In case the documents are not provided in time, the ACP is not able to confirm the required criteria to the JS.



France

First step: expression of interest

Each French Eol lead partner is obliged to consult the French ACP within step 1 of the application procedure to ensure the submission of a quality project proposal (at least one written contact before project submission). It is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.

Moreover, all French project participants (partner and lead partner) must provide the French ACP with:

- a summary of the project (including the main challenges addressed, the main objectives, outputs and results and indicating the public policies the project is contributing to).

Please use the template available on the [national page](#). This document has to be filled in French and sent, by email, to the French ACP within the deadline for submission of the Eol.

Second step: application form

Each French lead partner is obliged to consult the French ACP within step 2 of the application procedure. The established contact to the ACP is part of the national evaluation and shall ensure the submission of quality application documents and – if relevant – to explain the PC recommendations from step 1 in detail. As in step 1 the obligatory contact of the LP is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.

Moreover, all French project participants (partner and lead partner) must provide the French ACP with the following information:

1) Documents related to the organisation:

- *Copy of the statute (or other instruments of incorporation) of the organisation mentioning the nature (public or private) of the takings and the composition of the managerial board;*
- *Copy of financial documentation: bilans et annexes; comptes de résultats sur trois ans.*



2) Documents related to the project:

- Description of the project
- Description of the detailed activities to be carried out by the French partner(s), as well as a description of the foreseen pilot sites;
- Description of the contribution of the project to public policies at regional/national level ;
- Please note: the costs of the first level control must be included by French partner under their budget line “external expertise and services costs”.

Please use the template available on the [national page](#).

Please note: in case of a project gathering several French partners, the document related to the project has to be sent by one partner only on behalf of the whole French partnership (single version including the information of each partner).

All these documents (related to the organisation and related to the project) have to be sent to the French ACP, by email, within the deadline for submission of the application form.

Please note that in this second step the national requirements are eligibility criteria, i.e. if not fulfilled a project partner will be excluded from the project partnership.



Germany

First step: expression of interest

Each German lead partner is obliged to consult the German ACP within step 1 of the application procedure to ensure the submission of a quality project proposal (at least one written contact before project submission). It is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment. In addition a contact of all German project partners is highly appreciated.

No further national requirements are set for the first step of the application process.

Second step: application form

Each German LP and each German PP is obliged to contact the German ACP within step 2 of the application procedure. The established contact to the ACP is part of the national verification and shall ensure the submission of quality application documents and – if relevant – to explain the PC recommendations from step 1 in detail. As in step 1 the obligatory contact of the LP is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.

Additionally, the following documents need to be submitted via post mail to the German ACP with the second step by all German project participants (lead partner and project partners):

- 1) *Partnerformular*: Checklist for further required information of each PP/LP – to be submitted via post mail together with all respective additional documents as required to the German ACP.
- 2) *Verpflichtungserklärung*: Confirmation of contribution (counterpart to ERDF co-financing) of each PP/LP – to be submitted via post mail to the German ACP.

Further information and explanation can be obtained in the “Infobrief ACP Germany” available also at the [national pages, Germany](#).

Please note that in this second step the national requirements are eligibility criteria, i.e. if not fulfilled a project partner will be excluded from the project partnership.



Italy

First step: expression of interest

Each Italian lead partner is obliged to consult the Italian ACP within step 1 of the application procedure to ensure the submission of a quality project proposal (at least one written contact before project submission). It is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment. In addition a written contact of all Italian project partners is recommended.

Moreover, all Italian project participants (partner and lead partner) must provide the Italian ACP with national requirement documents.

Please note that in case the first step the national requirements for Italy are not fulfilled by a project partner, this project partner will not be considered in the Italian verification.

Documents to be provided:

- Document *Autocertificazione forma giuridica* (to be provided by the EoI LP, but only if it is Italian)
- Document *Autocertificazione del responsabile legale* (to be provided by the EoI LP, but only if it is Italian)
- Document: *Curriculum Vitae – CV* of all Italian project participants (PP and LP, if relevant).

Documents can be found on the specific section “documents” of [national pages Italy](#). All these documents shall be submitted to the Italian ACP by e-mail (spazio_alpino@regione.lombardia.it) within the given deadline of a call as indicated in the respective terms of reference. The CV form shall be filled in and signed by the legal responsible.

All declarations, to be valid, must be accompanied by a copy of the identity document of the legal responsible, signing the declaration (in case the signing legal responsible is the same in all declarations, only one copy of the identity document is needed).

Second step: application form

Each Italian lead partner is obliged to consult the Italian ACP within step 2 of the application procedure. The established contact to the ACP is part of the national evaluation and shall ensure the submission of quality application documents and – if relevant – to explain the PC recommendations from step 1 in detail. As in



step 1 the obligatory contact of the LP is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment. In addition a written contact of all Italian project partners is recommended.

Moreover, all Italian project participants (partner and lead partner) must provide the Italian ACP with national requirement documents.

All these documents shall be submitted to the Italian ACP by e-mail (spazio_alpino@regione.lombardia.it) within the given deadline of a call as indicated in the respective terms of reference.

Please send all documents together with an accompanying letter:

- Document *CV del LP o PP italiano* (only for those project participants who were not part of the Eol).
- Document *Autocertificazione della forma giuridica* (for all PPs and also for the IT LP if it is different from the Eol)
- Document *Autocertificazione del responsabile legale* (for LP only if it is changed compared to the Eol and for all PPs).

All declarations, to be valid, must be accompanied by a copy of the identity document of the legal responsible, signing the declaration (in case the signing legal responsible is the same in all declarations, only one copy of the identity document is needed).

Please note that also in this second step the national requirements are eligibility criteria, i.e. if not fulfilled a project partner will be excluded from the project partnership.

Liechtenstein

First step: expression of interest

Each Liechtenstein lead partner is obliged to consult the Liechtenstein ACP within step 1 of the application procedure to ensure the submission of a quality project proposal (at least one written contact before project submission). It is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.



Further national requirements might be made available at a later stage.

Second step: application form

Each Liechtenstein lead partner is obliged to consult the Liechtenstein ACP within step 2 of the application procedure. The established contact to the ACP is part of the national evaluation and shall ensure the submission of quality application documents and – if relevant – to explain the PC recommendations from step 1 in detail. As in step 1 the obligatory contact of the LP is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.

Further national requirements might be made available at a later stage.

Slovenia

First step: expression of interest

Each Slovene lead partner is obliged to consult the Slovene ACP within step 1 of the application procedure to ensure the submission of a quality project proposal (at least one written contact before project submission). It is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.

All Slovenian project participants (PP and EoI LP) must fill in and provide the form *Nacionalno preverjanje – 1. stopnja* to the Slovenian ACP. The template of the form together with detailed instructions will be published on the Slovenian national page section of the programme's website in due time. The document must be sent via e-mail to the Slovenian ACP **within five workdays after the EoI submission deadline**. Failure to respect the requirement can result in lower scores achieved in the process of national evaluation of the project proposal and proposing partnership.

Second step: application form

Each Slovene lead partner is obliged to consult the Slovene ACP within step 2 of the application procedure. The established contact to the ACP is part of the national evaluation and shall ensure the submission of quality application documents and – if relevant – to explain the PC recommendations from step 1 in detail. As in step 1 the obligatory contact of the LP is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.



All Slovenian project participants (PP and AF LP) must send to the national contact point documentation necessary for financial capacity check: solvency report **or** S.BON-1 form **or** eS.BON form **or** BON-1/Z and BON-2 forms.

Solvency report is available at the bank, where project partner has opened a current account. Solvency report must contain information on duration of account blockade in the six months period prior to preparation of the report.

BON forms are available at the Agency of the Republic of Slovenia for Public Legal Records and Related Services.

The documents should be sent via email to the Slovenian ACP within five workdays after the AF submission deadline. Documents should not be older than two months in time of the application for submission deadline.

Switzerland

First step: expression of interest

Each Swiss lead partner is obliged to consult the Swiss ACP within step 1 of the application procedure to ensure the submission of a quality project proposal (at least one written contact before project submission). It is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment. In addition, a contact of all Swiss project partners is highly appreciated.

No further national requirements are set for the first step of the application process.

Second step: application form

Each Swiss lead partner is obliged to consult the Swiss ACP within step 2 of the application procedure. The established contact to the ACP is part of the national evaluation and shall ensure the submission of quality application documents and – if relevant – to explain the PC recommendations from step 1 in detail. As in step 1 the obligatory contact of the LP is an eligibility criterion, which means that its non-fulfilment leads to the automatic rejection of the project with no further assessment.



Additionally, Swiss partners wishing to apply for national contribution in the framework of the New Regional Policy have to submit a form (*Antragsformular Kofinanzierung Bund NRP*; *Formulaire de demande d'aide fédérale NPR*) to the Swiss ACP. Guidance can be provided by the Swiss ACP.

The deadline will be set for each call.



FactSheet

No. 2.3

Project selection: procedure and criteria

Table of content

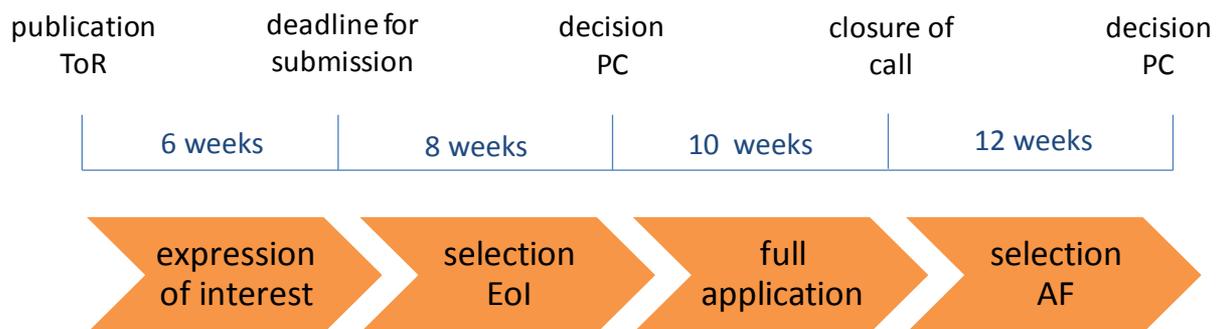
1. Selection procedure	2
Evaluation of proposals	2
Selection of proposals	3
Information to applicants.....	3
2. Selection criteria	4
Criteria for expression of interest (step 1).....	4
Criteria for project applications (step 2).....	6
Reference documents	10
Annexes	11



1. Selection procedure

The cooperation programme (CP) section 5.3 sets out a binding framework for the selection of project proposals. All project proposals are evaluated following a standardised and transparent procedure and a set of criteria approved by the programme committee (PC).

Project proposals are normally selected in a two-step application procedure: expressions of interest (EoI) in step 1 and application forms (AF) plus partnership agreements in step 2 (see details in factsheet “project application”). The following graph shows the single steps and approximate duration of the application and selection procedure.



Evaluation of proposals

In both steps the evaluation of proposals is carried out by the joint secretariat (JS), with the support of the Alpine contact points (ACP) performing national verifications for the partners situated in their country. The evaluation starts with the eligibility check and (for those successful) is then completed with the assessment. They are performed against specific criteria which are approved by the PC and set out in this factsheet; further criteria might be decided by the PC and included in the relevant terms of reference (ToR) (e.g. targeted call to specific fields of activities).

The **eligibility check** is verifying whether the proposal fulfils the minimum programme requirements. If it fails the eligibility check, the EoI/AF is considered as rejected and is not further assessed. The **assessment** is appraising the quality of a proposal; it focuses on operational and content-related aspects, in addition to the strategic ones. The assessment of an AF will also take into consideration the compliance with the recommendations given by the PC (see below).



Selection of proposals

The PC, composed by the Partner States of the programme, is the decision-making body and is therefore responsible for project selection. As soon as the eligibility check is completed, the PC decides on the eligibility of proposals, normally through a written procedure. For the quality assessment, the JS proposes a ranking list to the PC. An assessment report is developed for each project. The selection of Eo/AF is decided by the PC in the context of a specific meeting. In this meeting, national delegations discuss the different proposals and come to a common agreement on their approval or rejection. Decisions are taken by consensus of all Partner States.

Expression of interest (step 1)

In step 1, project proposals that are highly scored and show good quality are invited by the PC to submit a detailed application form (AF) and signed partnership agreement in a second step. If appropriate, the PC gives recommendations to those invited to the second step on how to further elaborate the project proposal to better meet the expectations of the programme.

Project applications (step 2)

In step 2 projects are approved or rejected. The PC selects by consensus the projects that are highly scored and show good quality and that are thus co-financed by the programme. In justified cases the PC might formulate recommendations together with the approval decision. At the latest with the submission of the first progress report the partnership will be asked for explanations on how the recommendations have been considered and integrated in the project.

Information to applicants

Information is provided to lead applicants in the relevant steps of the application procedure. At the end of the eligibility check, the lead applicants of ineligible Eo/AF are notified by the managing authority/joint secretariat (MA/JS) via email; the communication specifies the eligibility criteria which were not fulfilled. At the end of the selection process, the list of approved projects is published on the programme website together with a news thread. In addition, all lead applicants receive a letter from the MA/JS on the approval or rejection of the project; the communication includes an evaluation report and reasons for approval/rejection. In case of approval, the subsidy contract (SC) is attached to the letter.



2. Selection criteria

Criteria for expression of interest (step 1)

Eligibility criteria

- The EoI is completed with the requested information (in part A and C of the EoI all fields are obligatory; in part B of the EoI, the following fields are obligatory: name of the organisation, at least one contact detail (name of the person, telephone and email address), NUTS3 level, legal status, thematic competence/experience relevant for the project).
- The EoI is completed in the required language: English.
- The project fulfils minimum requirements for the partnership: at least 4 partners from 4 different Alpine Space countries are involved.
- Established contact of the applicant with the ACP: the EoI lead partner had at least one written contact with its respective ACP before submission (*input from the ACP verification*). For the projects with EoI LP coming from Switzerland or Liechtenstein, this rule does not apply to the EoI ERDF-LP.

Further eligibility criteria might be added, depending on the formulation in the relevant ToR as set out by the PC.

Weighting system for the assessment criteria clusters

Assessment criteria clusters	Points
Project's context and cooperation character	350
Project's contribution to programme's objectives, expected results and outputs	380
Partnership relevance	270
Total	1000

Assessment criteria

Cluster criterion: Project's context (relevance and strategy) and cooperation character (EoI sections A, C)

This criterion refers to the relevance of the project for the programme and its cooperation character. A proposal is scored 0 when, based on the overall judgement of the proposal, serious weaknesses in this assessment criteria cluster are identified. In such a case, the proposal is automatically recommended for rejection; the evaluation report does not contain weaknesses and strengths for all clusters, but a short overall assessment of the proposal as well as information on main reasons why the project reached 0 in this cluster.

How well is a need for the project justified?



- The project addresses common territorial challenges of the programme or a joint asset of the programme area - there is a real demand for the project.
- The project demonstrates its contribution to a wider strategy on one or more policy levels (EU/ macro-regional).

What added value does the cooperation bring?

- The importance of the transnational approach to the topic addressed is clearly demonstrated and reflected in the planned activities: the results cannot (or can only to some extent) be achieved without transnational cooperation and/or the transnational cooperation has a significant added value for the programme area.
- The project demonstrates new solutions that go beyond the existing practice in the sector/programme area/participating countries or adapts and implements already developed solutions.

Cluster criterion: Project's contribution to programme's objectives, expected results and outputs

(EoI section C)

To what extent will the project contribute to the achievement of programme's objectives?

- The project's results and outputs are clearly linked to a programme priority and its indicators:
 - *the project overall objective is clearly linked to a programme priority specific objective,*
 - *the project results are clearly linked to a programme result indicator,*
 - *the project specific objectives are clearly linked to the project overall objective,*
 - *the project outputs are clearly linked to the project specific objectives.*
- The project's results and outputs are in accordance with the needs of the selected target groups.

Cluster criterion: Partnership relevance (EoI section B)

To what extent is the partnership composition relevant for the proposed project? Is the partnership coherent with the project objectives?

- The project involves the relevant institutions needed to address the territorial challenge/joint asset and the objectives specified (e.g. partners with relevant institutional role and policy addressing capacity are involved, partners have proven experience in the thematic field concerned).
- With regards to the project's objectives, the project partnership is balanced with respect to the governance levels, sectors and territory.

Additionally further criteria might be assessed, depending on the formulation of the ToR as set out by the PC (e.g. targeted call to specific fields of activities).



The ACP perform national verifications as follows:

- Legal capacity of the LP (i.e. can the entity indicated as LP as such enter into legal obligations such as those arising from the partnership agreement and therefore bear rights and duties? If not, a LP change will have to be implemented in step 2).
- There are no official records pointing at possible inability in the partners' capacities to fulfil its envisaged role (also in financial terms).

Criteria for project applications (step 2)

Eligibility criteria

- *The AF is completed with the requested information.*
- *The partnership agreement as obligatory annex is submitted.*
- *The application package is completed in required language: English.*
- *The project fulfils minimum requirements for the partnership: at least 4 partners from 4 different Alpine Space countries are involved.*
- *Established contact of the LP with the ACP and JS: the LP consulted its national ACP and the JS after step 1 to ensure the submission of quality application documents (if relevant, to discuss the PC recommendations) (input from the ACP verification). For the projects with LP coming from Switzerland or Liechtenstein, this rule does not apply to the ERDF-LP.*
- *The overall objective of the submitted proposal is the same as in the EoI.*
- *The indicated LP was already involved in the EoI as LP or PP. For the projects with LP coming from Switzerland or Liechtenstein, this rule does not apply to the EoI ERDF-LP.*
- *The EoI LP is involved in the project partnership as LP or PP. For the projects with EoI LP coming from Switzerland or Liechtenstein, this rule does not apply to the ERDF-LP.*
- *The LP of the submitted proposal is a public or public equivalent body (according to the public procurement law) (input from the ACP verification). For the projects with LP coming from Switzerland or Liechtenstein, this rule applies only to the ERDF-LP.*
- *All project participants (LP and PPs) met the national requirements: each project participant submitted the national requirements within the given deadline (input from the ACP verification).*

Further eligibility criteria might be added, depending on the formulation in the relevant ToR as set out by the PC.



Weighting system for the assessment criteria clusters

<i>Assessment criteria clusters</i>	<i>Points</i>
<i>Project's context and cooperation character</i>	<i>170</i>
<i>Project's contribution to programme's objectives, expected results and outputs</i>	<i>280</i>
<i>Partnership relevance</i>	<i>200</i>
<i>Management</i>	<i>50</i>
<i>Communication</i>	<i>100</i>
<i>Work plan</i>	<i>100</i>
<i>Budget</i>	<i>100</i>
Total	1000

Assessment criteria

Were recommendations from the 1st step considered and integrated in AF?

- *Recommendations given by the PC in the 1st step of application were considered and integrated in the AF.*

Project's context (relevance and strategy) and cooperation character (AF sections B, C)

How well is a need for the project justified?

- *The project addresses common territorial challenges of the programme or a joint asset of the programme area - there is a real demand for the project.*
- *The project demonstrates its contribution to a wider strategy on one or more policy levels (EU/ macro-regional/ national/ regional) (input from ACP verification for national level).*
- *The project makes use of available knowledge and builds on existing results and practices.*
- *The project makes a positive contribution to the programme horizontal principles: sustainable development, equal opportunities and non-discrimination, equality between men and women.*

What added value does the cooperation bring?

- *The importance of the transnational approach to the topic addressed is clearly demonstrated: the results cannot (or can only to some extent) be achieved without transnational cooperation and/or the transnational cooperation has a significant added value for the programme area.*
- *The project demonstrates new solutions that go beyond the existing practice in the sector/programme area/participating countries or adapts and implements already developed solutions.*



Project's contribution to programme's objectives, expected results and outputs (AF section C)

To what extent will the project contribute to the achievement of programme's objectives?

- *Through the planned outputs and results, the project demonstrates a clear contribution to the programme priority and indicators:*
 - *the project overall objective is clearly linked to a programme priority specific objective,*
 - *the project results are clearly linked to a programme result indicator,*
 - *the project specific objectives are clearly linked to the project overall objective,*
 - *the project main outputs are clearly linked to the project specific objectives,*
 - *the project main outputs are clearly linked to programme output indicators.*
- *Results and main outputs:*
 - *are in accordance with the needs of relevant target groups,*
 - *are tangible/implementation oriented,*
 - *are clearly defined and realistic (it is possible to achieve them with given resources – i.e. time, partners, budget - and they are realistically based on the quantification provided).*
- *Project outputs are durable: the proposal is expected to provide a significant and durable contribution to solving the challenges targeted (the proposal includes realistic provisions to ensure the durability of the project outputs) – if not, it is justified why.*
- *Project outputs are applicable and replicable by other organisations/regions/countries outside of the current partnership (the proposal includes realistic provisions to ensure transferability) – if not, it is justified why.*

Partnership relevance (AF section B)

To what extent is the partnership composition relevant for the proposed project?

- *The relevance of the involved project partners is clearly demonstrated with regard to the addressed territorial challenge/joint asset and the objectives specified (e.g. partners with relevant institutional role and policy addressing capacity are involved; partner organisations have proven experience and competence in the thematic field concerned).*
- *With regards to the project's objectives the project partnership is balanced with respect to the governance levels, sectors and territory.*
- *All partners play a defined role in the partnership and are expected to get a real benefit from it.*
- *Organisations listed in the AF as project observers (if applicable) are relevant and their commitment to the project objectives is demonstrated.*



Management (AF sections B, C)

To what extent are management structures and procedures in line with the project size, duration and needs?

- *Management structures (e.g. project steering committee) are proportionate to the project size and needs and allow partners' involvement in decision-making. Project management includes regular contact between project partners and ensures transfer of expertise across the partnership (internal communication within the partnership).*
- *Management procedures (such as reporting and evaluation procedures in the area of finance, project content, communication) are clear, transparent, efficient and effective. Necessary provisions for risk and quality management are in place.*
- *The LP demonstrates competency in managing EU co-financed projects or other international projects or can ensure adequate measures for management support.*

Communication (AF section C)

To what extent are communication activities appropriate and forceful to reach the relevant target groups and stakeholders?

- *The communication objectives clearly support the project specific objectives. The approach/tactics chosen are appropriate to reach communication objectives.*
- *Communication activities and deliverables are appropriate to reach the relevant target groups and stakeholders.*

Work plan (AF section C)

Are the principles of multi-level governance and horizontal integration as well as transnationality considered in project activities?

- *Activities are of transnational character (organisational aspect).*
- *Through its activities the project promotes vertical (across levels) and horizontal (across sectors) cooperation among stakeholders.*

To what extent is the work plan realistic, consistent and coherent?

- *Proposed activities and deliverables are relevant and lead to the planned main outputs and results.*
- *Time plan is realistic (contingency included). Activities, deliverables and outputs are in a logical time-sequence. Distribution of tasks among partners is appropriate (e.g. sharing of tasks is clear, logical, in line with partners' role in the project, etc.).*
- *Activities outside the programme area clearly benefiting the programme area (if applicable).*



Budget (AF sections C, D, E)

To what extent does the project budget demonstrate value for money?

- *Economic use of the proposed budget: the project budget appears proportionate to the proposed work plan and the main outputs and results aimed for.*

To what extent is the budget coherent and proportionate?

- *Total partner budgets reflect real partners' involvement (is coherent and realistic).*
- *Distribution of the budget per period, work package and budget line is in line with the work plan.*
- *The need for engaging external expertise is justified and the costs are realistic.*
- *The need for equipment purchases is justified and the costs are realistic. The added value of equipment purchases and small scale investments and their transnational relevance is demonstrated for reaching the project objectives (if applicable).*

Additionally, further criteria might be assessed, depending on the formulation of the relevant ToR as set out by the PC (e.g. targeted call to specific fields of activities).

The ACP perform the technical verification on the national level including the following elements:

- *Legal capacity of the project participant (i.e. can the entity indicated as PP or LP as such enter into legal obligations such as those arising from the partnership agreement and therefore bear rights and duties. This includes a verification of the legal status of PP: public or private entity, according to the public procurement law).*
- *There are no official records pointing at possible inability in the capacities of participants (PP or LP) to fulfil the envisaged role (also in financial terms).*
- *The project contributes/is linked to national/regional policies.*

Reference documents

- EU Regulation 1303/2013, art. 125 (3)
- Cooperation Programme "Alpine Space", Chapter 5.3. and Guiding principles for selection of operations defined for each Investment Priority, Chapters 2.A.6.2.
- Terms of reference of the relevant call for proposals



Annexes

- *Guidance for EoI and AF, Two-step calls for proposals*
- *Subsidy contract*



FactSheet

No. 2.4

Project net revenues

Project activities can result in net revenues. If so, eligible expenditure and hence the ERDF contribution paid to a project shall be reduced according to the net revenue generated by the project during its implementation as well as until three years after its completion. The factsheet explains how to treat potential net revenues in projects co-financed by the programme. The terminology and procedures are defined in the EU regulation No 1303/2013, Article 61 and Article 65(8).

Definition of net revenue

Revenue is defined as cash in-flows directly paid by users for the goods or services provided by the project. Revenues are for instance generated when one or more project partners receive a payment from users

- to attend a project event,
- to get a project publication or
- for the use of equipment or service etc.

If this revenue exceeds the operating costs connected to project products or services - and/or the replacement costs of short life equipment incurred during the corresponding period - this will result in **net revenues**. Operating cost-savings generated by the project shall also be treated as net revenue unless they are offset by an equal reduction in operating subsidies.



How to deal with project net revenues?

Any net revenue has to be deducted from the eligible expenditure. If costs are only partially eligible, the net revenue shall be allocated pro rata to the eligible and non-eligible parts of the costs.

The method to calculate net revenues is provided in art. 61(3) of the EU regulation No 1303/2013 and further detailed under articles 15 to 19 of the Delegated regulation No 480/2014. The ERDF funding is calculated on the basis of the total cost after deduction of any net revenue.

A. Net revenues identified at application phase

When developing the application form (AF), applicants should estimate whether their project will generate net revenues during its implementation as well as until three years after its completion. If so, the amount of net revenues shall be included in the AF: in the budget section of the relevant partner(s) (a specific field is available in the AF). An automatic formula in the AF ensures that the amount of estimated net revenue is deducted from the total partners' and project budget.

B. Net revenues generated during implementation stage

Net revenues generated during the implementation stage and not foreseen and/or not deducted from the budget in the application form must be stated in the corresponding project report and must be deducted from the eligible expenditure (at the latest with the final report). If the net revenues are only partially generated due to the eligible expenditure they should be reported on a pro-rata basis. The PP that generates net revenue shall ensure that the reported amount corresponds to the reality, keeping account of all net revenue including the required documentation. FLC have to be informed on revenues generated in the reporting period and have to be provided with underlying (accounting or equivalent) documents.

C. Net revenues identified after the project's closure

Where it is objectively not possible to estimate the net revenue in advance, the net revenue generated within 3 years of the completion of the project or by the programme closure deadline, whichever is earlier, shall be reported to the JS and deducted from the expenditure declared by the programme to the European Commission. The corresponding ERDF contribution has to be either withheld from the latest instalment to the project or reimbursed to the CA.



D. Exceptions

Whereas the majority of Alpine Space projects report costs above EUR 1 million, some projects may be smaller and not reach this level of expenditure (e.g. because already at the application stage they plan a lower budget). Such smaller projects are not requested to assess their potential net revenues at the stage of application but still have to deduct any net revenue actually generated during project implementation.

Reference documents

- Regulation (EU) No 1303/2013 of the European Parliament and of the Council, art. 61 and 68(8)
- Delegated regulation No. 480/2014, art. 15 to 19
- Factsheet 1.4: What can be co-financed? The programme's eligibility rules



FactSheet

No. 3.1

Partnership agreement

According to the European structural and investment funds (ESI) Regulations 2014-2020 the lead partner (LP) shall conclude an agreement with its project partners (PP) which shall contain provisions that guarantee the sound financial management of the funds allocated to the project, including arrangements for recovering amounts unduly paid. Projects invited to submit an application form (AF) in the second step of the application procedure have to attach a scan of the signed partnership agreement (PA) to the application.

Guidance

The subsidy contract (SC) is signed between the LP and the managing authority (MA), whereas the PA constitutes the contractual relationship between all project participants. While the LP is responsible for ensuring the proper project implementation towards the MA, each project partner is responsible to the LP for bringing in its project contribution and giving full support to the LP to ensure the successful project realisation.

The PA provides the framework for efficient project implementation and management and aims at guaranteeing the project's contribution to reaching the programme's objectives. The partnership agreement shall raise awareness of and clearly define the responsibilities of LP and PP in a legally binding manner.

Since project arrangements are more complex in territorial cooperation partnerships, the programme provides a template for the PA. This template contains the minimum clauses that shall be foreseen by the



projects. Please note that a separate template for the PA has been developed for projects that have a LP coming from a non-Member State. The template for the PA makes reference to the application form and the model subsidy contract which covers many of the issues that might typically occur during project implementation. The PA template regulates e.g. conditions for project changes, rights and obligations related to information and communication, financial control, audits or project results or financial liabilities.

In case the template is used without inserting any additional regulations it can immediately be signed by all project participants after having inserted the project-related data, i.e.:

- name of the project,
- agreed working language,
- applicable law (this shall be the law of the country in which the LP is situated in, in case of a project with an ERDF-LP the laws of the country in which the latter is located shall apply),
- place of jurisdiction.

Of course, project participants are free to add clauses to the ones of the template PA. In order to verify that these additional clauses do not contradict the relevant EU regulations, programme rules and other provisions of the template PA, these additional clauses need to be checked by the MA (with support of the joint secretariat (JS)). Therefore, the LP shall coordinate any envisaged additional clauses with the MA in advance. As soon as the additional clauses have been checked by the MA the PA can be signed by the project participants.

As regards the signature of the PA the projects have two options:

Option 1: The PA can be signed *bilaterally* (respectively *trilaterally* in case the project has an ERDF-LP), i.e. each copy of the PA bears the signature of the LP (and ERDF-LP, if existent) and of one of the project partners.

LP	PP 1
(ERDF-LP)	

LP	PP 2
(ERDF-LP)	



Option 2: The PA can be signed *multilaterally*, i.e. each copy of the PA bears the signatures of all project participants (LP, ERDF-LP, if existent, and all other PP).

LP	PP 1
(ERDF-LP)	PP 2
	PP 3
	PP 4

In case project participants face problems or delays in the signature process they shall get in touch with the JS or MA immediately so that a solution can be found.

The PA shall be set up in so many copies that each project participant receives one. Please note that the programme only needs a scan of the signed PA(s). This scan has to be submitted to the programme via the electronic monitoring system (eMS) together with the AF (see annex).

At the occasion of a transnational seminar organised by the programme for the applicants invited to the second step of the application procedure, guidance and detailed explanation on the template PA and the signature process will be provided.

The MA and JS will also provide for support to clarify any other legal questions related to the PA and the project. The occasion of the above-mentioned transnational seminar shall be used by the LP to have an exchange with the MA and JS on these issues. Informing the MA about any open questions by the LP prior to the seminar is highly recommended, as it enables the programme to provide for answers at the seminar.

Reference Documents

- EU Regulation 1299/2013, art. 13(2)
- Cooperation programme "Alpine Space", Section 5.3.
- Factsheet 'Project application'
- Factsheet subsidy contract (including template of subsidy contract)



Annex

- Template partnership agreement for projects with a LP from a Member State
- Template partnership agreement for projects with a LP from a Non-Member State and an ERDF-LP from a Member State



Partnership agreement for the project:

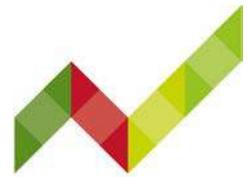
“Click here to enter text.”



Article 1
Definitions

For the purposes of the present partnership agreement the following terms shall have the following meanings:

- (a) Lead partner: the project partner who takes the overall responsibility for the submission and the implementation of the entire project (corresponds to the term "lead beneficiary" used in the European Structural and Investment Funds Regulations and is hereinafter referred to as "LP").
- (b) ERDF-lead partner: the project partner who takes the overall responsibility for the financial management of the ERDF-funds granted to the project, especially financial monitoring, accounting and financial reporting in case the LP comes from a non-Member State (hereinafter referred to as "ERDF-LP").
- (c) Project partner: all the other partners participating in the project and contributing to its implementation according to the project application form (corresponds to the term "beneficiary" used in the European Structural and Investment Funds Regulations and hereinafter referred to as "PP").
- (d) Project participants: LP, ERDF-LP and PP.
- (e) Project observers: actors that do not contribute to the implementation of the project in terms of financial contributions or daily management, but are invited by the project participants to take part in the project in an observant role or advisory capacity.



Article 2

Object of the partnership agreement

- (1) The present partnership agreement shall lay down the arrangements regulating the relations among the project participants in order to successfully implement the transnational project " [Click here to enter text.](#) " described in the project application form(AF) and to ensure compliance with the conditions set out by the European Structural and Investment Funds Regulations and the Alpine Space programme (ASP) for receiving the subsidy.
- (2) The European Structural and Investment Funds Regulations lay down the common principles, rules and standards for the implementation of projects in structural funds programmes. The provisions of the programme are outlined in the cooperation programme and specified in the ASP project implementation handbook. The model subsidy contract which will be signed by the managing authority (hereinafter "MA"), the LP and ERDF-LP sets out the standardised conditions under which the programme grants the subsidies from the European Regional Development Fund (ERDF) to the approved projects. The project AF, which is attached to the present agreement and forms an integral part of it, describes in details the above mentioned project and the contributions of all project participants to the project.
- (3) Each of the project participants acknowledges all the above mentioned documents (European Structural and Investment Funds Regulations, Cooperation Programme, ASP project implementation handbook, project AF and model subsidy contract as binding on itself.
- (4) The present partnership agreement serves also explicitly as written power of attorney of the PP to LP and ERDF-LP and authorises them to perform the specific duties and responsibilities as set out below.



Article 3

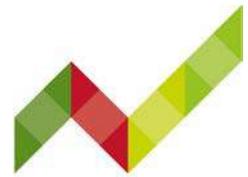
Duration of the agreement

The present partnership agreement shall come into force upon signature by all project participants and under the condition that the project is approved for co-financing by the programme committee. It shall remain in force until the LP and ERDF-LP have discharged in full their obligations towards the MA.

Article 4

Project management

- (1) The LP shall be responsible for the overall coordination, management and implementation of the project.
- (2) In particular, the LP shall:
 - (a) ensure a sound management of the project according to the relevant standards for professional project management,
 - (b) ensure the quantitative and qualitative delivery of the planned project activities, outputs and results, as stated in the approved AF,
 - (c) ensure that information and communication activities are carried out in accordance with the respective European Structural and Investment Funds Regulations, the rules set by the ASP project implementation handbook and subsidy contract, as well as the project application, and coordinate the respective project activities,
 - (d) ensure that all project participants support the programme in its evaluation activities (e.g. by providing project information and answers to evaluators commissioned by the programme),
 - (e) forward to the PP copies of official documents related to the project (such as signed subsidy contract, approved AF, project reports, communication between MA and LP) and keep the PP informed on a regular basis about all relevant communication between LP and MA or Joint Secretariat (JS),
 - (f) inform the PP about all essential issues related to project implementation without any delay,

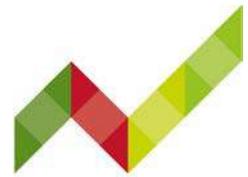


- (g) ensure that the project is implemented in compliance with the relevant regulations of the European Union, the programme rules and the applicable national legislation, especially European Structural and Investment Funds Regulations and regulations concerning equal opportunity, environment, state aid and public procurement,
 - (h) be responsible for the correct use of the ERDF funds received for the project,
 - (i) fulfil all obligations as set out in the subsidy contract,
 - (j) ensure that undertakings are selected in a non-discriminatory and transparent way (same conditions for all) in case they participate in or benefit from the project activities (e.g. trainings) and/or operate/maintain the project outputs and results.
- (3) Since the tasks and responsibilities of the LP are assumed by a project participant coming from a non-Member State, the project participants herewith nominate one project participant coming from a Member State to act as ERDF-LP. This ERDF-LP shall assume all tasks and duties as set out in the European Structural and Investment Funds Regulations, the Cooperation Programme, the project implementation handbook, the present agreement and the subsidy contract related to the financial management of the ERDF-funds granted to the project. The LP and ERDF-LP will closely co-operate in performing their tasks. Both of them will sign the subsidy contract with the MA, both of them bear the responsibility for the entire project towards the MA and both of them will commonly monitor the project implementation and report on it.

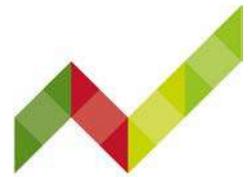
Article 5

Obligations of the project partners

- (1) The PP are obliged to respect all rules and fulfil all obligations set forth in the present agreement and the conditions under which the programme grants subsidies to the selected projects.
- (2) They commit themselves to do everything in their power to contribute to the implementation of the project as set out in the project AF.



- (3) The PP shall support the LP and the ERDF-LP to fulfil their tasks according to the subsidy contract.
- (4) In particular, each PP shall:
- (a) ensure the quantitative and qualitative delivery of its planned project activities, outputs and results, as stated in the approved AF,
 - (b) provide the LP and the ERDF-LP, without any delay and within the deadline set by them, with any information needed to coordinate and monitor the implementation of the project, for reporting purposes and to react on any requests of the programme,
 - (c) ensure timely reporting on its activities and costs in accordance with the time schedule of the project,
 - (d) inform the LP and the ERDF-LP immediately about any circumstance that may adversely affect the implementation of the project in accordance with the project application,
 - (e) only implement changes in its approved budget if they comply with the flexibility rules stated in the ASP project implementation handbook and if prior approval from the LP and the ERDF-LP or the programme bodies has been provided, as appropriate,
 - (f) carry out appropriate information and communication activities under the coordination of the LP (see also article 11 of this agreement) as stated in the approved AF,
 - (g) be committed to take part in any evaluation activity (e.g. by providing project information and answers to evaluators commissioned by the programme),
 - (h) comply with the relevant regulations of the European Union, the programme rules and the applicable national legislation, especially European Structural and Investment funds regulations and regulations concerning equal opportunity, environment, state aid and public procurement,
 - (i) be responsible for the correct use of the ERDF funds received for the project,
 - (j) support the LP and the ERDF-LP to fulfil all obligations as set out in the subsidy contract,
 - (k) ensure that undertakings, in case they participate in or benefit from the project activities (e.g. trainings) and/or operate/maintain the project outputs and results, are selected in a non-discriminatory and transparent way (same conditions for all).



Article 6

Organisational structure of the partnership

- (1) For the successful management and completion of the project, a project steering group (hereinafter "PSG") shall be set up.
- (2) The PSG shall be composed by competent representatives of all project participants and shall be chaired by the LP. It shall meet on a regular basis. Project observers shall be invited to take part in the PSG in an advisory capacity.
- (3) The PSG shall:
 - (a) be responsible for monitoring the implementation of the project,
 - (b) be responsible for settlement of any disputes among project participants,
 - (c) have the possibility to set up sub-groups or workgroups to deal with specific tasks related to the project.
- (4) Further aspects may be set out in the rules of procedure of the PSG.

Article 7

Cooperation with third parties

- (1) In case of cooperation with third parties with regard to the project, the relevant project participant shall remain solely responsible towards the other project participants concerning compliance with its obligations as set out in this partnership agreement. Project participants shall inform each other about the scope of such contracts and the names of the contracted parties.
- (2) The project participants herewith expressly declare to obey the relevant laws and programme's eligibility rules whenever they purchase something for the project.

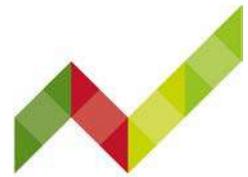


- (3) No project participant shall have the right to transfer their rights and obligations under this agreement to a third party without the prior consent of the other project participants and the responsible programme bodies (programme committee or MA, as appropriate). This approval shall be granted by the project participants and the programme bodies (by the latter unless otherwise stipulated by the programme rules) if such third party offers the same guarantee as the transferring project participant for the fulfilment of its rights and duties related to the project as laid down in the present agreement. In this case the transferring project participant is obliged to assign all rights and obligations and all project related documents to each and any legal successor.

Article 8

Financial management

- (1) To ensure a sound financial management of the project each project participant shall:
- (a) install separate accounts or adequate bookkeeping systems for the financial settlement of the project ensuring that the expenditure and the revenues as well as the received national and ERDF funds related to the project are clearly identified.
 - (b) strictly follow the eligibility rules set up by the programme (factsheet “what can be co-financed”) and, if applicable, the national rules.
- (2) The LP and the ERDF-LP shall furthermore:
- (a) constantly monitor the exhaustion of the project budget foreseen for each project participant and ensure that budget shifts are carried out within the limits and according to the rules as set out by the programme,
 - (b) ensure that the expenditures made by the project participants have been used for the purpose of implementing the project and correspond to the activities agreed on by the project participants and set out in the approved AF.
- (3) If a PP fails to inform the LP of any deviation from the approved AF within the deadline agreed on with the LP, the LP and the ERDF-LP are entitled to refuse to include in the project report the costs of this



partner that are connected to such deviations and/or that result in an overspending of the approved budget of this partner. Similarly, if a PP fails to provide the necessary input for the preparation of the project reports within the deadline agreed with the LP, the LP and the ERDF-LP are entitled to refuse to report costs of this PP to the programme.

Article 9

Reporting

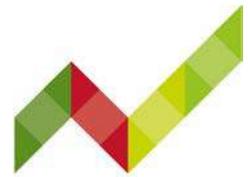
- (1) The LP and the ERDF-LP may only request ERDF payments for the project by presenting project reports to the JS. Furthermore, the LP or the ERDF-LP might be asked by the programme implementing bodies (MA or JS) to provide additional information on other aspects related to the project. To this end, each PP shall provide the LP and the ERDF-LP with all information that they deem necessary for the preparation of reports and other specific documentation as requested by MA or JS. The LP and the ERDF-LP shall provide all PP with copies of any report and documentation that will be submitted to MA or JS and keep the PP informed about all relevant communication with MA or JS (see also article 4 par. (2) lit f).

- (2) After the reports have been checked by JS in coordination with MA the respective ERDF funds will be transferred to the account of the ERDF-LP by the certifying authority. The ERDF-LP shall forward the ERDF funds to the PP in accordance with the information provided by the MA and without any delay. In case any delay is imputable to the ERDF-LP the PP may claim usual interest rates which the ERDF-LP must not pay from the approved project budget.

Article 10

First level control, Audits

- (1) All project expenditure to be ERDF co-financed must be verified by the responsible public or private institution, following the rules set out in the relevant national first level control system.



- (2) In case of ERDF co-financing of expenditure incurred by a project participant located outside the cooperation area but in the area of a Member State participating in the programme, this project participant shall have their costs validated by the first level control body authorised by the State where the participant is located.
- (3) Each project participant shall get in touch with their first level control body as early as possible to clarify which documents are needed by this body to perform its task. Furthermore the project participants shall enable the first level control body to audit the proper use of funds.
- (4) With regard to audits that will be carried out in addition to the first level control (by auditing bodies working on behalf of the European Union or the programme), each project participant shall:
 - (a) keep available all files, documents and data related to the project, either in original or as certified copies, on commonly used data media safely and orderly, until the MA informs that keeping the documents is no longer required by the programme,
 - (b) make all necessary arrangements to ensure that any audit, notified by the duly authorised authority, can be carried out smoothly,
 - (c) give these authorities any information about the project they request and give them access to the accounting books, supporting documents and all other documentation related to the project.
- (5) National regulations on audits and retention of data and records that are binding for the project participant shall remain applicable provided that such entail more stringent obligations.
- (6) The provisions set out above remain applicable to the project participant that withdraws or is debarred from the project.



Article 11

Intellectual property rights, Project results, Information and communication activities

- (1) All products (material and intellectual) that derive from the project will be the joint property of all project participants. Consequently, each project participant shall grant a simple, non-exclusive right of use of any produced work of authorship to all other project participants. Concerning small scale investments made by the LP, the ERDF-LP or a PP the project participants shall agree beforehand on the conditions for its use after project end (e.g. by taking a decision in the project steering group).
- (2) The project participants ensure that any outcome and result produced during project implementation can be used by all interested persons and organisations free of charge. Moreover, the PP will support the LP and play an active role in any actions organised by the programme to disseminate and capitalise on project results.
- (3) The project participants shall carry out all information and communication activities in accordance with the relevant European Structural and Investment Funds Regulations, the rules set by the ASP project implementation handbook, the provisions of the subsidy contract and the project AF. These activities shall be coordinated by the LP.

Article 12

Defaults and remedies

- (1) Each project participant is directly and exclusively responsible towards the other project participants for the due implementation of their contribution to the project as described in the approved AF, as well as for the proper fulfilment of their obligations as set out in this agreement. Should a PP not fulfil their obligations under this agreement in due time, the LP and the ERDF-LP shall admonish the PP to fulfil such obligations within a reasonable period of time and within one month at the latest. Should the non-fulfilment continue, the LP and the ERDF-LP may decide to debar from the project the PP concerned



with the approval of the other PP. The MA and JS shall be informed in advance of such an intended decision. The excluded PP is obliged to prove that any ERDF funds received for the project were used for activities and investments carried out for the benefit of the project and that such activities and investments can be used for the further implementation of the project. Should the excluded PP fail in doing so, this PP is obliged to repay the relevant ERDF funds to the programme, via the ERDF-LP. The excluded PP is liable to compensate any damage to the remaining project participants due to their exclusion.

- (2) All project participants herewith oblige themselves to compensate each other for those damages that may result from intentional or gross negligence, non-performance or mal-performance of any of their obligations under the present agreement.
- (3) Should the programme face a budget reduction due to the decommitment rule and should the ERDF funds allocated to the project be reduced as a consequence, the project participants herewith agree that the budget reduction shall be imputed to the project participants that have contributed to the underspending by not reporting according to the time schedule of the project as stated in the approved AF, unless a different decision is taken by the PSG by consensus.
- (4) In case a reimbursement of ERDF is due – based on the provisions of the subsidy contract – the MA will deduct the respective amount from the ERDF requested by the project in the next available project report. This reduction will be applied to the ERDF-LP or partners that have caused the request for ERDF repayment. If it is not possible to recover the due amount of ERDF by deducting it from the next available project report, the ERDF-LP will be asked to ensure the reimbursement of the funds to the MA without delay. If this request for ERDF reimbursement was caused by a PP other than the ERDF-LP, this partner is obliged to reimburse the ERDF-LP in full and without delay. In case no project participant can be held responsible for the request for ERDF repayment or deduction, the amount requested shall be reimbursed to the MA by the ERDF-LP and then apportioned between all project participants proportionally to the share of their budget (meaning the amount of ERDF they have been granted according to the approved AF).



Article 13

Changes in the project and the project partnership

- (1) The PP take note of the rules set out in the subsidy contract as regards changes in the project. They shall inform the LP and the ERDF-LP without delay of any deviation from the project as set out in the approved AF, so that the LP and the ERDF-LP are in the position to properly monitor the project implementation and to take any necessary countermeasure at the appropriate time.
- (2) Project participants are aware that the MA is entitled to withdraw from the subsidy contract if the number of project participants falls below the required minimum number of participants per project, as stated in the terms of reference of the call for proposals applicable to the project. Project participants are also aware that a decrease of project participants could entail a lower quality of the project and thus might need a re-approval of the programme committee. Thus, the project participants herewith agree not to back out of the project unless there are unavoidable reasons for it.
- (3) In case a project participant withdraws from the project, is debarred from it, has become insolvent or closed down as a result of bankruptcy or decision of its owners, the remaining project participants will undertake all possible measures to find a rapid and efficient solution to ensure the further proper implementation of the project without any delay. Consequently, the project participants will ensure that the contribution of the withdrawing project participant is taken over either by one or more of the remaining project participants or by one or more new partners additionally integrated in the project partnership. The PP take note of the rules set out in the subsidy contract as regards changes in the project partnership.

Article 14

Project data

- (1) The project participants herewith agree that the MA is entitled to use the data included in the project AF and/or acquired in the course of the project implementation and that the MA is entitled to convey these



data to the organs and authorised representatives of the following bodies and authorities: first level control bodies as well as bodies and authorities involved in audits carried out for the programme, European Commission, auditing bodies of the European Union, audit bodies of the Land of Salzburg, the federal audit office, and the federal ministry of finance of Austria.

- (2) Furthermore, the project participants agree that their names and addresses, their activities in the project and the amount of ERDF funds and national co-financing received for the project may be used by the programme bodies in the framework of information and communication measures concerning the programme, as well as reporting to the European Commission.

Article 15

Confidentiality

The project participants agree that any information they obtain during the implementation of the project or communication with the programme bodies is confidential, provided that the project participants or programme bodies explicitly request so.

Article 16

Language

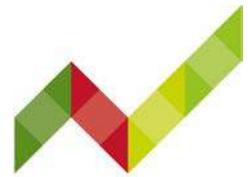
- (1) The working language of the partnership shall be [Click here to enter text.](#)
- (2) This partnership agreement is concluded in English. In case of a translation of this agreement into another language than English, the English version shall be the binding one.



Article 17

Concluding provisions

- (1) Amendments and supplements to the present agreement must be in written form. Consequently, these changes of the present agreement shall only be effective if they have been agreed on in writing and have been designated as amendment or supplement of the partnership agreement (the exchange of letters, whereby one project participant proposes the changes to be made and all other project participants expressly agree via postal services, fax and e-mail, is sufficient). The LP and the ERDF-LP shall notify to the MA and the JS any envisaged amendment or supplement of the present agreement in advance to ensure that these modifications are carried out in line with the programme provisions. Modifications to the project that are approved by the responsible programme bodies (programme committee or MA, as appropriate) shall be effective as alterations of the present agreement, also without adherence to the above mentioned formal requirement.
- (2) Should any provision in this agreement be wholly or partly ineffective, the remaining provisions remain binding for the parties. The parties agree to replace the ineffective provision by one serving the purpose of the agreement as closely as possible.
- (3) In case of differences that are not ruled by this agreement, the parties agree to find a joint solution.
- (4) In case of any disputes among themselves, the project participants will endeavour to work towards an amicable settlement. Disputes will be referred to the PSG. Should efforts to achieve an amicable solution fail, the project participants will seek the support of the MA. In case a solution cannot be found, the parties herewith agree that [Click here to enter text.](#) shall be the venue for all legal disputes arising from this agreement.
- (5) The laws of [Click here to enter text.](#), being the laws of the country of the ERDF-LP shall apply to all legal relations arising in connection with this agreement.



(6) Click here to enter text. copies will be made of this agreement; of which each party keeps one.

Click here to enter text. (place and date, stamp)

Click here to enter text. (name of lead partner)

Click here to enter text. (name of legal representative)

Click here to enter text. (place and date, stamp)

Click here to enter text. (name of ERDF-lead partner)

Click here to enter text. (name of legal representative)

Click here to enter text. (place and date, stamp)

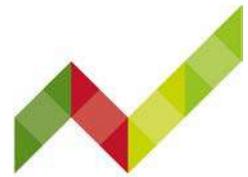
Click here to enter text. (name of PP)

Click here to enter text. (name of legal representative)



Partnership agreement for the project:

“Click here to enter text.”



Article 1
Definitions

For the purposes of the present partnership agreement the following terms shall have the following meanings:

- (a) Lead Partner: the project partner who takes the overall responsibility for the submission and the implementation of the entire project (corresponds to the term "lead beneficiary" used in the European Structural and Investment Funds Regulations and is hereinafter referred to as "LP").

- (b) Project partner: all the other partners participating in the project and contributing to its implementation according to the project application form (corresponds to the term "beneficiary" used in the European Structural and Investment Funds Regulations and hereinafter referred to as "PP").

- (c) Project participants: LP and PP.

- (d) Project observers: actors that do not contribute to the implementation of the project in terms of financial contributions or daily management, but are invited by the project participants to take part in the project in an observant role or advisory capacity.

Article 2
Object of the partnership agreement

- (1) The present partnership agreement shall lay down the arrangements regulating the relations among the project participants in order to successfully implement the transnational project "[Click here to enter text.](#)" described in the project application form (AF) and to ensure compliance with the conditions set out by the European Structural and Investment Funds Regulations and the Alpine Space programme (ASP) for receiving the subsidy.



- (2) The European Structural and Investment Funds Regulations lay down the common principles, rules and standards for the implementation of projects in structural funds programmes. The provisions of the programme are outlined in the cooperation programme and specified in the ASP project implementation handbook. The model subsidy contract which will be signed by the managing authority (hereinafter "MA") and the LP sets out the standardised conditions under which the programme grants the subsidies from the European Regional Development Fund (ERDF) to the approved projects. The project AF, which is attached to the present agreement and forms an integral part of it, describes in details the above mentioned project and the contributions of all project participants to the project.
- (3) Each of the project participants acknowledges all the above mentioned documents (European Structural and Investment Funds Regulations, Cooperation Programme, ASP project implementation handbook, project AF and model subsidy contract as binding on itself.
- (4) The present partnership agreement serves also explicitly as written power of attorney of the PP to LP and authorises the latter to perform the specific duties and responsibilities as set out below.

Article 3

Duration of the agreement

The present partnership agreement shall come into force upon signature by all project participants and under the condition that the project is approved for co-financing by the programme committee. It shall remain in force until the LP has discharged in full its obligations towards the MA.

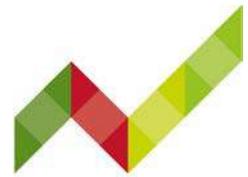


Article 4

Project management

- (1) The LP shall be responsible for the overall coordination, management and implementation of the project. The LP assumes sole responsibility for the entire project towards the MA.

- (2) In particular, the LP shall:
 - (a) ensure a sound management of the project according to the relevant standards for professional project management,
 - (b) ensure the quantitative and qualitative delivery of the planned project activities, outputs and results, as stated in the approved AF,
 - (c) ensure a sound financial management of the project,
 - (d) ensure that information and communication activities are carried out in accordance with the respective European Structural and Investment Funds Regulations, the rules set by the ASP project implementation handbook and subsidy contract, as well as the project application, and coordinate the respective project activities,
 - (e) ensure that all project participants support the programme in its evaluation activities (e.g. by providing project information and answers to evaluators commissioned by the programme),
 - (f) forward to the PP copies of official documents related to the project (such as signed subsidy contract, approved AF, project reports, communication between MA and LP) and keep the PP informed on a regular basis about all relevant communication between LP and MA or Joint Secretariat (JS),
 - (g) inform the PP about all essential issues related to project implementation without any delay,
 - (h) ensure that the project is implemented in compliance with the relevant regulations of the European Union, the programme rules and the applicable national legislation, especially European Structural and Investment Funds Regulations and regulations concerning equal opportunity, environment, state aid and public procurement,
 - (i) be responsible for the correct use of the ERDF funds received for the project,
 - (j) fulfil all obligations as set out in the subsidy contract,

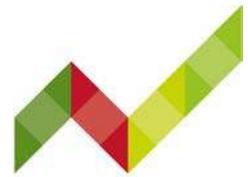


- (k) ensure that undertakings are selected in a non-discriminatory and transparent way (same conditions for all) in case they participate in or benefit from the project activities (e.g. trainings) and/or operate/maintain the project outputs and results.

Article 5

Obligations of the project partners

- (1) The PP are obliged to respect all rules and fulfil all obligations set forth in the present agreement and the conditions under which the programme grants subsidies to the selected projects.
- (2) They commit themselves to do everything in their power to contribute to the implementation of the project as set out in the project AF.
- (3) The PP shall support the LP to fulfil its tasks according to the subsidy contract.
- (4) In particular, each PP shall:
 - (a) ensure the quantitative and qualitative delivery of its planned project activities, outputs and results, as stated in the approved AF,
 - (b) provide the LP, without any delay and within the deadline set by the LP, with any information needed to coordinate and monitor the implementation of the project, for reporting purposes and to react on any requests of the programme,
 - (c) ensure timely reporting on its activities and costs in accordance with the time schedule of the project,
 - (d) inform the LP immediately about any circumstance that may adversely affect the implementation of the project in accordance with the project application,
 - (e) only implement changes in its approved budget if they comply with the flexibility rules stated in the ASP project implementation handbook and if prior approval from the LP or the programme bodies has been provided, as appropriate,

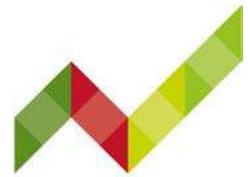


- (f) carry out appropriate information and communication activities under the coordination of the LP (see also article 11 of this agreement) as stated in the approved AF,
- (g) be committed to take part in any evaluation activity (e.g. by providing project information and answers to evaluators commissioned by the programme),
- (h) comply with the relevant regulations of the European Union, the programme rules and the applicable national legislation, especially European Structural and Investment funds regulations and regulations concerning equal opportunity, environment, state aid and public procurement,
- (i) be responsible for the correct use of the ERDF funds received for the project,
- (j) support the LP to fulfil all obligations as set out in the subsidy contract,
- (k) ensure that undertakings, in case they participate in or benefit from the project activities (e.g. trainings) and/or operate/maintain the project outputs and results, are selected in a non-discriminatory and transparent way (same conditions for all).

Article 6

Organisational structure of the partnership

- (1) For the successful management and completion of the project, a project steering group (hereinafter "PSG") shall be set up.
- (2) The PSG shall be composed by competent representatives of all project participants and shall be chaired by the LP. It shall meet on a regular basis. Project observers shall be invited to take part in the PSG in an advisory capacity.
- (3) The PSG shall:
 - (a) be responsible for monitoring the implementation of the project,
 - (b) be responsible for settlement of any disputes among project participants,
 - (c) have the possibility to set up sub-groups or workgroups to deal with specific tasks related to the project.
- (4) Further aspects may be set out in the rules of procedure of the PSG.



Article 7

Cooperation with third parties

- (1) In case of cooperation with third parties with regard to the project, the relevant project participant shall remain solely responsible towards the other project participants concerning compliance with its obligations as set out in this partnership agreement. Project participants shall inform each other about the scope of such contracts and the names of the contracted parties.
- (2) The project participants herewith expressly declare to obey the relevant laws and programme's eligibility rules whenever they purchase something for the project.
- (3) No project participant shall have the right to transfer their rights and obligations under this agreement to a third party without the prior consent of the other project participants and the responsible programme bodies (programme committee or MA, as appropriate). This approval shall be granted by the project participants and the programme bodies (by the latter unless otherwise stipulated by the programme rules) if such third party offers the same guarantee as the transferring project participant for the fulfilment of its rights and duties related to the project as laid down in the present agreement. In this case the transferring project participant is obliged to assign all rights and obligations and all project related documents to each and any legal successor.

Article 8

Financial management

- (1) To ensure a sound financial management of the project each project participant shall:
 - (a) install separate accounts or adequate bookkeeping systems for the financial settlement of the project ensuring that the expenditure and the revenues as well as the received national and ERDF funds related to the project are clearly identified.



- (b) strictly follow the eligibility rules set up by the programme (fact sheet “what can be co-financed”) and, if applicable, the national rules.
- (2) The LP shall furthermore:
- (a) constantly monitor the exhaustion of the project budget foreseen for each project participant and ensure that budget shifts are carried out within the limits and according to the rules as set out by the programme,
 - (b) ensure that the expenditures made by the project participants have been used for the purpose of implementing the project and correspond to the activities agreed on by the project participants and set out in the approved AF.
- (3) If a PP fails to inform the LP of any deviation from the approved AF within the deadline agreed on with the LP, the LP is entitled to refuse to include in the project report the costs of this partner that are connected to such deviations and/or that result in an overspending of the approved budget of this partner. Similarly, if a PP fails to provide the necessary input for the preparation of the project reports within the deadline agreed with the LP, the LP is entitled to refuse to report costs of this PP to the programme.

Article 9

Reporting

- (1) The LP may only request ERDF payments for the project by presenting project reports to the JS. Furthermore, the LP might be asked by the programme implementing bodies (MA or JS) to provide additional information on other aspects related to the project. To this end, each PP shall provide the LP with all information that the latter deems necessary for the preparation of reports and other specific documentation as requested by MA or JS. The LP shall provide all PP with copies of any report and documentation that will be submitted to MA or JS and keep the PP informed about all relevant communication with MA or JS (see also article 4 par. (2) lit f).



- (2) After the reports have been checked by JS in coordination with MA the respective ERDF funds will be transferred to the account of the LP by the certifying authority. The LP shall forward the ERDF funds to the PP in accordance with the information provided by the MA and without any delay. In case any delay is imputable to the LP the PP may claim usual interest rates which the LP must not pay from the approved project budget.

Article 10

First level control, Audits

- (1) All project expenditure to be ERDF co-financed must be verified by the responsible public or private institution, following the rules set out in the relevant national first level control system.
- (2) In case of ERDF co-financing of expenditure incurred by a project participant located outside the cooperation area but in the area of a Member State participating in the programme, this project participant shall have their costs validated by the first level control body authorised by the State where the participant is located.
- (3) Each project participant shall get in touch with their first level control body as early as possible to clarify which documents are needed by this body to perform its task. Furthermore, the project participants shall enable the first level control body to audit the proper use of funds.
- (4) With regard to audits that will be carried out in addition to the first level control (by auditing bodies working on behalf of the European Union or the programme), each project participant shall:
- keep available all files, documents and data related to the project, either in original or as certified copies, on commonly used data media safely and orderly, until the MA informs that keeping the documents is no longer required by the programme,
 - make all necessary arrangements to ensure that any audit, notified by the duly authorised authority, can be carried out smoothly,



- c) give these authorities any information about the project they request and give them access to the accounting books, supporting documents and all other documentation related to the project.
- (5) National regulations on audits and retention of data and records that are binding for the project participant shall remain applicable provided that such entail more stringent obligations.
- (6) The provisions set out above remain applicable to the project participant that withdraws or is debarred from the project.

Article 11

Intellectual property rights, Project results, Information and communication activities

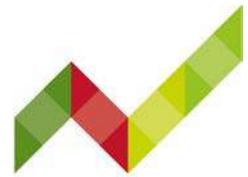
- (1) All products (material and intellectual) that derive from the project will be the joint property of all project participants. Consequently, each project participant shall grant a simple, non-exclusive right of use of any produced work of authorship to all other project participants. Concerning small scale investments made by the LP or a PP the project participants shall agree beforehand on the conditions for its use after project end (e.g. by taking a decision in the project steering group).
- (2) The project participants ensure that any outcome and result produced during project implementation can be used by all interested persons and organisations free of charge. Moreover, the PP will support the LP and play an active role in any actions organised by the programme to disseminate and capitalise on project results.
- (3) The project participants shall carry out all information and communication activities in accordance with the relevant European Structural and Investment Funds Regulations, the rules set by the ASP project implementation handbook, the provisions of the subsidy contract and the project AF. These activities shall be coordinated by the LP.



Article 12

Defaults and remedies

- (1) Each project participant is directly and exclusively responsible towards the other project participants for the due implementation of their contribution to the project as described in the approved AF as well as for the proper fulfilment of their obligations as set out in this agreement. Should a PP not fulfil their obligations under this agreement in due time, the LP shall admonish the PP to fulfil such obligations within a reasonable period of time and within one month at the latest. Should the non-fulfilment continue, the LP may decide to debar from the project the PP concerned with the approval of the other PP. The MA and JS shall be informed in advance of such an intended decision. The excluded PP is obliged to prove that any ERDF funds received for the project were used for activities and investments carried out for the benefit of the project and that such activities and investments can be used for the further implementation of the project. Should the excluded PP fail in doing so, this PP is obliged to repay the relevant ERDF funds to the programme, via the LP. The excluded PP is liable to compensate any damage to the remaining project participants due to their exclusion.
- (2) All project participants herewith oblige themselves to compensate each other for those damages that may result from intentional or gross negligence non-performance or mal-performance of any of their obligations under the present agreement.
- (3) Should the programme face a budget reduction due to the decommitment rule and should the ERDF funds allocated to the project be reduced as a consequence, the project participants herewith agree that the budget reduction shall be imputed to the project participants that have contributed to the underspending by not reporting according to the time schedule of the project as stated in the approved AF, unless a different decision is taken by the PSG by consensus.
- (4) In case a reimbursement of ERDF is due – based on the provisions of the subsidy contract – the MA will deduct the respective amount from the ERDF requested by the project in the next available project report. This reduction will be applied to the LP or partners that have caused the request for ERDF repayment. If it is not possible to recover the due amount of ERDF by deducting it from the next available project report, the LP will be asked to ensure the reimbursement of the funds to the MA



without delay. If this request for ERDF reimbursement was caused by a PP other than the LP, this partner is obliged to reimburse the LP in full and without delay. In case no project participant can be held responsible for the request for ERDF repayment or deduction, the amount requested shall be reimbursed to the MA by the LP and then apportioned between all project participants proportionally to the share of their budget (meaning the amount of ERDF they have been granted according to the approved AF).

Article 13

Changes in the project and the project partnership

- (1) The PP take note of the rules set out in the subsidy contract as regards changes in the project. They shall inform the LP without delay of any deviation from the project as set out in the approved AF, so that the LP is in the position to properly monitor the project implementation and to take any necessary countermeasure at the appropriate time.
- (2) Project participants are aware that the MA is entitled to withdraw from the subsidy contract if the number of project participants falls below the required minimum number of participants per project, as stated in the terms of reference of the call for proposals applicable to the project. Project participants are also aware that a decrease of project participants could entail a lower quality of the project and thus might need a re-approval of the programme committee. Thus, the project participants herewith agree not to back out of the project unless there are unavoidable reasons for it.
- (3) In case a project participant withdraws from the project, is debarred from it, has become insolvent or closed down as a result of bankruptcy or decision of its owners, the remaining project participants will undertake all possible measures to find a rapid and efficient solution to ensure the further proper implementation of the project without any delay. Consequently, the project participants will ensure that the contribution of the withdrawing project participant is taken over either by one or more of the remaining project participants or by one or more new partners additionally integrated in the project partnership. The PP take note of the rules set out in the subsidy contract as regards changes in the project partnership.



Article 14

Project data

- (1) The project participants herewith agree that the MA is entitled to use the data included in the project AF and/or acquired in the course of the project implementation and that the MA is entitled to convey these data to the organs and authorised representatives of the following bodies and authorities: first level control bodies as well as bodies and authorities involved in audits carried out for the programme, European Commission, auditing bodies of the European Union, audit bodies of the Land of Salzburg, the federal audit office, and the federal ministry of finance of Austria.

- (2) Furthermore, the project participants agree that their names and addresses, their activities in the project and the amount of ERDF funds and national co-financing received for the project may be used by the programme bodies in the framework of information and communication measures concerning the programme, as well as reporting to the European Commission.

Article 15

Confidentiality

The project participants agree that any information they obtain during the implementation of the project or communication with the programme bodies is confidential, provided that the project participants or programme bodies explicitly request so.



Article 16

Language

- (1) The working language of the partnership shall be [Click here to enter text..](#)
- (2) This partnership agreement is concluded in English. In case of a translation of this agreement into another language than English, the English version shall be the binding one.

Article 17

Concluding provisions

- (1) Amendments and supplements to the present agreement must be in written form. Consequently, these changes of the present agreement shall only be effective if they have been agreed on in writing and have been designated as amendment or supplement of the partnership agreement (the exchange of letters, whereby one project participant proposes the changes to be made and all other project participants expressly agree via postal services, fax and e-mail, is sufficient). The LP shall notify to the MA and the JS any envisaged amendment or supplement of the present agreement in advance to ensure that these modifications are carried out in line with the programme provisions. Modifications to the project that are approved by the responsible programme bodies (programme committee or MA, as appropriate) shall be effective as alterations of the present agreement, also without adherence to the above mentioned formal requirement.
- (2) Should any provision in this agreement be wholly or partly ineffective, the remaining provisions remain binding for the parties. The parties agree to replace the ineffective provision by one serving the purpose of the agreement as closely as possible.
- (3) In case of differences that are not ruled by this agreement, the parties agree to find a joint solution.



- (4) In case of any disputes among themselves, the project participants will endeavour to work towards an amicable settlement. Disputes will be referred to the PSG. Should efforts to achieve an amicable solution fail, the project participants will seek the support of the MA. In case a solution cannot be found, the parties herewith agree that [Click here to enter text.](#) shall be the venue for all legal disputes arising from this agreement.
- (5) The laws of [Click here to enter text.](#), being the laws of the country of the LP shall apply to all legal relations arising in connection with this agreement.
- (6) [Click here to enter text.](#) copies will be made of this agreement; of which each party keeps one.

[Click here to enter text.](#) (place and date, stamp)

[Click here to enter text.](#) (name of lead partner)

[Click here to enter text.](#) (name of legal representative)

[Click here to enter text.](#) (place and date, stamp)

[Click here to enter text.](#) (name of PP)

[Click here to enter text.](#) (name of legal representative)



FactSheet

No. 3.2

Subsidy contract

According to the European structural and investment funds (ESI) Regulations 2014-2020 the managing authority (MA) shall provide to the lead partner (LP) a document setting out the conditions for the ERDF-co-financing of the project, including specific requirements concerning the products or services to be delivered by the project, the financing plan and the time-limit for execution. Therefore, the MA will conclude a so-called subsidy contract (SC) with the LP.

In case the project has a LP from a Non-Member State and an ERDF-lead partner (ERDF LP) from a Member State this SC will be concluded with LP and ERDF-LP.

The SC is an essential element within the framework of managing and monitoring the territorial cooperation programmes. This contract stipulates the rights and duties of the LP (and ERDF-LP, if such exists) as well as of the programme bodies and other organisations involved in the implementation of the programme (e.g. MA, joint secretariat (JS), programme committee, certifying authority, first level control bodies, organisations involved in the second level control). It regulates issues like reporting obligations and procedures, conditions for project changes, obligations and rights related to information and communication activities, provisions on financial controls and audits of the project, use and ownership of project results or liabilities of the LP.

Since the tasks of the MA are performed by the Land of Salzburg in Austria the subsidy contract is based on Austrian law.



Experience has shown that various project participants cannot start with project activities as long as partnership agreement (PA) and SC are not signed. With the aim to speed up the contracting procedure, the programme foresees that project applicants have to submit photocopies of the already signed PA together with the application form (AF) (see annexes).

The programme has set up a template SC which will be used for all projects selected for co-financing.

Attached to the letter in which the MA informs the LP about the approval of the project, two copies of the SC already filled in with the project-related data and signed by the MA will be sent to the LP. The LP will have two weeks to return a countersigned copy of the contract to the MA.

For projects that have a LP coming from a Non-Member State and therefore also have an ERDF-LP a separate template SC has been developed by the programme. In case of these projects three copies of the SC will be set up and more time will be foreseen for the signature process since both, LP and ERDF-LP shall sign the SC.

If the SC is not signed within the given period of time the ERDF-co-financing for the project will not be secured.

At the occasion of a transnational seminar organised by the programme, guidance and detailed explanation on the SC will be provided.

The JS and MA will provide support to clarify any other legal questions related to the SC and the project. The occasion of the above-mentioned transnational seminar shall be used by the LP to have an exchange with the JS and MA on these issues.

Reference Documents

- EU Regulation 1303/2013, art. 125(3)
- EU Regulation 1299/2013, art. 12(5)
- Cooperation programme "Alpine Space", Section 5.3
- Factsheet 'Partnership agreement'.



Annexes

- Template subsidy contract for projects with a LP from a Member State
- Template subsidy contract for projects with a LP from a Non-Member State and an ERDF-LP from a Member State



Subsidy contract for the project

“ ”

“Click here to enter text.”



The following contract between the Land of Salzburg acting as managing authority (hereinafter “MA”) of the European territorial cooperation programme "Interreg Alpine Space", represented by the government office of the Land of Salzburg, department 1 (economy, tourism and municipalities), Südtirolerplatz 11, post office box 527, A-5010 Salzburg, Austria

and

[Click here to enter text.](#), based in [Click here to enter text.](#), represented by [Click here to enter text.](#) as lead partner (hereinafter “LP”) and representing the partners of the above mentioned project

is concluded on the basis of:

- The European Structural and Investment Funds Regulations, Delegated and Implementing acts for the period 2014-2020, especially article 125(3) c of the Regulation (EU) No 1303/2013 and article 12(5) of Regulation (EU) No 1299/2013,
- the European territorial cooperation programme "Interreg Alpine Space" 2014-2020, approved by the European Commission on December 17th 2014,
- the Interreg Alpine Space project implementation handbook endorsed by the programme committee,
- the laws of Austria.

Article 1 **Award of subsidy**

(1) Based on the application documents (application form and partnership agreement) and in accordance with the approval decision and recommendations of the programme committee (PC) of [Click here to enter text.](#) an earmarked subsidy is awarded to the LP from the European Regional Development Fund (ERDF) under the following conditions. The subsidy is granted in the maximum amount of

[Click here to enter text.](#) EUR



- (2) The subsidy is granted under the condition that the Land of Salzburg is designated as managing authority. The award of the subsidy from ERDF funds is limited to the amount mentioned in paragraph (1). Furthermore, it is limited to a maximum of 85% of the total eligible costs of the project. The ERDF co-financing amount decreases proportionally if the reported eligible costs are lower than the amount planned in the latest approved version of the project application form (AF).
- (3) Should it become evident and the LP confirm that the project will not spend the maximum amount of ERDF co-financing awarded by the PC, the MA may decide to reduce the subsidy accordingly.

Article 2

Object of use, Eligibility of costs

- (1) The subsidy is awarded exclusively for the project “[Click here to enter text.](#)” as described in the project application documents and as approved by the PC. The application documents form an integral part of this subsidy contract.
- (2) Project costs which qualify for co-financing from ERDF funds consist exclusively of project costs listed in the ultimate approved AF. The eligibility of project costs for ERDF co-financing is regulated in the programme’s eligibility rules (factsheet “what can be co-financed”).
- (3) It is explicitly stated that the project must not make use of funds from other programmes co-financed by the European Union to finance the present project.

Article 3

Reporting and requests for payments

- (1) The LP may only request ERDF payments on behalf of the project by providing project reports to the joint secretariat (JS). Reports will have to be submitted via the programme’s online monitoring system. Access to the online reports will be granted by the JS.
- (2) The financial part of the report shall comprise the amount indicated in all FLC certificates related to the project expenditure that has arisen until the end of the reporting period and that can be objectively and spatially imputed to the project. All project expenditure must be certified by the authorised public or private institutions, following the rules as set out in the relevant national first level control system. To this end, the LP verifies that each project partner enables controls and audits on the proper use of funds to be carried out by the responsible institution in the State where the partner is located, as will the LP itself.



Furthermore the LP will pre-check the FLC certificates received from the project partners, with regard to plausibility and correct issuing, and will also clarify with the relevant partners any doubt or inconsistency before the submission of the report.

- (3) The activity part of the report shall inform about the project realisation (realisation of work packages, deviations in comparison to planned activities, achievement of the project indicators and the envisaged next steps).
- (4) The LP shall make sure that the project implementation is in line with the work plan per work packages, the time schedule and the approved budget, as indicated in the AF
- (5) Unless otherwise specified by the JS/MA the first report must be submitted to the JS/MA by [Click here to enter text.](#) at the latest. Subsequently further reports have to be submitted every six months.
- (6) A final report shall be submitted to the JS/MA at the latest three months after the project closure date. Beside the elements mentioned in paragraphs (2) and (3) the final report shall focus on the valorisation of the project results and its impact on the cooperation area. The LP has to be available for any revision of the final report also after the project closure until JS and MA have approved it.
- (7) Based on the fact that the payments by the European Commission to the certifying authority (CA) will only be made in accordance with the corresponding budget commitments, the LP must report on the expenditure as foreseen in the AF for each reporting period.
- (8) In case the LP requests fewer funds on behalf of the project partnership than the budget commitments indicated in the AF, the following rule shall apply: if less than 80% of the spending target (ERDF tranches to be requested per reporting period as indicated in the AF) is met, the difference is to be considered as "under risk" and might be lost if the programme experiences a decommitment of funds.

Article 4

Paying out of subsidy

- (1) After the reports have been presented in due time and completely to the MA/JS and the JS in coordination with the MA has verified that the documents meet the programme requirements, the MA will instruct the CA to pay out the subsidy to the LP based on the reported eligible expenditure.
- (2) The funds will be disbursed in Euro (EUR).



- (3) Disbursement of the subsidy is subject to the condition that it can be covered by the available ERDF funds that the CA has received from the European Commission.
- (4) By paying out the subsidy according to this agreement, the Land of Salzburg fulfils its obligations resulting from the present contract. The LP has no further right to claim against the Land of Salzburg.

Article 5

Representation of project partners, Liability

- (1) The LP guarantees that it is entitled to represent the partners participating in the project and that it has established with the project partners the division of the mutual responsibilities in a partnership agreement. The present subsidy contract will not enter into force unless the LP has submitted the signed partnership agreement to the JS and the JS in coordination with the MA has verified that it includes all essential provisions. Furthermore the LP guarantees having complied with all the relevant legal and other requirements under the law which applies to the LP and to the project partners and that all necessary approvals have been obtained.
- (2) The LP is liable to the MA for ensuring that all project partners have a legal status that is in line with the definition set out by the programme (see Interreg Alpine Space project implementation handbook) as it is in force on the date when this contract is signed. The LP is furthermore liable towards the MA for ensuring that the project partners fulfil their obligations. It is liable towards the MA for infringements by the project partners of obligations under this contract in the same way as for its own conduct.
- (3) If the MA demands repayment of the subsidy in accordance with this contract, the LP is liable to the MA for the amount requested to be repaid.
- (4) The MA cannot, under any circumstances or for any reason whatsoever, be held liable for damage or injury sustained by the staff or property of the LP or one of the project partners while the project is being carried out. The MA therefore cannot accept any claim for compensation or increases in payment in connection with such damage or injury.
- (5) The LP shall assume sole liability to third parties, including liability for damage or injury of any kind sustained by them while the project is being carried out. The LP shall discharge the MA of all liability associated with any claim or action brought as a result of an infringement of rules or regulations by the LP or one the project partners, or as a result of violation of a third party's rights.



Article 6

Project management

- (1) The LP undertakes:
- a) to ensure a professional management of the project,
 - b) to coordinate the start, implementation and closure of the project according to the time schedule as indicated in the ultimate version of the AF,
 - c) to install a separate (sub)account for the settlement of the present project and to safeguard that the eligible costs as well as the received subsidies can be clearly traced,
 - d) to constantly monitor the exhaustion of the project budget foreseen for each project participant and ensure that budget shifts are carried out within the limits and according to the rules of the programme,
 - e) to submit the project reports within the reporting deadlines established by the programme, to ensure that the expenditure reported by each project participant has been controlled according to the rules where the project participant is located and to verify that it has been used for the purpose of implementing the project and that it corresponds to the activities agreed between the project participants and set out in the project AF,
 - f) to forward the ERDF funds to the project partners in accordance with the information provided by the MA and without any delay,
 - g) to inform the MA and JS immediately about all circumstances that delay, hinder or make impossible the realisation of the project as well as all circumstances that mean a change of the disbursement conditions and frameworks as laid down in this contract (e.g. loss of a project partner, making use of additional subsidies) or circumstances which entitle the MA to reduce payment or demand repayment of the subsidy wholly or in part,
 - h) to provide the MA and JS with any information requested without any delay,
 - i) to retain for audit purposes all files, documents and data about the project until the MA informs that keeping of documents is no longer required for the project. Other possibly longer statutory retention periods as might be stated by national law remain unaffected by this regulation,
 - j) to implement the project in accordance with the European Union's and national legislation, especially on public procurement and state aid as well as the programme rules and to ensure that also the project partners respect these rules,
 - k) to ensure that undertakings are selected in a non-discriminatory and transparent way (same conditions for all) in case they participate in or benefit from the project activities (e.g. trainings),
 - l) to provide data for the monitoring system in compliance with this contract and according to the MA and JS instructions,



- m) to inform the MA and JS without any delay about any envisaged changes of the partnership agreement,
 - n) to ensure that information and communication measures of the project are carried out in accordance with the respective regulations and rules set up by the programme (see article 7),
 - o) to submit with the relevant project report the main outputs and deliverables as stated in the AF. One specimen of each developed material shall be stored at the lead partner's or project partner's premises for the first and second level control checks,
 - p) to participate in transnational seminars organised by the programme,
 - q) to support the programme in its information, communication and evaluation activities (e.g. join project exhibitions, submit texts for programme website and brochures and press releases).
- (2) In the name of all project partners, the LP agrees, according to the Law on Data Protection 2000, Austrian Federal Law Gazette No. 165/1999, in its valid version, that the MA is entitled to use the personal data, which are contained in the project application and which are acquired in the course of the realisation and controls of the project and that the MA may convey these data to the organs and authorised representatives of the following bodies and authorities: first level control bodies and bodies and authorities involved in audits carried out for the programme, European Commission, auditing bodies of the European Union, audit bodies of the Land of Salzburg, the federal audit office, and the federal ministry of finance of Austria.
- (3) Furthermore the LP agrees on behalf of all project partners that the names and addresses of all project participants, the purpose and the amount of the subsidy may be used by the programme bodies in the framework of information and communication measures concerning the programme, as well as reporting to the European Commission.

Article 7

Information and communication

- (1) Unless the MA requests otherwise, any notice or publication made by the project, including presentations at conferences or seminars, shall point out that the present project was implemented through financial assistance from ERDF funds of the programme Interreg Alpine Space. All information and communication measures of the project shall be carried out in accordance with the project AF and the programme guidelines concerning communication whereby the LP shall provide the project partners with these guidelines.



- (2) The LP shall co-ordinate the information and communication activities of the project and ensure the following:
- a) use of the programme logo, the project acronym or the project logo (in case the project partnership has decided to develop such logo) and textual reference to the ERDF in any public document or product (including presentations) concerning the project,
 - b) launch of a project website within the first six months after project start. The project website will be hosted on the programme website and shall be regularly updated by the responsible project participant in accordance with guidance given by the JS,
 - c) organisation of a public final event,
 - d) production of posters with information about the project (minimum size A3), including the financial support from the Union, to be displayed at each project participant's premises, at a location readily visible to the public such as the entrance area of a building.

Article 8

Project changes

- (1) The LP shall be allowed to carry out the following project changes under the conditions set out below.
- (2) Content-related minor changes shall be reported and justified within the progress reports. Content related changes that are resulting in major changes in the project's activities, outputs and/or results require the prior approval of the PC. These changes shall be immediately reported to the JS and described in a well-founded request for the envisaged changes and a revised AF.
- (3) Changes in the budget of work packages, budget lines and project participants are allowed as long as the maximum amount of ERDF co-financing awarded is not exceeded. The LP is allowed to carry out budget relocations between work packages, budget lines and project participants up to a maximum of 20% or 10,000 EUR (whichever is greater) of the respective ERDF per work package, budget line or project partner budget, as stated in the ultimate version of the AF. In these cases the JS shall be informed of the reallocation of funds through the reporting routines, whereas it remains the duty of the LP to monitor the compliance with the above mentioned thresholds. Reallocations exceeding these limits are only allowed once during the project duration or in duly justified cases; they require the prior approval by the JS (which acts on behalf of the MA whenever approving project changes). To this end the LP has to timely submit a well-founded request for the envisaged changes together with a revised AF to the JS as soon as the LP learns about the necessity to do them.



- (4) As regards deviations from the approved time schedule of the project the following rule shall apply: deviations that result in a prolongation of the project duration up to six months shall be reported to the JS immediately and need the prior approval of the JS. Extensions of the project duration of more than six months are not possible.
- (5) All project changes requiring an approval of the programme bodies will only enter into force after approval has been given. However, once approved, they are valid retrospectively starting from the date when a written request was submitted to the JS. The basis for the project changes is the latest approved AF.

Article 9

Changes in the project partnership

- (1) In the application documents the contribution of each project participant is clearly defined. Changes in the project partnership require the prior approval of the relevant programme bodies as outlined below. However, once approved, they are valid retrospectively starting from the date when a written request was submitted to the JS. Changes in the project partnership shall be described in a request for change and revised AF.
- (2) The LP guarantees that in case a project participant backs out of or is debarred from the project, has become insolvent or closed down as a result of bankruptcy or decision of its owners, its contribution to the project will be covered by one or more of the existing project participants or new project participants as soon as possible and at the latest within three months after the official communication to JS on the partner's withdrawal. If this is not possible a re-approval of the project by the programme committee is necessary.
- (3) In case the contribution of the project participant that left the project is covered by the remaining project participants, the LP will immediately report to the JS the loss of the project participant and the new division of work and budget between the project participants (see also paragraph 8 below which foresees a re-approval of the project by the PC if the reduction of project participants would mean a change in the evaluation result of the project).
- (4) In case the contribution of the project participant that left the project is at least partially covered by a new project participant, the LP will immediately report to the JS the loss of the project participant and the envisaged new division of work and budget between the project participants. At the same time it will



send to the JS a well-founded request for the entry of a new project participant and a scan of the partnership agreement that it has signed with the new partner.

- (5) In case a new project participant intends to enter the project partnership, the LP will send a request to the JS and provide it with information as regards the new division of work and budget. At the same time it will provide the MA with information on the envisaged amendments of the partnership agreement.
- (6) The JS will examine the request for the entry of a new participant (in cases as regulated in paragraphs (4) and (5) of this article) and give its recommendation, after consultation of the relevant Alpine Space Contact Point, within one month. The MA will examine the planned changes of the partnership agreement. The entry of a new project participant has to be approved by the PC and the changes in the partnership agreement need the approval of the MA.
- (7) In case of loss of a project participant, its project costs may only be eligible and co-financed until the date of withdrawal of this project participant as communicated by the LP to the JS; the eligibility of its costs is also subject to the confirmation from the LP and the JS that the contribution of this partner can be used for the project by the remaining project participants.
- (8) The LP is aware of the fact that the MA is entitled to withdraw from this subsidy contract if the minimum number of project participants is no longer ensured. If a reduction of the project participants would mean a change in the evaluation result of the project, a re-approval by the PC is necessary. Until this decision is made by the PC, the LP and its project partners shall stop any payments for activities that cause costs related to the project.

Article 10

Assignment, Legal succession

The LP is allowed to assign its duties and rights under this contract if prior consent of the MA and the PC is given. This approval shall be granted if the party to which assignment is made provides for the same guarantee as the transferring LP for the fulfilment of its rights and duties related to the project. In this case the LP is obliged to assign all rights and obligations and all project related documents to each and any legal successor. This provision shall also apply in case of a change of the legal form of the LP or legal succession with regard to single rights and duties of the LP.



Article 11
Financial control, Audits

- (1) The responsible auditing bodies of the EU, and, within their responsibility, the auditing bodies of the participating EU Member States as well as the programme bodies are entitled to audit the proper use of funds by the LP or by the project partners or arrange for such an audit to be carried out by authorised persons.
- (2) With regard to such financial controls the LP is, in addition to the reporting and information obligations as laid down above, obliged to:
 - (a) keep available all files, documents and data related to the project safely and orderly either in original or as certified copies on commonly used data media, until the MA informs that these documents do not need to be kept any longer from the programme perspective (see article 6 (1) litera i) of this subsidy contract),
 - (b) make all necessary arrangements to ensure that any audit, notified by the duly authorised institution, can be carried out smoothly,
 - (c) give these institutions any information about the project they request and give them access to the accounting books, supporting documents and all other documentation related to the project.
- (3) The LP is obliged to guarantee the fulfilment of the duties stipulated above in relation to all its project partners.

Article 12
Repayment and stop of payment of subsidy

- (1) The MA is entitled to withdraw from this contract, especially in case the European Commission requests for it, and to demand immediate repayment of the subsidy in full or in part, if
 - a) the co-financed project cannot or could not be realised in due time, or a precondition for the approval of the project (e.g. minimum number of project partners) is lost,
 - b) the correctness of the final report and herewith the entitlement to make use of ERDF co-financing cannot be verified any longer, unless the documents have gone lost without fault of the LP or
 - c) the LP has become insolvent or closed down as result of bankruptcy or decision of its owners before the project has been properly terminated and therefore especially the objectives of the cooperation programme do not seem accessible or secured, or if the LP sells, leases or lets the project to a third party within this time, or



- d) the LP has obtained the subsidy through false statements or has given false or incomplete information towards organs/appointees of the European Commission, the JS and the MA or any other authority involved in the implementation of the programme, or
 - e) the LP fails to submit the foreseen reports or to provide evidence or to provide necessary information, provided that a written notice of cancellation has been sent to the LP including a reasonable “period of grace” and the expressive reference to the legal consequences of noncompliance of this notice, or
 - f) the LP fails to provide immediate information about circumstances that delay, hinder or make impossible the realisation of the co-financed project, as well as about any circumstances that mean a change of the disbursement conditions and frameworks as laid down in this contract or entitle the MA to reduce or demand repayment of the subsidy wholly or in part,
 - g) the LP hinders the due control or evaluation measures, or
 - h) the subsidy has been used wholly or partly against its purpose, or
 - i) the prohibition of cession has not been obeyed, or
 - j) regulations of the EU law and applicable national law (especially provisions concerning public procurement and state aid and environmental law and regulations concerning equal treatment of men and women) have been violated, or
 - k) any other preconditions for subsidy or obligations of the LP contained in the present contract or set out by the programme or in any other Austrian and community regulations, especially those which shall safeguard the achievement of the general objectives of the cooperation programme, have not been observed.
- (2) If the MA exercises its right of withdrawal, it will deduct the relevant amount from the ERDF reimbursement requested by the project in the next available progress report. This deduction will be applied to the project participant that has caused the request for ERDF repayment or, if this is not possible, to the LP. If it is not possible to recover the due amount of ERDF by deducting it from the next available progress report, the LP will ensure the reimbursement of funds to the MA without delay. In case of any delay in effecting repayment the respective amount shall be subject to interest on late payment, starting on the calendar day following the due date and ending on the date of actual payment. The interest rate on late payment will be determined in accordance with article 147 of Regulation (EC) No 1303/2013. It shall be 1,5 % above the rate applied by the European Central Bank in its main refinancing operations and it will be indicated by the MA in the letter asking for repayment.
- (3) In case one of the circumstances listed above occurs or is suspected to have occurred before the ERDF co-financing has been fully paid out, the MA is entitled to stop any further payment of subsidies and to



commission a control in order to clarify the suspicion. If this suspicion is confirmed, the LP is no longer entitled to claim the corresponding ERDF reimbursement.

- (4) Any further legal claims of the parties shall remain unaffected by the above provisions.

Article 13

Project outputs and results

- (1) The outcomes and results of the projects have to be made available to the general public free of charge. The MA and programme bodies reserve the right to use them for information and communication actions of the programme. In case there are pre-existing intellectual and industrial property rights which are made available to the project, these are fully respected. The LP will ensure that the project participants play an active role in any actions organised by the programme to disseminate and capitalise on these results.
- (2) All products (material and intellectual) that derive from the project will be the joint property of all project participants. Consequently, the LP safeguards that each project participant grants a simple, non-exclusive right of use of any produced work of authorship to all other project participants. For small scale investments made by the LP or a PP, the LP ensures that the project participants agree beforehand on the conditions for its use after project end (e.g. by taking a decision in the project steering group).
- (3) The LP ensures that undertakings, in case they operate/maintain the project outputs and results, are selected in a non-discriminatory and transparent way (same conditions for all).

Article 14

Concluding provisions

- (1) Programme language is English. Thus, all correspondence between LP, JS and MA under this contract must be in English language. Correspondence shall be email based whenever possible.
- (2) Both parties agree herewith that the subject of the present agreement is exhaustively and completely regulated in this document and the above-mentioned integrated parts.
- (3) Amendments and supplements to the present contract must be in written form. Consequently, any changes of the present contract shall only be effective if they have been agreed upon in writing and have



been designated as amendment of or supplement to this contract (the exchange of emails is sufficient). As an exception to this formal requirement, modifications to the project that are approved in writing by the responsible programme bodies (PC or JS on behalf of MA, as appropriate) shall modify automatically the present contract.

- (4) If any provision in this contract should become wholly or partly ineffective, the remaining provisions remain binding for the parties. The parties agree to replace the ineffective provision by one which serves the purpose of this contract as closely as possible.
- (5) In case of differences that are not ruled by this contract, the parties agree to find a joint solution.
- (6) The parties will make an effort to settle any disputes arising from this contract out of the court. In case a solution cannot be found, the parties herewith agree that Salzburg shall be the venue for all legal disputes arising from this contract.
- (7) The laws of Austria shall apply to all legal relations arising in connection with this contract.
- (8) Two copies will be made of this contract; of which each party keeps one.
- (9) The present contract shall come into force upon signature of all parties and guarantee of any national public co-financing to be granted to the project according to the application documents. It shall remain into force until the LP has discharged in full its obligations towards the MA.

Place, date: _____

Place, date: _____

For the Land of Salzburg:

For the lead partner:

(Click here to enter text.)

(Click here to enter text.)

Stamp

(Click here to enter text.)

Stamp



Subsidy contract for the project

“ ”

“Click here to enter text.”



The following contract between the Land of Salzburg acting as managing authority (hereinafter “MA”) of the European territorial cooperation programme "Interreg Alpine Space", represented by the government office of the Land of Salzburg, department 1 (economy, tourism and municipalities), Südtirolerplatz 11, post office box 527, A-5010 Salzburg, Austria

and

Click here to enter text., based in Click here to enter text., represented by Click here to enter text. as lead partner (hereinafter “LP”) and representing the partners of the above mentioned project and

Click here to enter text., based in Click here to enter text., represented by Click here to enter text. as ERDF-lead partner (hereinafter “ERDF-LP”) and representing the partners of the above mentioned project

is concluded on the basis of:

- The European Structural and Investment Funds Regulations, Delegated and Implementing acts for the period 2014-2020, especially article 125(3) c of the Regulation (EU) No 1303/2013 and article 12(5) of Regulation (EU) No 1299/2013,
- the European territorial cooperation programme "Interreg Alpine Space" 2014-2020, approved by the European Commission on December 17th 2014,
- the Interreg Alpine Space project implementation handbook endorsed by the programme committee,
- the laws of Austria.

Article 1 Award of subsidy

(1) Based on the application documents (application form and partnership agreement) and in accordance with the approval decision and recommendations of the programme committee (PC) dated Click here to enter text., an earmarked subsidy is awarded to the LP and ERDF-LP from the European Regional Development Fund (ERDF) under the following conditions. The subsidy is granted in the maximum amount of

Click here to enter text. EUR



- (2) The subsidy is granted under the condition that the Land of Salzburg is designated as managing authority. The award of the subsidy from ERDF funds is limited to the amount mentioned in paragraph (1). Furthermore, it is limited to a maximum of 85% of the total eligible costs of the project. The ERDF co-financing amount decreases proportionally if the reported eligible costs are lower than the amount planned in the ultimate approved version of the project application form (AF).
- (3) Should it become evident and the ERDF-LP confirm to the MA that the project will not spend the maximum amount of ERDF co-financing awarded by the PC, the MA may decide to reduce the subsidy accordingly.

Article 2

Object of use, Eligibility of costs

- (1) The subsidy is awarded exclusively for the project “[Click here to enter text.](#)” as described in the project application documents and as approved by the PC. The application documents form an integral part of this subsidy contract.
- (2) Project costs which qualify for co-financing from ERDF funds consist exclusively of project costs listed in the latest approved AF. The eligibility of project costs for ERDF co-financing is regulated in the programme’s eligibility rules (factsheet “what can be co-financed”).
- (3) It is explicitly stated that the project must not make use of funds from other programmes co-financed by the European Union to finance the present project.

Article 3

Reporting and requests for payments

- (1) The LP and the ERDF-LP share the responsibility for the proper setting up of reports about the project, whereby the ERDF-LP bears the responsibility for the financial part and the LP the main responsibility for the part related to project activities. The LP and the ERDF-LP may only request ERDF payments on behalf of the project by providing project reports to the joint secretariat (JS). Reports will have to be submitted via the programme’s online monitoring system. Access to the online reports will be granted by the JS.
- (2) The financial part of the report shall comprise the amount indicated in all FLC certificates related to the project expenditure that has arisen until the end of the reporting period and that can be objectively and spatially imputed to the project. All project expenditure must be certified by the authorised public or private institutions, following the rules as set out in the relevant national first level control system. To this



end, the ERDF-LP verifies that each project partner enables controls and audits on the proper use of funds to be carried out by the responsible institution in the State where the partner is located, as will the LP itself. Furthermore the LP will pre-check the FLC certificates received from the project partners, with regard to plausibility and correct issuing, and will also clarify with the relevant partners any doubt or inconsistency before the submission of the report.

- (3) The activity part of the report shall inform about the project realisation (realisation of work packages, deviations in comparison to planned activities, achievement of the project indicators and the envisaged next steps).
- (4) The LP shall make sure that the project implementation is in line with the work plan per work packages, the time schedule and the approved budget, as indicated in the AF.
- (5) Unless otherwise specified by the JS/MA the first report must be submitted to the JS/MA by [Click here to enter text.](#) at the latest. Subsequently further reports have to be submitted every six months.
- (6) A final report shall be submitted to the JS/MA at the latest three months after the project closure date. Beside the elements mentioned in paragraphs (2) and (3) the final report shall focus on the valorisation of the project results and its impact on the cooperation area. The LP and the ERDF-LP have to be available for any revision of the final report also after the project closure until JS and MA have approved it.
- (7) Based on the fact that the payments by the European Commission to the certifying authority (CA) will only be made in accordance with the corresponding budget commitments, the LP and the ERDF-LP must report on the expenditure as foreseen in the AF for each reporting period.
- (8) In case the LP and the ERDF-LP request fewer funds on behalf of the project partnership than the budget commitments indicated in the AF, the following rule shall apply: if less than 80% of the spending target (ERDF tranches to be requested per reporting period as indicated in the AF) is met, the difference is to be considered as "under risk" and might be lost if the programme experiences a decommitment of funds.



Article 4

Paying out of subsidy

- (1) After the progress reports have been presented in due time and completely to the MA/JS and the JS in coordination with the MA has verified that the documents meet the programme requirements, the MA will instruct the CA to pay out the subsidy to the ERDF-LP based on the reported eligible expenditure.
- (2) The funds will be disbursed in Euro (EUR).
- (3) Disbursement of the subsidy is subject to the condition that it can be covered by the available ERDF funds that the CA has received from the European Commission.
- (4) By paying out the subsidy according to this agreement, the Land of Salzburg fulfils its obligations resulting from the present contract. The LP and the ERDF-LP have no further right to claim against the Land of Salzburg.

Article 5

Representation of project partners, Liability

- (1) The LP and the ERDF-LP guarantee that they are entitled to represent the partners participating in the project and that they have established with the project partners the division of the mutual responsibilities in a partnership agreement. The present subsidy contract will not enter into force unless the LP and the ERDF-LP have submitted the signed partnership agreement to the JS and the JS in coordination with the MA has verified that it includes all essential provisions. Furthermore the LP and the ERDF-LP guarantee having complied with all the relevant legal and other requirements under the law which applies to them and to the project partners and that all necessary approvals have been obtained.
- (2) The LP is liable to the MA for ensuring that all project partners have a legal status that is in line with the definition set out by the programme (see Interreg Alpine Space project implementation handbook) as it is in force on the date when this contract is signed. The LP is furthermore liable towards the MA for ensuring that the project participants fulfil their obligations. It is liable towards the MA for infringements by the project partners of obligations under this contract in the same way as for its own conduct.
- (3) If the MA demands repayment of the subsidy in accordance with this contract, the ERDF-LP is liable to the MA for the amount requested to be repaid.
- (4) The MA cannot, under any circumstances or for any reason whatsoever, be held liable for damage or injury sustained by the staff or property of the LP or the ERDF-LP or one of the project partners while the



project is being carried out. The MA therefore cannot accept any claim for compensation or increases in payment in connection with such damage or injury.

- (5) The LP and the ERDF-LP shall assume sole liability to third parties, including liability for damage or injury of any kind sustained by them while the project is being carried out. The LP and the ERDF-LP shall discharge the MA of all liability associated with any claim or action brought as a result of an infringement of rules or regulations by the LP or the ERDF-LP or one the project partners, or as a result of violation of a third party's rights.

Article 6

Project management

- (1) The LP undertakes:
- a) to ensure a professional management of the project, to closely co-operate with the ERDF-LP and to co-ordinate any project activity with the ERDF-LP,
 - b) to coordinate the start, implementation and closure of the project according to the time schedule as indicated in the ultimate version of the AF,
 - c) to install a separate (sub)account for the settlement of the present project and to safeguard that any received national subsidy can be clearly traced,
 - d) to verify together with the ERDF-LP that the reported expenditure has been used for the purpose of implementing the project and corresponds to the activities agreed between the project participants and set out in the project application form,
 - e) to inform the MA and JS immediately about all circumstances that delay, hinder or make impossible the realisation of the project as well as all circumstances that mean a change of the disbursement conditions and frameworks as laid down in this contract (e.g. loss of a project partner, making use of additional subsidies) or circumstances which entitle the MA to reduce payment or demand repayment of the subsidy wholly or in part,
 - f) to provide the MA and JS with any information requested without any delay,
 - g) to retain for audit purposes all files, documents and data about the project until the MA informs that keeping of documents is no longer required for the project. Other possibly longer statutory retention periods as might be stated by national law remain unaffected by this regulation,
 - h) to implement the project in accordance with the European Unions and national legislation, especially on public procurement and state aid as well as the programme rules and to ensure that also the project partners respect these rules,
 - i) to ensure that undertakings are selected in a non-discriminatory and transparent way (same conditions for all) in case they participate in or benefit from the project activities (e.g. trainings),



- j) to provide data for the monitoring system in compliance with this contract and according to the MA and JS instructions,
- k) to inform the MA and JS without any delay about any envisaged changes of the partnership agreement,
- l) to ensure that information and communication measures of the project are carried out in accordance with the respective regulations and rules set up by the programme (see article 7),
- m) to submit with the relevant progress report the main outputs and deliverables as stated in the AF. One specimen of each developed material shall be stored at the lead partner's or project partner's premises for the first and second level control checks,
- n) to participate in transnational seminars organised by the programme,
- o) to support the programme in its information, communication and evaluation activities (e.g. join project exhibitions, submit texts for programme website and brochures and press releases).

(2) The ERDF-LP undertakes:

- a) to closely co-operate with the LP and to co-ordinate any project-related activity with the LP,
- b) to install a separate (sub)account for the settlement of the present project and to safeguard that any received subsidy can be clearly traced,
- c) to constantly monitor the exhaustion of the project budget foreseen for each project participant and to ensure that budget shifts are carried out within the limits and according to the rules of the programme,
- d) to submit the progress reports within the reporting deadlines established by the programme, to ensure that the expenditure reported by each project participant has been controlled according to the rules where the project participant is located and to verify that it has been used for the purpose of implementing the project and that it corresponds to the activities agreed between the project participants and set out in the project AF,
- e) to forward the ERDF funds to the project partners in accordance with the information provided by the MA and without any delay,
- f) to provide the MA and JS with any information requested without delay,
- g) to retain for audit purposes all files, documents and data about the project until the MA informs that keeping of documents is no longer required for the project. Other possibly longer statutory retention periods as might be stated by national law remain unaffected by this regulation,
- h) to implement the project in accordance with the European Union's and national legislation, especially on public procurement and state aid as well as the programme rules and to ensure that also the project partners respect these rules,



- i) to ensure that companies or other economic operators are selected in a non-discriminatory and transparent way (same conditions for all) in case they participate in or benefit from the project activities (e.g. trainings),
 - j) to provide data for the monitoring system in compliance with this contract and according to the MA and JS instructions,
 - k) to inform the MA and JS without any delay about any envisaged changes of the partnership agreement,
 - l) to ensure that information and communication measures of the project are carried out in accordance with the respective regulations and rules set up by the programme (see article 7),
 - m) to participate in transnational seminars organised by the programme,
 - n) to support the programme in its information, communication and evaluation activities (e.g. join project exhibitions, submit texts for programme website and brochures and press releases).
- (3) In the name of all project partners, the LP and the ERDF-LP agree, according to the Law on Data Protection 2000, Austrian Federal Law Gazette No. 165/1999, in its valid version, that the MA is entitled to use the personal data, which are contained in the project application and which are acquired in the course of the realisation and controls of the project and that the MA may convey these data to the organs and authorised representatives of the following bodies and authorities: first level control bodies and bodies and authorities involved in audits carried out for the programme, European Commission, auditing bodies of the European Union, audit bodies of the Land of Salzburg, the federal audit office, and the federal ministry of finance of Austria.
- (4) Furthermore the LP and the ERDF-LP agree on behalf of all project partners that the names and addresses of all project participants, the purpose and the amount of the subsidy may be used by the programme bodies in the framework of information and communication measures concerning the programme, as well as reporting to the European Commission.

Article 7

Information and communication

- (1) Unless the MA requests otherwise, any notice or publication made by the project, including presentations at conferences or seminars, shall point out that the present project was implemented through financial assistance from ERDF funds of the programme Interreg Alpine Space. All information and communication measures of the project shall be carried out in accordance with the project AF and the programme guidelines concerning communication whereby the LP shall provide the project participants with these guidelines.



- (2) The LP shall co-ordinate the information and communication activities of the project and ensure the following:
- a) use of the programme logo, the project acronym or project logo (if the project partnership has decided to develop such a logo) and textual reference to the ERDF in any public document or product (including presentations) concerning the project,
 - b) launch of a project website within the first six months after project start. The project website will be hosted on the programme website and shall be regularly updated by the responsible project participant in accordance with guidance given by the JS,
 - c) organisation of a public final event,
 - d) production of posters with information about the project (minimum size A3), including the financial support from the Union, to be displayed at each project participant's premises, at a location readily visible to the public such as the entrance area of a building.

Article 8

Project changes

- (1) The LP and the ERDF-LP shall be allowed to carry out the following project changes under the conditions set out below.
- (2) Content-related minor changes shall be reported and justified within the progress reports. Content related changes that are resulting in major changes in the project's activities, outputs and/or results require the prior approval of the PC. These changes shall be immediately reported to the JS and described in a well-founded request for the envisaged changes and a revised AF.
- (3) Changes in the budget of work packages, budget lines and project participants are allowed as long as the maximum amount of ERDF co-financing awarded is not exceeded. It is allowed to carry out budget relocations between work packages, budget lines and project participants up to a maximum of 20% or 10,000 EUR (whichever is greater) of the respective ERDF per work package, budget line or project partner budget, as stated in the ultimate version of the AF. In these cases the JS shall be informed of the reallocation of funds through the reporting routines, whereas it remains the duty of the LP to monitor the compliance with the above mentioned thresholds. Reallocations exceeding these limits are only allowed once during the project duration or in duly justified cases; they require the prior approval by the JS (which acts on behalf of the MA whenever approving project changes). To this end the LP has to timely submit a well-founded request for the envisaged changes together with a revised AF to the JS as soon as the LP learns about the necessity to do them.



- (4) As regards deviations from the approved time schedule of the project the following rule shall apply: deviations that result in a prolongation of the project duration up to six months shall be reported to the JS immediately and need the prior approval of the JS. Extensions of the project duration of more than six months are not possible.
- (5) All project changes requiring an approval of the programme bodies will only enter into force after approval has been given. However, once approved, they are valid retrospectively starting from the date when a written request was submitted to the JS. The basis for the project changes is the latest approved AF.

Article 9

Changes in the project partnership

- (1) In the application documents the contribution of each project participant is clearly defined. Changes in the project partnership require the prior approval of the relevant programme bodies as outlined below. However, once approved, they are valid retrospectively starting from the date when a written request was submitted to the JS. Changes in the project partnership shall be described in a request for change and revised AF.
- (2) The LP and the ERDF-LP guarantee that in case a project participant backs out of or is debarred from the project, has become insolvent or closed down as a result of bankruptcy or decision of its owners, its contribution to the project will be covered by one or more of the existing project participants or new project participants as soon as possible and at the latest within three months after the official communication to JS on the partner's withdrawal. If this is not possible a re-approval of the project by the programme committee is necessary.
- (3) In case the contribution of the project participant that left the project is covered by the remaining project participants, the LP will immediately report to the JS the loss of the project participant and the new division of work and budget between the project participants (see also paragraph 8 below which foresees a re-approval of the project by the PC if the reduction of project participants would mean a change in the evaluation result of the project).
- (4) In case the contribution of the project participant that left the project is at least partially covered by a new project participant, the LP will immediately report to the JS the loss of the project participant and the envisaged new division of work and budget between the project participants. At the same time it will send to the JS a well-founded request for the entry of a new project participant and a scan of the partnership agreement that it has signed with the new partner.



- (5) In case a new project participant intends to enter the project partnership, the LP will send a request to the JS and provide it with information as regards the new division of work and budget. At the same time it will provide the MA with information on the envisaged amendments of the partnership agreement.
- (6) The JS will examine the request for the entry of a new participant (in cases as regulated in paragraphs (4) and (5) of this article) and give its recommendation, after consultation of the relevant Alpine Space Contact Point, within one month. The MA will examine the planned changes of the partnership agreement. The entry of a new project participant has to be approved by the PC and the changes in the partnership agreement need the approval of the MA.
- (7) In case of loss of a project participant, its project costs may only be eligible and co-financed until the date of withdrawal of this project participant as communicated by the LP to the JS; the eligibility of its costs is also subject to the confirmation from the LP and the JS that the contribution of this partner can be used for the project by the remaining project participants.
- (8) The LP and the ERDF-LP are aware of the fact that the MA is entitled to withdraw from this subsidy contract if the minimum number of project participants is no longer ensured. If a reduction of the project participants would mean a change in the evaluation result of the project, a re-approval by the PC is necessary. Until this decision is made by the PC, the LP, the ERDF-LP and their project partners shall stop any payments for activities that cause costs related to the project.

Article 10

Assignment, Legal succession

The LP and the ERDF-LP are allowed to assign their duties and rights under this contract if prior consent of the MA and the PC is given. This approval shall be granted if the party to which assignment is made provides for the same guarantee as the transferring LP or the ERDF-LP for the fulfilment of its rights and duties related to the project. In this case the LP or the ERDF-LP is obliged to assign all rights and obligations and all project related documents to each and any legal successor. This provision shall also apply in case of a change of the legal form of the LP or of the ERDF-LP or in case of legal succession with regard to single rights and duties of the LP or of the ERDF-LP.

Article 11

Financial control, Audits

- (1) The responsible auditing bodies of the EU, and, within their responsibility, the auditing bodies of the participating EU Member States as well as the programme bodies are entitled to audit the proper use of



funds by the ERDF-LP or by the project partners or arrange for such an audit to be carried out by authorised persons.

- (2) With regard to such financial controls the LP and the ERDF-LP are, in addition to the reporting and information obligations as laid down above, obliged to:
 - (a) keep available all files, documents and data related to the project safely and orderly either in original or as certified copies on commonly used data media, until the MA informs that these documents do not need to be kept any longer from the programme perspective (see article 6 (1) litera g) of this subsidy contract),
 - (b) make all necessary arrangements to ensure that any audit, notified by the duly authorised institution, can be carried out smoothly,
 - (c) give these institutions any information about the project they request and give them access to the accounting books, supporting documents and all other documentation related to the project.
- (3) The LP and the ERDF-LP are obliged to guarantee the fulfilment of the duties stipulated above in relation to all its project partners.

Article 12

Repayment and stop of payment of subsidy

- (1) The MA is entitled to withdraw from this contract, especially in case the European Commission requests for it, and to demand immediate repayment of the subsidy in full or in part, if
 - a) the co-financed project cannot or could not be realised in due time, or a precondition for the approval of the project (e.g. minimum number of project partners) is lost,
 - b) the correctness of the final report and herewith the entitlement to make use of ERDF co-financing cannot be verified any longer, unless the documents have gone lost without fault of the LP or
 - c) the ERDF-LP has become insolvent or closed down as result of bankruptcy or decision of its owners before the project has been properly terminated and therefore especially the objectives of the cooperation programme do not seem accessible or secured, or if the ERDF-LP sells, leases or lets the project to a third party within this time, or
 - d) the LP or the ERDF-LP has obtained the subsidy through false statements or has given false or incomplete information towards organs/appointees of the European Commission, the JS and the MA or any other authority involved in the implementation of the programme, or
 - e) the LP or the ERDF-LP fails to submit the foreseen reports or to provide evidence or to provide necessary information, provided that a written notice of cancellation has been sent to the LP



including a reasonable “period of grace” and the expressive reference to the legal consequences of noncompliance of this notice, or

- f) the LP or the ERDF-LP fails to provide immediate information about circumstances that delay, hinder or make impossible the realisation of the co-financed project, as well as about any circumstances that mean a change of the disbursement conditions and frameworks as laid down in this contract or entitle the MA to reduce or demand repayment of the subsidy wholly or in part,
- g) the LP or the ERDF-LP hinders the due control or evaluation measures, or
- h) the subsidy has been used wholly or partly against its purpose, or
- i) the prohibition of cession has not been obeyed, or
- j) regulations of the EU law and applicable national law (especially provisions concerning public procurement and state aid and environmental law and regulations concerning equal treatment of men and women) have been violated, or
- k) any other preconditions for subsidy or obligations of the LP or the ERDF-LP contained in the present contract or set out by the programme or in any other Austrian and community regulations, especially those which shall safeguard the achievement of the general objectives of the cooperation programme, have not been observed.

(2) If the MA exercises its right of withdrawal, it will deduct the relevant amount from the ERDF reimbursement requested by the project in the next available progress report. This deduction will be applied to the project participant that has caused the request for ERDF repayment or, if this is not possible, to the ERDF-LP. If it is not possible to recover the due amount of ERDF by deducting it from the next available progress report, the ERDF-LP will ensure the reimbursement of funds to the MA without delay. The repayment amount is due within one month following the date of receiving the letter by which the MA asks for reimbursement (in case of e-mail correspondance the relevant date shall be the date of sending the e-mail). In case of any delay in effecting repayment the respective amount shall be subject to interest on late payment, starting on the calendar day following the due date and ending on the date of actual payment. The interest rate on late payment will be determined in accordance with article 147 of Regulation (EC) No 1303/2013. It shall be 1,5 % above the rate applied by the European Central Bank in its main refinancing operations and it will be indicated by the MA in the letter asking for repayment.

(3) In case one of the circumstances listed above occurs or is suspected to have occurred before the ERDF co-financing has been fully paid out, the MA is entitled to stop any further payment of subsidies and to commission a control in order to clarify the suspicion. If this suspicion is confirmed, the ERDF-LP is no longer entitled to claim the corresponding ERDF reimbursement.



- (4) Any further legal claims of the parties shall remain unaffected by the above provisions.

Article 13

Project outputs and results

- (1) The outcomes and results of the projects have to be made available to the general public free of charge. The MA and programme bodies reserve the right to use them for information and communication actions of the programme. In case there are pre-existing intellectual and industrial property rights which are made available to the project, these are fully respected. The LP will ensure that the project participants play an active role in any actions organised by the programme to disseminate and capitalise on these results.
- (2) All products (material and intellectual) that derive from the project will be the joint property of all project participants. Consequently, the LP safeguards that each project participant grants a simple, non-exclusive right of use of any produced work of authorship to all other project participants. For small scale investments made by a project participant, the LP ensures that the project participants agree beforehand on the conditions for its use after project end (e.g. by taking a decision in the project steering group).
- (3) The LP ensures that undertakings, in case they operate/maintain the project outputs and results, are selected in a non-discriminatory and transparent way (same conditions for all).

Article 14

Concluding provisions

- (1) Programme language is English. Thus, all correspondence between LP, ERDF-LP, JS and MA under this contract must be in English language. Correspondence shall be email based whenever possible.
- (2) All parties agree herewith that the subject of the present agreement is exhaustively and completely regulated in this document and the above-mentioned integrated parts.
- (3) Amendments and supplements to the present contract must be in written form. Consequently, any changes of the present contract shall only be effective if they have been agreed upon in writing and have been designated as amendment of or supplement to this contract (the exchange of emails is sufficient). As an exception to this formal requirement, modifications to the project that are approved in writing by the responsible programme bodies (PC or JS on behalf of MA, as appropriate) shall modify automatically the present contract.



- (4) If any provision in this contract should become wholly or partly ineffective, the remaining provisions remain binding for the parties. The parties agree to replace the ineffective provision by one which serves the purpose of this contract as closely as possible.
- (5) In case of differences that are not ruled by this contract, the parties agree to find a joint solution.
- (6) The parties will make an effort to settle any disputes arising from this contract out of the court. In case a solution cannot be found, the parties herewith agree that Salzburg shall be the venue for all legal disputes arising from this contract.
- (7) The laws of Austria shall apply to all legal relations arising in connection with this contract.
- (8) Three copies will be made of this contract; of which each party keeps one.
- (9) The present contract shall come into force upon signature of all parties and guarantee of any national public co-financing to be granted to the project according to the application documents. It shall remain into force until the LP and the ERDF-LP have discharged in full their obligations towards the MA.

Place, date: _____

Place, date: _____

For the Land of Salzburg:

For the lead partner:

(Click here to enter text.)

(Click here to enter text.)

Stamp

(Click here to enter text.)

Place, date: _____

Stamp

For the ERDF lead partner:

(Click here to enter text.)

Stamp



FactSheet

No. 3.3

Decommitment of funds

According to Article 136 of Regulation (EU) No 1303/2013 the European Commission shall automatically decommit any part of a budget commitment of a programme that has not been used by 31 December of the third year following the year of budget commitment.

This decommitment risk on programme level is consequently considered on project level. Article 3 paragraphs (7) and (8) of the subsidy contract (SC) regulate the following:

“Based on the fact that the payments by the European Commission to the certifying authority (CA) will only be made in accordance with the corresponding budget commitments, the LP must report on the expenditure as foreseen in the AF.

In case the LP requests fewer funds on behalf of the project partnership than the budget commitments indicated in the AF, the following rule shall apply: if less than 80% of the spending target (ERDF tranches to be requested per reporting period as indicated in the annex) is met, the difference is to be considered as "under risk" and might be lost if the programme experiences a decommitment of funds.”

In case of a decommitment on project level, Article 12 (3) of the partnership agreement (PA) foresees the following:

“Should the programme face a budget reduction due to the decommitment rule and should the ERDF funds allocated to the project be reduced as a consequence, the project participants herewith agree that the budget reduction shall be imputed to the project participants that have contributed to the underspending by not reporting according to the time schedule of the project as stated in the approved AF, unless a different decision is taken by the PSG (project steering group) by consensus.”



Example

The following example illustrates the consequences on project level:

Project “AlpsExample” should request € 750.000 ERDF funds until autumn 2017 (according to the annex of the subsidy contract). Due to delays in the project implementation and reporting, the project reports eligible expenditure entitling to request an ERDF amount of € 500.000 by autumn 2017. The difference between the amount actually requested and the committed budget is € 250.000 whereby a deviation of 20% (in that case € 150.000) would be accepted by the programme according to the provisions of the subsidy contract. The amount to be considered as being under risk and therefore the amount that could be decommitted on project level is € 100.000.

It depends on the performance of the other projects approved by the programme whether the project “AlpsExample” faces a decommitment of ERDF funds or not. Thus, two different scenarios might apply:

Scenario 1:

Most projects report according to the plan. Therefore the programme does not face any decommitment. Thus, the underspending of the project “AlpsExample” will not result in any financial consequences on project level and the ERDF-amount granted to the project will not be reduced.

Scenario 2:

As the implementation of many projects is delayed and consequently the ERDF-requests are far behind the plan, the programme faces a decommitment. Example: the decommitment on programme level amounts to € 1.000.000. Ten projects, including “AlpsExample”, deviate from the plan by more than the accepted 20%. Therefore the decommitment of € 1.000.000 shall be borne by these projects. The deviation of the ten projects from the 80% of the committed budget amounts to a total ERDF of € 2.000.000. The project “AlpsExample” will therefore lose ERDF funds in the amount of € 50.000 (the proportion between the € 1.000.000 decommitted and the € 2.000.000 deviation is 1:2, i.e. half of € 100.000 will be lost for the above-mentioned project).



How to avoid a decommitment on project level?

The risk of facing a decommitment during project life time can be reduced by taking the following into consideration:

- the financial plan of the project, especially the budget split along time lines shall be defined carefully (considering already in advance possible delays, e.g. in the first level control);
- the financial performance of the project partners shall be monitored closely and regularly by the LP (as stated in article 4 (2) c of the PA the LP shall ensure sound financial management of the project);
- the project partners shall stay in contact with their first level control (FLC) bodies so to ensure that the expenditure can be certified in time (as stated in article 5 (4) c of the PA the project partners shall ensure timely reporting of activities and costs).

Reference Documents

- o Regulation (EU) No 1303/2103
- o Subsidy contract
- o Partnership agreement



FactSheet

No. 3.4

Resolution of complaints

Background

According to article 74 (3) of Regulation (EU) No 1303/2013 ESI-funded programmes shall ensure that effective arrangements for the examination of complaints are in place. This factsheet provides project applicants and participants of approved projects with more information and practical guidance regarding scope, rules and procedures for the resolution of complaints related to decisions of the responsible bodies involved in the Alpine Space programme.

The procedures set in place by the Alpine Space Programme for the resolution of complaints are differentiated in relation to the matter concerned:

- complaints related to decisions of the programme committee on project evaluation and selection,
- complaints concerning programme decisions related to project implementation,
- complaints related to financial controls.

Resolution procedures

Complaints related to project evaluation and selection

The managing authority/joint secretariat informs the lead applicant about the results of the project evaluation after step 1 and step 2 of the project selection process (see factsheet project selection: procedure and criteria). The communication of such results is accompanied by a clear indication of the reasons for failure



(ineligibility or rejection of the proposal). In case of rejection, the communication is accompanied by an assessment report.

Should the project applicants want to receive clarifications on the evaluation results or should they be of the opinion that the evaluation criteria and project selection process laid down by the programme have not been correctly applied, the following procedure should be followed.

The lead applicants are strongly recommended to get back to the JS to receive more information on the results of the project evaluation within the timeframe given for submitting a complaint (see below). Experience has shown that such exchanges lead to a quick clarification of these issues without any administrative burden.

If applicants are not satisfied with the explanations given and still are of the opinion that the project selection criteria and process were not applied correctly, a complaint can be submitted. The complaint can be lodged only against the outcomes of the eligibility check and related PC decision. Complaints concerning the quality assessment (selection criteria) of the project and the related decision of the programme committee cannot be reviewed. However, as set out above the applicants may request further information from JS on the reasons for rejection.

A complaint can only be submitted by the project's lead applicant, as the organisation representing the project partnership affected by the decision of the programme committee to reject the project proposal. It is therefore the task of the lead applicant to collect and bring forward the reasons for filing a complaint from the project partners. The complaint is to be lodged against the communication of MA/JS informing on the decision taken by the programme committee. The complaint shall be submitted in the programme language, and in writing (scanned letter transmitted by e-mail) to the managing authority (<mailto:alpine.space@salzburg.gv.at>) within 14 working days in the country of the lead applicant after it has been officially informed by the MA/JS on the results of the project selection process. The deadline for submission is interrupted by the written request of the LP (e-mail is sufficient) for further information to JS until the day of the reply by JS; the MA shall be in copy in all communications between LP and JS.

The MA will send a confirmation of receipt of the complaint within 3 working days and inform the PC.

The complaint must include the following information:

- the name, address and contact details of the lead applicant,
- the reference number assigned by the programme to the expression of interest or project application and the project acronym,
- a clear indication of the reasons for the complaint and arguments to support the complaint,
- the signature of the legal representative of the lead applicant,



A complaint will be rejected without further examination if submitted after the deadline or if the formal requirements described above are not observed. If the complaint contains incomplete information the MA may request for such further information. Information has to be provided within 5 working days. If such information is not provided within the given period the case will be closed without any further investigation.

The managing authority will examine the complaint, with support of the JS and in consultation with the chair of the programme committee as well as the PC member of the LP country. It will decide if the complaint is justified or not and inform the PC on the decision. The complaint may also be referred to the entire PC for decision making. If the complaint is deemed justified MA/JS will review the parts of project application and evaluation which are affected by the complaint and will provide the PC with an updated evaluation on which basis the PC will take a new decision. The MA will take care that this review process runs as quickly as possible and provide the lead applicant with written information on the result of its complaint. The decision will be final, binding to all parties and is not subject to any further complaint procedure within the programme.

Complaints concerning project implementation

The lead partner, on behalf of the project partnership, may raise complaints against decisions of the programme during project implementation that are based on the subsidy contract concluded between the managing authority and the lead partner.

The MA will examine the complaint with support of the JS on basis of the information brought forward by the LP via e-mail to the managing authority (<mailto:alpine.space@salzburg.gv.at>) If the issue cannot be solved between MA and LP, the LP can address the competent court in Salzburg considering the rules as laid down in the subsidy contract and relevant provisions of the applicable Austrian law (see article 14 paragraph (6) and (7) of the subsidy contract).

Complaints related to financial controls

Complaints related to a decision of control and audit bodies (see factsheet financial control system) have to be submitted by the affected project participant to the responsible body and according to the applicable procedures set up at national and EU-level.



Reference Documents

- Cooperation programme “Alpine Space”, section 5.3.
- Factsheet 2.3. project selection: procedure and criteria
- Factsheet 3.2. subsidy contract
- Factsheet 4.1. financial control system



FactSheet

No. 4.1

First level control manual



Table of content

1.	Introduction	4
2.	General structure of Interreg Alpine Space.....	5
3.	Definition of first level control	5
4.	First level control systems	6
5.	First level control coordination	6
6.	Authorisation of first level controllers	7
7.	Pre-selection of first level control bodies	8
	7.1. Austria.....	8
	7.2. France.....	9
	7.3. Germany.....	10
	7.4. Italy.....	10
	7.5. Slovenia.....	12
8.	Requirements for first level controllers.....	12
	8.1. Common requirements	12
	8.2. Specific requirements.....	13
	8.2.1. Austria	13
	8.2.2. France	14
	8.2.3. Germany	15
	8.2.4. Italy.....	15
	8.2.5. Slovenia.....	17
9.	Eligibility rules	18
10.	First level control procedure	19
11.	Retention period	21
12.	Reporting of irregularities.....	22
13.	Quality Management.....	24
	13.1. Quality Management by First Level Control Coordinators	24
	13.2. Quality Management by the managing authority.....	26
14.	Legal framework	27
15.	Contacts	28
	15.1. First Level Control Coordinating Bodies	28
	15.1.1. Austria	28
	15.1.2. France	28
	15.1.3. Germany	29
	15.1.4. Italy.....	29
	15.1.5. Slovenia.....	29



16. Abbreviations	30
17. Annexes.....	31
17.1. France – FLC Terms of Reference	31
17.2. France – Template package.....	31
17.2.1. Template for technical annex of the supply.....	31
17.2.2. Template for financial annex of the supply	31
17.2.3. Template for supplies grid analysis	31
17.3. Germany – FLC handbook.....	31
17.4. Slovenia – Organisational Chart	31



1. Introduction

Aiming at a proper use of public funds financial control is an important but also complex part of the implementation of ERDF co-financed projects. In transnational programmes the complexity is further increased by the necessary interplay of rules and procedures on national and programme level.

With the aim to ensure that only eligible project and programme expenses are co-financed by EU-funds, several layers of financial controls are foreseen in Interreg programmes.

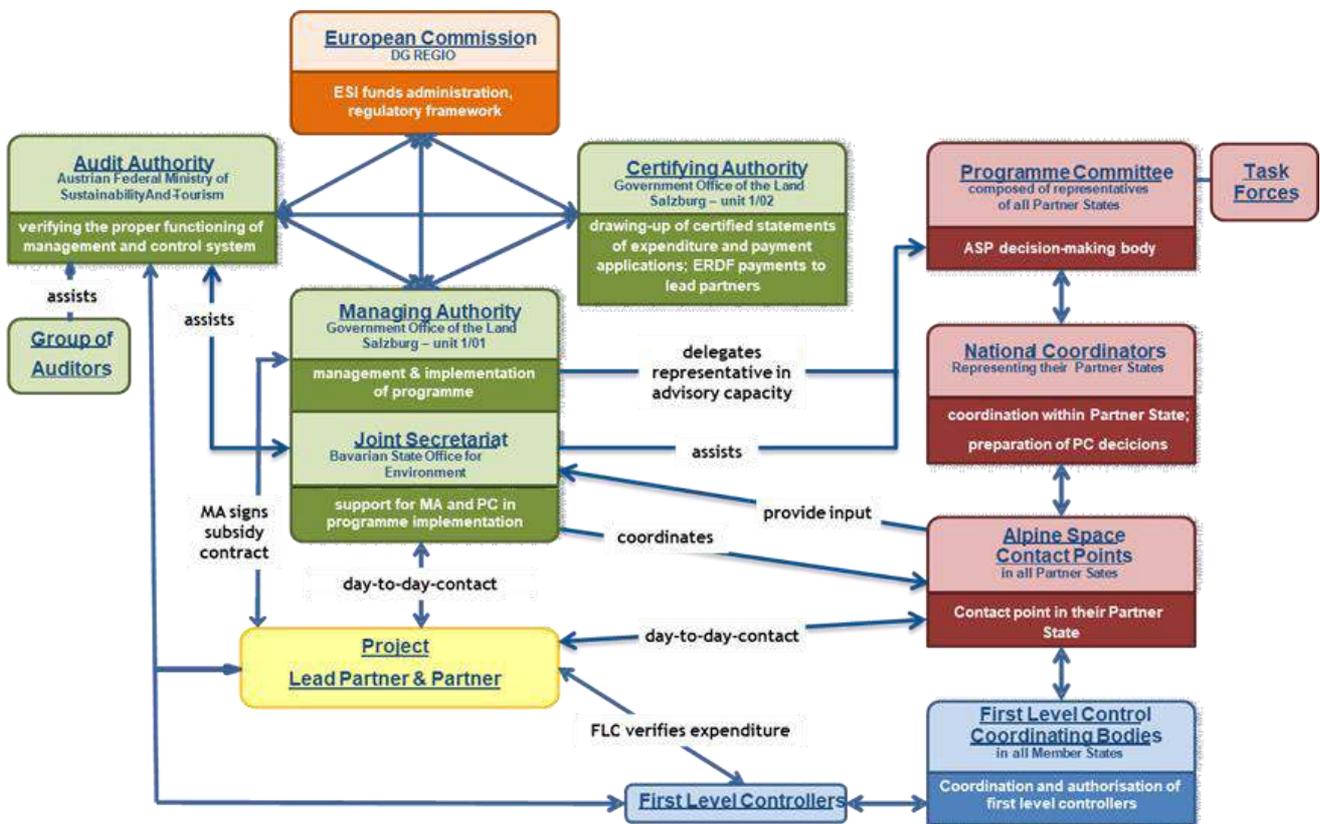
At the first level all programme and project expenses are controlled and the ones eligible for co-financing are certified, this is the so-called first level control (FLC). On a second level the programme's management and control system as well as projects (these on a sample basis) are audited. This is the so-called second level control. In the Alpine Space programme this task will be performed by a contracted company under supervision of the group of auditors. In addition, the European Commission can perform audits of the programme to verify the functioning of the system. This is the so-called third level control.

As regards the first level control (FLC) the present FLC Manual has been elaborated. It shall combine all relevant information on general programme and specific national requirements as regards the FLC in one single document. As the FLC Manual addresses first level controllers, first level control coordinators as well as project partners it guarantees that all relevant stakeholders have the same basis of information.



2. General structure of Interreg Alpine Space

The graph on the next page shows the general system structure including all bodies relevant for the implementation of the Interreg Alpine Space programme.



The present document deals with first level control issues (i.e. the blue boxes of the chart) and thus a rather little but quite important part of the overall programme management system.

3. Definition of first level control

All expenses declared by a project participant have to be checked by the responsible first level control (FLC) bodies. These have to verify that the delivery of the project products (outputs and deliverables) is in line with related expenses, the soundness of the expenditure declared and the compliance of these expenditure with Community, programme (especially the eligibility rules – see factsheet 1.4) and national rules. These verifications are the so-called first level controls.



The result of the first level controls is documented in the FLC certificate. This document indicates the certified eligible amount and is issued by the FLC body. Only on the basis of FLC certificates and project reports, ERDF payments can be initialised to the projects.

4. First level control systems

In accordance with the regulations EU Member States participating in the programme have to set up national control systems, including FLC systems in order to fulfil the first level controls.

There are two ways to organise the national FLC systems.

In **decentralised systems** a number of FLC bodies are available for the controls. Aiming at proper and harmonised implementation of the first level controls the FLC bodies are coordinated by the national first level control coordinating body (FLCC body). As unambiguous assignments of FLC bodies to project participants are required, FLC bodies have to be officially authorised for each project participant separately by the FLCC body.

Centralised systems foresee only one FLC body on national level responsible for implementing the verifications for all project participants of the respective Member State.

Austria, France, Germany and Italy have decided to build up a decentralised first level control system whereas Slovenia has set up a centralised system.

5. First level control coordination

As already mentioned above FLCC bodies set up on national level shall contribute to the important target of duly, harmonised and standardised implementation of first level controls for all expenses declared by project participants and independent from the project participant's location. Considering the high relevance and responsibility connected with this task the following duties were defined for FLCC bodies:

- coordination of set up and maintenance of the description of the national control system ¹
- authorisation of national FLC bodies
- coordination of the national FLC bodies

¹ In Austria the partners of the Agreement between the Federal Level and the Länder pursuant to Art.15a of the Federal Constitutional Act on the Management and Control System in Austria for the Structural Funds in the period 2014-2020 are the responsible institutions for the setting up for the system



- contact point for managing authority (MA) and joint secretariat (JS) as regards the national control system
- distribution of programme relevant information, documents and forms to FLC bodies (MA as well as JS)
- contact point in case of (eligibility) questions for FLC and programme bodies (with the support of JS and MA if needed)
- organisation of seminars for FLC bodies (on demand)
- participation in FLCC meetings organised by MA and JS
- implementation of quality checks with regard to the national first level control system

For each EU Member State one FLCC body has been nominated. The list of FLCC bodies is set out in the chapter → contacts (chapter 15). Each FLCC body shall register in the eMS with a standardized username: [FLCC_COUNTRY-NAME].

6. Authorisation of first level controllers

Each FLC body has to be officially authorised by the FLCC body before checking and certifying any project related expenses. This usually happens within five months after the approval of the project. FLC bodies not authorised will not be granted a FLC role in the eMS and will therefore not have the possibility to issue FLC certificates.

FLC bodies have to be authorised for and assigned to each single project participant in a project. Hence it is the responsibility of each project participant to take care for the identification of its FLC body in due time². Authorisations and assignments are valid for one specific project only. That means that a project participant partaking in several projects needs a new FLC authorisation each time even if the FLC body remains the same in all projects.

FLC bodies have to fulfil specific requirements laid down on national level (→ chapter 8: Requirements for first level controllers). These should be considered by project participants when pre-selecting a FLC body (→ chapter 7: Pre-selection of first level control bodies). Project participants can ask FLCC bodies in their countries for support in case they face difficulties to find an appropriate FLC body².

² Not relevant for Slovenia – check chapter 7.5



After a FLC body has agreed to take over the FLC tasks either the project participant or the FLC body has to inform the FLCC body in its Member State accordingly and to ask for authorisation².

The FLCC body will verify if the pre-selected FLC body fulfils the requirements and keep the respective documentation at its premises.

Based on this verification the authorisation can exclusively be issued via the eMS. For the purpose of authorisation only the FLCC body will be granted access to the respective section of the eMS and it will be ensured that the FLCC bodies can authorise FLC bodies for project participants located in their Member States only.

Information on the FLC body (name, contact data), the name of the person(s) in charge and the user name(s) of the respective controllers (persons allowed to upload certificates) have to be disclosed by the FLCC via the eMS. The FLCC body is responsible to insert correct and all relevant information in order to activate the authorisation of the FLC body for the respective project participant. With the authorisation the FLCC body confirms that all requirements are met and that FLC certificates of the the respective FLC body can be accepted. With this authorisation and assignment of the role of a FLC body, the latter is granted access to the relevant sections in the eMS in order to fulfil its tasks and to issue FLC certificates.

It is the task and the responsibility of the FLCC bodies to keep the authorisations in the eMS up to date and to update the information immediately in case FLC bodies, persons in charge etc. change. Therefore, FLC bodies are obliged to inform the FLCC body on such changes without delay.

7. Pre-selection of first level control bodies

The pre-selection of FLC bodies is dependent from the national control system.

7.1. Austria

According to the Agreement between the Federal Level and the Länder pursuant to Art. 15a of the Federal Constitutional Act on the Management and Control System in Austria for the Structural Funds in the period of 2014-2020 ("Article 15a B-VG") the selection of a first level control body is dependent on the criteria set out below and limited to nominated first level controllers:

- a) The control tasks are carried out by an appropriate body of the responsible federal ministry, if the beneficiary is under its authority, acts on behalf of it or is predominantly co-financed by it. The



- control tasks are carried out by an appropriate body of the responsible Land, if the beneficiary is under its authority, acts on behalf of it or is predominantly co-financed by it.
- b) If the beneficiary receives co-financing from several federal ministries or Länder, the control tasks are carried out – unless another agreement in written form was formulated by the co-financing institutions – by the federal ministry or Land which provides the highest amount of the national co-financing.
 - c) If the beneficiary who participates in the programme is a city or a municipality or under its authority, acts on behalf of it or is predominantly co-financed by a city or a municipality, the control tasks are carried out by an appropriate body of the Land on which territory the city or municipality is located.
 - d) As regards all other beneficiaries the responsibility for the control lies with the relevant/competent federal ministry. If the appropriate ministry cannot be identified, the responsibility for the control lies with the Austrian Federal Chancellery.
 - e) The bodies mentioned under a) to d) can assign qualified external controllers to carry out control tasks (the operative implementation of the control as well as issuing the certificate). For this purpose a pool of qualified external controllers was established on the basis of a public tender by the contracting parties (all federal ministries and the Länder).
 - f) The control costs have to be borne by the Austrian beneficiaries (lead partner/project partner) and can be reported as eligible cost within the project under budget line “External expertise and service costs” providing that these costs were budgeted and approved in the subsidy contract by the Managing Authority. The control costs will amount up to 7% of the total reported costs by the beneficiary plus 20% VAT. Additionally, a one-time lump sum up to EUR 2.000 (+ possible indexation) plus 20% VAT per beneficiary will be invoiced.

7.2. France

The project participant is free to appoint its FLC body, but the latter needs to be authorised according to the procedure set out in → chapter 6. Additionally please see → chapter 8 on requirements for FLC bodies.

Depending on their status, project participants must comply with the following rules when selecting their controllers:

- Private project participants: expenditure is controlled by an independent controller who must be contractually bound to the project participants before the first records of expenditures are transmitted. It is not possible to use the accounting services of the organisation, but the services of the statutory auditor may be used.



- Public project participants that belong to a public organisation are not bound to sub-contract the service, provided that the organisation possesses the corresponding skills (e.g., public accountant, a functionally and hierarchically independent service) and honours the obligation to remain functionally independent.

Note: within a single project, each project participant can call on a different controller independently from its partners.

Each controller has to provide detailed information on its skills and experience using a specific document (see 17.2.1 technical annex for the supply) which is controlled by the project participant and counterchecked by the FLCC body.

7.3. Germany

The project participant is free to appoint its FLC body, but the latter needs to be authorised according to the procedure set out in → chapter 6. Additionally please see → chapter 8 on requirements.

7.4. Italy

The project participant is free to appoint its FLC body, but the latter needs to be authorised according to the procedure in → chapter 6. Additionally please see → chapter 8 on requirements.

When selecting an **external controller** the project participant must comply with public procurement rules. The following procedure is foreseen in this case:

- The project participant collects the following documents:
 - self-declaration by the controller, in the form foreseen by the national rules, attesting honourableness, independence, professionalism and knowledge of the English language;
 - self-declaration in accordance with articles 46 and 47 of the Presidential Decree of 28 December 2000, n. 445 and subsequent amendments, vouching that the controller has been registered into the Register of Chartered Accountants and Accounting Experts, or the Register of Legal Auditors, for at least three years;
 - photocopy of the identification card;
 - clearance for the treatment of personal data.
- Submission of documents to ad hoc Committee

Attached to a transmission letter and an informative report the project participant sends the full set of documents listed above to the Italian FLCC (=programme's representative within the ad hoc Committee).



c) Verification of documents and authorisation of the FLC

The FLCC body verifies the documentation's completeness, fills a check list with the result of the verification, sends the full set of documents with an official note to the other members of ad hoc Committee.

After an exhaustive verification, each member assents or denies to the President of the ad hoc Committee the proposed controller within at most ten working days, even by email. In case of no communication for assent or rejection by the member(s) after ten days, the acceptance of the controller is assumed as granted.

Having verified the members' responses, the president of the ad hoc Committee authorises the FLCC with an official note to subscribe the deed of confirmation of the controllers. This confirmation of the controller is then delivered to the project participant. Information on the authorised FLC body will be inserted into the eMS by the FLCC.

Only the public administration, as provided for in the art. 1.2 of Legislative Decree 165/2001 may have recourse to an **internal controller**. In this case the following procedure is foreseen:

- a) The project participant identifies the unit responsible for carrying out the first level control having regard to the independence from the unit responsible for project implementation and the unit in charge of making payments related the project implementation.
- b) The project participant sends to the programme's representative within the ad hoc Committee the following documents:
 - a. transmission letter, officially signed and registered;
 - b. informative report;
 - c. a declaration stating that the identified unit is independent, certified with an administrative deed and/or an organization chart, and has knowledge of English language.
- c) The FLCC-body verifies the documentation's completeness, fills a check list with the result of the verification and sends the full set of documents with an official note to the other members of ad hoc Committee.

After an exhaustive verification, each member assents or denies to the President of the ad hoc Committee the proposed controller within at most ten working days, even by email. In case of no communication for assent or rejection by the member(s) after ten days, the acceptance of the controller is assumed as granted.

Having verified the members' responses, the president of the ad hoc Committee authorises the FLCC with an official note to subscribe the deed of confirmation of the controllers. This confirmation



of the controller is then delivered to the project partner. Information on the authorised FLC body will be inserted into the eMS by the FLCC body.

7.5. Slovenia

As Slovenia follows a centralised FLC system there is only one FLC body available to take over the FLC tasks for project participants in the Alpine Space programme. Thus, the requirement of pre-selecting its FLC body is not relevant for Slovene project participants.

Nonetheless the authorisation procedure as mentioned in → chapter 6 is applicable for Slovene project participants correspondingly.

According to the Article 74 of Regulation (EU) No 1303/2013 of the European Parliament and of the Council of 17 December 2013 responsible body for setting up the first level control system is the Government Office for Development and European Cohesion Policy.

Within the GODC the Control Division – ETC, IPA and IMF Programmes is appointed to carry out the first level controls in accordance with Article 23 Regulation (EC) No 1299/2013 for all Slovenian project participants.

8. Requirements for first level controllers

On programme level some general common requirements for first level controllers have been defined. Additional specific requirements are set on national level and specified in → chapter 7.

8.1. Common requirements

The programme language in the Interreg Alpine Space programme is English and all programme documents are written in English. Therefore it is essential that first level controllers are at least able to understand English documents, especially the programme's eligibility rules and fact sheets as well as project relevant documents like the approved application form, the subsidy contract or the partnership agreement. First level controllers have to register and work operatively in the eMS. It is strongly suggested to use a standardized username format [FLC_COUNTRY-NAME-ABBREVIATION_CONTROLLER-LAST-NAME], for example [FLC_DE_Mueller].



First level controllers must be aware of relevant EU and national regulations, among them in particular EU and national public procurement law.

First level controllers shall participate in FLC seminars organised by the FLCC body of their Member State in order to get sound knowledge of programme related as well as national rules and procedures.

8.2. Specific requirements

8.2.1. Austria

For controllers within the public administration in Austria the following specific requirements are necessary:

- Long standing experiences in controlling of public expenditures
- Knowledge of EU regulatory framework for Structural Funds
- Good understanding of English language
- Proven independence from the units that are implementing the project activities and are involved in the project management (included the financial management)
- Relevant references and confirmation that requirements are known

Moreover, the instructions for the public administration require personal and functional independency of the internal controllers from the project participant. These instructions have to be accepted in written form for each project assigned.

Qualified external controllers which were assigned by public administrations (private companies) have to fulfil the following requirements:

- Formal qualification (such as university degree)
- Work experiences in the field of financial control and audit (in particular certification of public expenditures)
- Registration in professional organisations
- Knowledge of EU regulatory framework for Structural Funds
- Good understanding of English language

The qualifications, supporting documents and references will be checked during the selection procedure (public tender). Before an external controller is assigned to a project, it will be asked to confirm the independency from the controlled beneficiary in written form.



8.2.2. France

France has provided detailed information in specific documents (see → 17.1 FLC Terms of Reference → 17.2 template package for those ones who want externalise the first level control). This package includes templates for:

- technical annex of the supply,
- financial annex of the supply,
- supplies grid analysis

In the following a summary of these documents is depicted.

The project participant must select a controller in compliance with strict requirements specified in the FLC Terms of Reference provided by France. They have to send compulsory documents to the FLCC body (see details in the annex of the FLC Terms of Reference). The authorisation of the proposed FLC body will be done by a committee - which is composed of the FLCC body, the national coordinator, the national contact point and the French representative to the group of auditors - following a clear procedure (see → 17.1 FLC Terms of Reference).

According to the FLC Terms of Reference, the requirements as regards the qualification of the person acting as FLC body concern the skills and qualifications. That means that the first level controller must hold a degree in accounting, finance or other relevant fields and must have adequate experience in the control of European projects; good knowledge and understanding of national and European financial circuits, national and European accountancy regulations, public contracts, publicity and state aid and good knowledge of English.

The qualification of the person acting as FLC body is checked before authorisation by the committee on the basis of the technical supply sent by the FLC (see → 17.2.1 technical annex for the supply).

Additionally, independence of the FLC body from the project participant must be guaranteed. In this context the committee counterchecks before the authorisation by checking each FLC application package as well as the organisation chart when the controller belongs to the same organisation.

- If control is externalised, the independence is ensured by the fact that the controller is either a sworn accountant or an auditor.
- If the control is internal, the independency is ensured by checking the independence of the structure



The committee also checks if the financial supply is reasonable and fits with the market price (see 17.2.2 financial annex).

8.2.3. Germany

The first level controller must hold a degree in accounting, finance or other relevant fields. In case the FLC body is a private body, it has to be a certified public accountant or equivalent to the national regulations for accountants (WPO); this will be checked by the FLCC body in the course of the authorisation procedure.

Furthermore the FLCC body will check if the controller is external and independent from the controlled partner. If the FLC body is a public body, it has to be independent (in both terms, organisationally and operationally) from the units implementing the project and handling of financial projects (administrative officer or similar according to national regulations).

Hence, the FLCC body will verify if the declarations of the project participant and the FLC body are coherent with the organisational chart of the respective organisation. If needed, additional information will be requested.

Both (private and public bodies in their function of FLC bodies) have to assure in written form that they are adopting the obligations of the respective regulations (national and EU-related).

A FLC-handbook (see → [17.3 FLC-handbook](#)) is available for all German FLC bodies. The FLC-handbook considers the audit trail required and put in place by programme authorities and comprises all necessary information and describes all relevant organisational procedures and documentation requirements for FLC bodies.

8.2.4. Italy

For Italian first level controllers there are specific requirements related to professionalism, independence and honourableness. A distinction is drawn between external (e.g. private company) and internal controllers (e.g. unit of a public administration different from the unit partaking in a project) as follows:

8.2.4.1. External controllers

Professionalism: The controller in charge must:



- a) be registered for at least three years in the Register of Chartered Accountants and Accounting Experts or in alternative in Register of Legal Auditors, established under Art. 2, paragraph 3, letter a) of the Legislative Decree 27 January 2010, n. 39.
- b) not have been removed for serious failures, in the last three years, from a certified public accountant/statutory auditor position, in public or private companies and bodies.

Independence: The controller in charge should not be in one of the following positions towards the contracting project participant:

- a) individual or relative's participation, by now or referred to the last three years, to the management or control board and to director general's office: 1) of the contracting project participant (company or its holding) 2) of the companies who possess, directly or indirectly, in the contracting beneficiary company or in its holding more of 20% of the voting rights;
- b) existence, by now or referred to the last three years, of other business relations or engagements to establish such business relations with the contracting beneficiary/company or with its holding;
- c) any other situation, different from those under a) and b) compromising or, however, affecting the controller's independence;
- d) the controller in charge cannot simultaneously assume the task of controller of the contracting beneficiary company or of its holding;
- e) be a relative of the contracting beneficiary;
- f) have business relations resulting from the belonging to the same established professional structure, however called, in which the activity control is carried out, for any reason, even for autonomous collaboration and employee job, or to any other economic nature activity establishing business interest or sharing of business interests.

The controller in charge, at the end of the task, cannot become a member of the administration bodies, control and directorate general of the contracting project participant before a period of three years passed.

Honourableness: The task of national controller cannot be assigned to someone who:

- a) has been subjected to measures of prevention ordered by the judicial authority as provided by art. 6 and art. 67 of the Legislative Decree no. 159/2011 and subsequent amendments except for the effects of rehabilitation;
- b) is in state of legal or temporary disqualification from holding directorate offices of legal persons or firms from holding public office in perpetual or for a period longer than three years, except after rehabilitation.
- c) has been sentenced by a judgment against which no appeal is possible, except after rehabilitation, or with irrevocable sentence of penalty determination under article 444, subparagraph 2, of the code of criminal procedure, except after rehabilitation:



- to imprisonment sentence for one of the crimes provided for by law concerning insurance, banking, financial activities, as well as provided for, by law concerning payment instruments;
 - to imprisonment for a period not less than one year for a crime against public administration, against justice administration, against public faith, against property, against public safety, against public economy, against industrial and commercial sectors or for a crime in national fiscal legislation issues;
- d) has been declared bankrupt, except expiry of terms and effects of the bankruptcy, according to the Royal Decree 16th of March 1942, n. 267, or if they were appointed president or administrator, deputy administrator, managing director, statutory auditor of companies or bodies that were subject of bankruptcy proceedings, creditors arrangement or assets liquidation, for at least three financial years prior to the adoption of the relative restrictive measures, provided that the restrictive measures have to last five years since the adoption of the measures themselves.

8.2.4.2. Internal controllers

Professionalism and Honourableness: These two requirements are fully satisfied by the membership to the unit which is in charge of carrying out the control activities.

Independence: The independence is certified with an administrative act and an organisation chart by which it is possible to gather the functional independence of the controller.

8.2.5. Slovenia

The national controllers in Slovenia are civil servants working in and officially assigned by the GODC (contact data see → chapter 15.1.5) to perform the first level controls.

The Control Division – ETC, IPA and IMF programmes has 27 employees (the situation as it is on 01.04.2016). All employees perform national controls on Cross-border European Cooperation Programmes, Transnational European Territorial, Interregional Cooperation programmes and NOR&EEA grants (see → annex 17.4 organisational chart for the Government Office for Development and European Cohesion Policy http://www.svrk.gov.si/fileadmin/svrk.gov.si/pageuploads/Organigram/organigram_SVRK_160303-ang.pdf).

National controllers are financially and organisationally independent from project participants. As civil servant, they are liable to declare a conflict of interest in case they are connected with a project to be verified and are to be replaced by an unbiased controller. They have to respect the Public Sector Integrity Act (OG RS, No. 45/10).



The national controller must hold a degree in accounting, finance or relevant fields and must have working experience of minimum seven months either in accounting, finance or relevant fields. The national controllers must comply with international auditing standards. Experience with EU programmes, especially the ETC/Interreg ones, and in auditing/controlling of European projects, again especially the ETC/Interreg ones, is preferred.

Additionally it is required that all controllers can speak English and are using all relevant programme documents and templates. National controllers (names see → chapter 14.1.5) have to be familiar with the EU and national regulations on Structural Funds and participate at transnational, interregional and cross border Working Group meetings organised by the: Central Europe, Alpine Space, Danube, Adrian, Mediterranean, SI-AT, SI-HU, SI-HR, SI-ITA, EUROPE and NOR&EEA Grants.

The training of the controllers is ensured systematically through dedicated training courses and other events organised by the GODC, especially when some novelties occur. These trainings are carried out by responsible national bodies (e.g. Ministry of Finance) or by external experts. The topics include: public procurement, eligibility of expenditure, accounting rules, state aid, staff costs calculations.

Reporting Framework:

All the employees are 100% employed for FLC verifications and have to cooperate also with the upbringing of FLC system. All documents which are prepared by a national controller are also co-signed by the head of division. Keeping the superior informed on the individual controller's work as well as the whole control unit is ensured through regular weekly meetings (board meetings) and weekly written reports. Regular weekly meetings (board meetings) are intended to open discussions on current issues and specific cases (situations) which arise through work of controllers. Each controller is supposed to regularly inform the superior on a weekly basis to be able to direct, coordinate and control controller's work. Reports are saved on a common virtual place and are available to the superior as well as other controllers. Such manner ensures that all work is traceable enabling control and continuity of individual controller's work and control unit as whole.

9. Eligibility rules

The Alpine Space programme has defined eligibility rules valid for all project participants (meaning lead partner and its project partners) coming from the EU Member States of the cooperation area (see → factsheet 1.4.). These eligibility rules do not apply to expenditure of project participants from Switzerland and Liechtenstein as they are not eligible for European Regional Development Fund (ERDF) co-financing.



The programme's eligibility rules specify and complement the eligibility rules laid down by the respective EU Regulations and Delegated Acts.

Project participants are strongly recommended to seek advice at the respective FLC body, the ACP or the JS if there is any issue related to the eligibility of expenditure that is not answered by the eligibility rules.

According to article 18 of Regulation (EU) No 1299/2013 eligibility rules on national level are only applicable for matters not covered by eligibility rules on EU or programme level. Nonetheless, applicable national law remains unaffected in case it is stricter than the EU or ASP eligibility rules.

Slovenia has drawn up national eligibility rules for matters not covered on a higher level applicable for Alpine Space project participants located in their country. The Slovene eligibility rules are available under the following link:

(<http://eu-skladi.si/sl/evropsko-teritorialno-sodelovanje/transnacionalno-sodelovanje-1/informacije-in-navodila-prvostopenjske-kontrole>)

10. First level control procedure

In order to receive ERDF-funds the total expenditure of the single project participant has to be validated in the eMS. For the purpose of these administrative checks according to article 125(5a) of CPR the project participant will provide the designated FLC body with all the documents necessary in due time. Thus, project participants have to submit to the FLC body a project report (status or progress report) related to their project activities consisting of an activity part and a financial part. For this, the Programme has provided for the following forms which shall be used:

- listing of expenditure (embedded in eMS)
- partner report (embedded in eMS)

For staff costs calculated on a real costs basis:

- six-monthly tasks report for the documentation of activities and outputs achieved for each employee
- project assignment

To meet the requirements of a proper and standardised check of expenditure each FLC body has to apply the first level control report and checklist provided by the MA in the eMS. After carrying out the full check of



documents the FLC body will issue the standardised and obligatory FLC certificate. In this electronic document it confirms – based on the performed verifications – that it has gained a sufficient level of assurance that:

- a. expenditure is in line with European, programme and national eligibility rules and complies with conditions for support of the project and payment as outlined in the subsidy contract;
- b. expenditure was actually paid with the exception of costs related to depreciations, lump sums and flat rates;
- c. expenditure has incurred and been paid (with the exceptions above under “b”) within the eligible time period of the project (with the exceptions for the last regular report according to factsheet No. 1.4 “What can be co-financed”) and was not previously reported;
- d. expenditure based on lump-sums and flat rates (if any) is correctly calculated and the calculation method used is appropriate;
- e. expenditure reimbursed on the basis of eligible costs actually incurred is either properly recorded in a separate accounting system or has an adequate accounting code allocated. The necessary audit trail exists and all was available for inspection;
- f. expenditure in currency other than Euro was converted using the correct exchange rate;
- g. relevant EU/ national/ institutional and programme public procurement rules were observed;
- h. EU and programme publicity rules were observed;
- i. co-financed products, services and works were actually delivered;
- j. expenditure is related to activities in line with the application form and the subsidy contract;

FLCB will regularly perform on-the-spot checks at least once during the project implementation phase³. These on-the-spot checks shall be comprehensive and shall include the following verifications:

- the PP maintains a separate accounting system or adequate accounting code for the project,
- documents are correctly archived,
- existence of equipment purchased, deliveries, outputs,
- compliance with communication and publicity rules (e.g. project poster is displayed at the project participant’s premises), etc.

The on-the-spot checks should be performed at the premises of the project partner and – if not identical – additionally at the place of the physical project output. The on-the-spot checks shall be undertaken when the operation is well under way, both in terms of physical and financial progress, in order to guarantee that corrective actions can be effected in due time when problems are identified. The implementation of the on-

³ In case of centralised systems or projects approved at the beginning of the programme implementation period deviating rules may be agreed.



the-spot checks has to be documented in the first level control report. In case of severe problems identified e.g. in the course of the administrative verifications or audits or essential investments realized in later stages of the project implementation the FLC body shall perform additional on-the-spot verifications.

The FLC certificate, FLC report and checklist to be used in the Alpine Space Programme are online-documents which are filled in directly in the eMS. For this purpose the FLC bodies will be granted restricted access to the eMS in order to complete the FLC documents for those projects and project partners for which the FLC body has been designated. Thus, it is ensured that only official programme FLC forms are used.

FLC bodies have to verify the compliance of the projects with the general principles and compliance with Union policies. For this purpose the control report and check list contain questions related to compliance with public procurement rules and with other EU rules such as:

- the horizontal objective of the promotion of the equality
- the horizontal objective of the protection of the environment and
- Community rules on state aid

Moreover, by signing the FLC certificate the FLC body confirms that it has not found any evidence of:

- infringements of rules concerning sustainable development, equal opportunities and non-discrimination, equality between men and women and state aid
- double-financing of expenditure through other financial source(s)
- generation of undisclosed project-related revenue
- fraud or corruption

11. Retention period

Projects (and managing authority, joint secretariat and Member States as regards the technical assistance) are obliged to retain for audit purposes all files, documents and data about the project for a period of three years from 31 December following the submission of the payment claim by the certifying authority to the European Commission including the expenditure of the completed project. For this purpose the managing authority will inform each project individually on the applicable retention period after which keeping of documents is no longer required for the project.

Other possibly longer statutory retention periods as might be stated by national law remain unaffected by this regulation.

Generally the archiving of the documents can be summarised as follows:



- original invoices, accounting documents and supporting documents (e.g. contracts with providers of services or goods, communication material, partnership agreements, employment contracts and assignments to the projects, etc.) at the respective beneficiary (project participants for funding priorities 1-4 of the programme, member states and MA for technical assistance budget);
- status and progress reports, listing of invoices, FLC check lists, FLC reports and FLC certificates will be stored in the eMS;
- it is recommended that FLC bodies keep copies of relevant checked documents;
- accounting documents (e.g. registering the incoming and outgoing ERDF funds) as well as the original subsidy contract and partnership agreement at the lead partner and a copy of the subsidy contract and original partnership agreement at the project partner level
- payment requests of the MA, accounting documents, supporting documents for the payment request, payment orders, applications for payment, payment forecasts at the certifying authority.

The documents can be kept either as originals or in versions to be in conformity with the original on commonly accepted data carriers. In case of retaining the documents electronically, internationally accepted security standards must be met.

Please note: as regulated in the subsidy contract (see article 11) the managing authority, joint secretariat, audit authority, group of auditors, national courts of auditors, the European Commission and the European court of auditors are entitled to examine the project, all relevant documentation and accounts of the project even after its closure.

12. Reporting of irregularities

It is the responsibility of all bodies involved in programme and project implementation, in particular also those on national level and beneficiaries, to prevent from, to detect and to correct irregularities and fraud.

- An “irregularity” means “any infringement of a provision of Community law resulting from an act or omission by an economic operator, which has, or would have, the effect of prejudicing the general budget of the Communities or budgets managed by them, either by reducing or losing revenue accruing from own resources collected directly on behalf of the Communities, or by an unjustified item of expenditure.”
- Fraud can be defined as “the use or presentation of false, incorrect or incomplete statements or documents, which has as its effect the misappropriation or wrongful retention of funds from the



general budget of the European Communities or budgets managed by, or on behalf of the European Communities, non-disclosure of information in violation of a specific obligation, with the same effect and the misapplication of such funds for purposes other than those for which they were originally granted.”

Whoever detects irregularities or suspected or established fraud is responsible that these are immediately reported to MA/JS. The MA in consultation with the JS will check the finding and decide whether the irregular amount should be withdrawn or recovered. Withdrawals will be deducted from the next application for interim payment.

In the eMS the description of the finding and the necessary financial corrections (if applicable on invoice level) will be entered into the financial corrections section. In cases where a body different to the FLC concerned enters financial corrections into the eMS a FLC report (e.g. in the form of a writing or email) confirming the necessary corrections (amount, brief description and classification of the financial finding in accordance with the “Guidance for Member States on Drawing the Management Declaration and Annual Summary” is attached to the eMS financial correction module. The CA has to countercheck the finding and the financial corrections and to confirm respectively close them in the eMS. Then the CA will take up the corrections in a CA certificate (eMS) as well as in the debtor’s ledger. On project level will either be set off with the next payment to the project (for the next status or progress report) or – if this is not possible – the lead partner will be asked to reimburse the respective amount to the account of the CA.

In case of irregularities detected after the project closure irregular amounts not higher than € 250 ERDF (calculated on project level) will not be recovered - neither by the LP nor by the MA - in accordance with article 122 (2) CPR.

According to article 3 (1) of CDR (EU) 2015/1970 any irregularity detected that exceeds € 10.000 in contribution from the funds which has been the subject of a primary administrative or judicial finding will be notified by the Member State hosting the beneficiary concerned to OLAF and it will be kept informed of significant progress in related administrative and legal proceedings. The initial report must contain the information as listed in article 3 (2) of the afore-mentioned regulation and must be submitted to the EC. In each Member State national procedures have been defined for the notification of irregularities to OLAF (for details countercheck with national FLCC or ACP).

For all irregularities below € 10.000 in contribution from the funds (regardless which Member State is concerned) the MA will issue an irregularity report and send it to the AA where the reports are collected and archived



In this context it has to be considered that suspected or established fraud has to be reported in any case. Furthermore, irregularities have to be reported - regardless the amount affected. Only in the following cases irregularities do not have to be reported:

- cases where the irregularity consists solely of the failure to execute, in whole or in part, a project included in the co-financed programme owing to the bankruptcy of the beneficiary;
- cases brought to the attention of the managing authority or certifying authority by the beneficiary voluntarily and before detection by either authority, whether before or after the payment of the public contribution
- cases which are detected and corrected by the managing authority or certifying authority before inclusion of the expenditure concerned in a statement of expenditure submitted to the Commission. As a rule it can be said that:
 - Audits on the second level (performed by or on behalf of the audit authority) or on the third level (European Commission, court of auditors) are usually based on expenditure already included in a statement of expenditure submitted to the Commission. Therefore any irregularity having financial impact requires to be reported. The same usually applies for MA sample checks.
 - In case the joint secretariat, managing authority or certifying authority reject a project report or single FLC certificates included in the project report due to irregularities detected the latter ones need not to be reported.
 - In all other cases and in cases where it is unclear if the concerned expenditure was already included in a statement of expenditure FLC bodies shall get in contact with the managing authority to clarify whether the irregularity has to be reported.

13. Quality Management

13.1. Quality Management by First Level Control Coordinators

Quality management by FLCC bodies starts already in the framework of the authorisation of FLC bodies as the programme and the Member States have defined clear minimum requirements to be fulfilled by controllers willing to take over FLC tasks. Through the rejection of FLC bodies not fulfilling the minimum requirements a certain level of FLC quality can be ensured.



In order to guarantee high quality FLC systems quality management must not end with the authorisation. It is of high importance to train and to instruct FLC bodies on the applicable rules and procedures:

- For FLC bodies authorised for the first time for an Alpine Space project, trainings will be offered by the FLCC body in due time (after the approval of the projects of the respective call for proposals) so that FLC bodies are able to attend such seminars before issuing the first FLC certificates. The trainings shall inform the FLC bodies especially on the programme's eligibility rules and on the certification procedure and forms to be used. As FLC bodies have to use the eMS for the certification process information on the application of eMS will be provided by the JS
- Although the trainings are dedicated to FLC bodies authorised the first time, FLCC bodies are recommended to invite all FLC bodies authorised for projects/project participants of the respective call
- Aiming at standardised and harmonised implementation of the FLC FLCC bodies will distribute programme relevant information, documents and forms to FLC bodies and be contact point in case of questions for FLC bodies (e.g. on eligibility issues)
- In order to avoid repetition of errors the information letter provided by the managing authority on findings and deficiencies detected in audits and controls carried out in the last year will be forwarded to all authorised FLC bodies. FLCC bodies might complement this letter with national information

Beside the above-mentioned efforts quality checks will be performed by FLCC bodies (notwithstanding the final responsibility of the FLC bodies).

The target of FLCC quality checks is to determine if the control systems set up in the Member States effectively function. Thus in particular it should be verified that the expenditure certified by FLC bodies actually complies with Community, programme (especially the eligibility rules defined – see factsheet 1.4) and national rules and that the documentation requirements are met.

For this purpose FLCC bodies are recommended to consider the following aspects when performing quality checks:

- compliance of certified costs with eligibility rules and application form (especially as regards equipment expenditure)
- correct allocation of costs to cost categories
- correctness of calculation of staff costs and availability of necessary documents (e.g. employment contract, project assignment etc.) depending from the staff costs calculation method chosen by the project participant
- check of the plausibility and proper documentation of public procurement procedures



- confirmation of performed necessary on-the-spot-checks on investments.

FLCC bodies can decide to either assess 100% of FLC bodies in their Member State or to perform checks on a sample basis. In the latter case it has to be documented how the sample was drawn.

The results of the FLCC quality checks shall be summarised in a report containing the following information:

- implementation date of quality check,
- FLC certificates selected for quality checks,
- description of checks performed,
- description of findings,
- documentation of check if there is any follow-up pending/needed especially for findings with financial impact,

As first level control is a national responsibility also quality management measures might vary from Member State to Member State.

13.2. Quality Management by the managing authority

A "Project implementation handbook" has been set up to provide the (potential) project participants with all the information needed to develop, implement and close a project within the Alpine Space programme. This handbook is a handy tool designed as a collection of factsheets with concise information and guidance on the different aspects to be observed during each phase of the project life cycle.

The MA will perform verifications on the effectiveness of the FLCB on a sample basis before payment claims are made⁴. When selecting the sample on project level, the following selection criteria will be taken into consideration:

- priority of the project
- amount of certified expenses reported on project level
- amount of certified expenses by the FLCB concerned
- LP and PP nationality (optional)

⁴ TA reports might be selected also after inclusion in a payment claim.



MA sample checks will be performed in parallel to JS report checks. Although the JS will proceed with its report checks and even close the reports the MA will not further process project reports selected for MA sample check. That way it is guaranteed that project reports being subject to non-completed MA sample checks are not considered in applications for interim payment as for this purpose project reports must be closed by MA and CA.

Selected projects will be informed on the selection by the MA via email and asked to submit documents to be checked in case they are not available in the eMS. The MA sample checks will be administrative ones and the following ETC specific weaknesses shall be addressed:

- a) audit trail: check of availability and proper completion of FLC certificate, checklist and report,
- b) staff costs: availability and proper completion of project assignment and six monthly task report, documentation of staff cost (e.g. payslips) and if necessary staff cost calculation (e.g. EXCEL file) and compliance with programme rules (e.g. proof of at least one employee in case of flat rate),
- c) public procurement procedures: check of procurement procedures above the EU threshold (EU-wide tender notice, note for file, offers and contract,
- d) revenue generated by operations: request for confirmation on revenues (in case revenues were confirmed by the FLC: documentation/proof/calculation of revenues),
- e) verification checklists: check of availability and proper completion of FLC checklist and report.

In addition the FLC results shall be retraced on general plausibility, and it shall be counterchecked that costs are correctly allocated to budget lines and that programme forms are correctly used.

The check itself will be documented in the MA sample check report. Before finalising the sample check project partners will be given the possibility of commenting the findings or providing further documentation.

The MA will inform the lead partner of the project about the result of the sample check and the necessary correction measures and puts the CA, JS and relevant ACP in copy.

14. Legal framework

Common provisions regulation (CPR): Regulation (EU) No 1303/2013 of the European Parliament and of the Council of 17 December 2013 laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development



and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund and repealing Council Regulation (EC) No 1083/2006

ERDF Regulation: Regulation (EU) No 1301/2013 of the European Parliament and of the Council of 17 December 2013 on the European Regional Development Fund and on specific provisions concerning the Investment for growth and jobs goal and repealing Regulation (EC) No 1080/2006

ETC Regulation: Regulation (EU) No 1299/2013 of the European Parliament and of the Council of 17 December 2013 on specific provisions for the support from the European Regional Development Fund to the European territorial cooperation goal

Delegated Acts: http://ec.europa.eu/regional_policy/en/information/legislation/delegated-acts/

Implementing Acts: http://ec.europa.eu/regional_policy/en/information/legislation/implementing-acts/

15. Contacts

15.1. First Level Control Coordinating Bodies

15.1.1. Austria

- Name of the institution: Federal Ministry for Sustainability and Tourism
- Responsible unit: Directorate VII/5 – Regional Policy and Spatial Planning
- Responsible person: Director Georg Schadt / Contact person: Luise Fasching
- Address: Ferdinandstraße 4, 1020 Wien
- Telephone: +43 1 71100 - 612915
- e-mail address: luise.fasching@bmnt.gv.at

15.1.2. France

- Name of the institution: Conseil régional Auvergne-Rhône-Alpes
- Responsible person: Jean-Louis Capuano
- Address: 1 esplanade Francois Mitterand, CS 20033 - 69269 Lyon Cedex 2
- Telephone: +33 4 26 73 50 28



- E-mail address: Jean-Louis.CAPUANO@auvergnerhonealpes.eu

15.1.3. Germany

- Name of the institution: Bavarian State Ministry of Environment and Consumer Protection
- Responsible unit: Ref. 25 (Alpine Space Networks, European Macroregional Strategies and Funding)
- Responsible person: Ernst Polleter
- Address: Rosenkavalierplatz 2, 81925 München
- Telephone: +49 89 9214 2165
- E-mail address: ernst.polleter@stmuv.bayern.de

15.1.4. Italy

- Name of the institution: AD HOC COMMITTEE
- Responsible unit: Agenzia per la Coesione Territoriale
- Responsible person: Teresa Costa
- Address: Via Sicilia 162/C - 00187, Roma
- Telephone: +39 06 96517847
- E-mail address: commissione.mista.cte@agenziacoesione.gov.it

15.1.5. Slovenia

- Name of the institution: Government Office for Development and European Cohesion Policy to be referred to as: GODC (en) or SVRK (si) (as of February 2014 – Official gazette of the RS 15/2014)
- Responsible unit: Control Division - ETC, IPA and IFM Programmes
- Responsible person: Ms. Maja Martinšek, Head of Control Division - ETC, IPA and IFM Programmes
- Address: Kotnikova 5, SI-1000 Ljubljana
- Telephone: + 386 1 400 3423
- E-mail address: maja.martinsek@gov.si

- Contact person:
- Ms. Janja Mlakar



- Telephone: +386 1 478 3490
- E-mail address: janja.mlakar@gov.si

16. Abbreviations

AA: Audit Authority

ACP: Alpine Space Contact Point

CA: Certifying Authority

CPR: Common Provisions Regulation

CV: Curriculum vitae

eMS: Electronic monitoring system. The eMS enables the monitoring of projects and programme implementation as well as electronic exchange of data between programmes and beneficiaries

ERDF: European Regional Development Fund

ETC: European Territorial Cooperation

EU: European Union

FLC: First level control

FLCC: First level control coordination

MA: Managing Authority

MS: Member State

PP: Project participant (lead partners and project partners)



17. Annexes

Annexes are available at the relevant national pages of the Interreg Alpine Space website (<http://www.alpine-space.eu/national-pages>). For Slovenia, a link is provided below.

- 17.1. France – FLC Terms of Reference
- 17.2. France – Template package
 - 17.2.1. Template for technical annex of the supply
 - 17.2.2. Template for financial annex of the supply
 - 17.2.3. Template for supplies grid analysis
- 17.3. Germany – FLC handbook
- 17.4. Slovenia – Organisational Chart of the Government Office for Development and European Cohesion Policy ([http://www.svrk.gov.si/en/about the office](http://www.svrk.gov.si/en/about_the_office))



Technical guidance online first level control system

(version 3 as of 29 August 2018)

This guidance contains key technical information on the operation and use of the electronic monitoring system of the Interreg Alpine Space programme (eMS). The whole reporting and first level control (verification) process is done via the eMS. Therefore the system is not only used for the partner's and the lead partner's reporting (check technical guidance on the reporting) but also for the first level controller's (FLC) verification and certification. This document provides necessary support to the FLC. It is highly recommended to read it carefully before starting to work with the eMS. This technical guidance on the eMS complements the [Factsheet 4.1 First Level Control Manual](#).

The present document will be completed with guidance concerning financial corrections of certified expenditure and the final report verification and updated upon necessity.



Preliminary steps

Technical information and system requirements

The eMS is a web application which can be accessed with recent versions of most common browsers (e.g. Internet Explorer 11, Firefox 43, Chrome 48)¹. The functionality of the system follows the common standards of web applications for entering and submitting data.

Access and registration

The eMS can be accessed at the following link <https://ems.alpine-space.eu>. To use the eMS, each FLC must first register by clicking on “Register” on the homepage of the eMS and provide a set of credentials.

User name*
 Password*
 Login

In the registration form, the following information needs to be filled in:

Registration

Description
 Username
 Email *
 Password *
 Password Again *
 Firstname *
 Lastname *
 Title
 Language

- **Username:** will be used to log in the system and for the assignment. Use of a standardized username *[FLC_COUNTRY ABBREVIATION_CONTROLLER LAST NAME]* is obligatory - for example FLC_IT_BUFFON.
- **Email:** the email address of the FLC.
- **Password:** used to access the eMS (in case the password is forgotten, please tick the button “Forgot Password” on the front page of the eMS).
- **First name / Last name / Title:** personal information of the FLC.
- **Language:** English is pre-defined and cannot be changed; it is the official language of the Interreg Alpine Space programme.

¹ When working with Internet Explorer, the option “display intranet sites in compatibility view” should be de-selected in the compatibility view settings of the browser (to access Internet Explorer preferences for compatibility view you can press Alt + T + B).



After registration, a confirmation is automatically sent to the email address provided in the registration form. Only then, the FLC will be able to log in to the eMS. Please consider that the FLC will only be able to proceed with the verification process if it was assigned by the relevant FLCC body (check the next chapter).

Point of attention: By registering in/logging into the eMS the FLC agrees to the terms and conditions presented on the homepage of the system.

Once registered, the username is linked with the email address provided. You can only register once with one email address, the username cannot be changed after the registration.

FLC assignment

After registering in the eMS, the FLC has to provide his/her **user name** to the FLCC body. Based on this, the FLCC can proceed to assigning the FLC to a specific project partner. The assignment to project partner(s) is a precondition for the FLC to operate in the eMS (please check *Factsheet 4.1 First level control manual* for further details).

Point of attention: More than one FLC (representing the same FLC institution/body) can be assigned to a specific project and partner. Therefore several users can work on the verification of a specific partner report. Nevertheless, only the FLC who will finalize the partner report will be mentioned in the certificate that will be issued.



FLC checks in the eMS

Selecting the partner reports

The first page displayed when accessing the eMS is the dashboard. This is a list of all the projects for which partner report(s) have been submitted to the FLC for his/her checks. To access a specific project, click on the “View Reporting” button.

Project ID	Name	Acronym	Start	End	Lead Partner	LIP Nationality	Call	Timeslot	Specific Objective	Submission Date	Project state	Applicant Or Leadpartner	View project
ASPI10	Strategic Planning for Alpine Over Development – Inspiring innovation and development	SPARE	18.12.2018	18.12.2018	University of Natural Resources and Life Sciences Vienna Institute of Hydrobiology and Aquatic Ecosystem Management	AUTONORRICH	Call 1: Priorities 1-3		SOU 2 - Enhance the protection, the conservation and the ecological connectivity of Alpine Space ecosystems	18.12.2018	Contracted	Spain	View Reporting
ASPI1	Feeling Energy Action plans and Enhancing their implementation in the Alps	FEACE-Alps	10.12.2015	10.12.2016	Piedmont Region	ITALIA	Call 1: Priorities 1-3		SOU 1 - Establish transnationally integrated low carbon policy instruments	20.01.2016	Contracted	emerge_in_alps	View Reporting
ASPI11	CESBA ALPINE SPACE – SUSTAINABLE TERRITORIES	CESBA Alps	18.12.2018	18.12.2018	PIEMONTE REGION - Directorate of Social Citizens, Territorial Housing	ITALIA	Call 1: Priorities 1-3		SOU 1 - Establish transnationally integrated low carbon policy instruments	18.12.2018	Contracted	Plan_Picost	View Reporting
ASPI12	Infrastructure Centralized Resources in the Territory of the Alpine Space	ORITA	10.12.2015	10.12.2016	Technical University Munich	DEU/ISCHLAND	Call 1: Priorities 1-3		SOU 1 - Establish transnationally integrated low carbon policy instruments	21.01.2016	Contracted	Zweiser	View Reporting
ASPI15	Continuity of Traditional Dishes in Mounts Alpine Space areas	C-TEMAp	10.12.2015	10.12.2016	Veneto Innovazione		Call 1: Priorities 1-3		SOU 1 - Improve the framework conditions for innovation in the Alpine Space	17.12.2015	Contracted	IBasso	View Reporting
ASPI20	COOPINITY Nexus Reporting Study: A Changing Society? This is the project idea submitted in the programme window. More of apps for study in Alps space	COIN.S.E.NE.SO	10.12.2015	10.12.2016	Piemonte Region		Call 1: Priorities 1-3		SOU 2 - Increase capacities for the delivery of services of general interest in a changing society	21.12.2015	Contracted	Regione Piemonte	View Reporting

Once entered the project, the FLC will gain access to the partner report(s) for that project. The FLC can have an overview on the basic information of every partner report: state and dates of submission, certification state and date, its consideration in a project report and declared amount by project partner (PP). The FLC should always check the state of the PP report. It gives information when the report has been submitted by the PP (“Report Submitted”) and informs when it is successfully certified (“Report FLC certified”)

Report	Report Start	Report End	State	Date Of Partner Report Submission	Date Of FLC Certification	Included In Project Report	Total Partner Expenditure Declared CRRP	View Report	Certificate
Period 0 16.03.2014 - 19.12.2015									
Report 0.2	18.10.2014	18.12.2015	Report FLC certified	27.08.2016	01.05.2018	Project 1 Project Report 1	€ 3.000,00	View Report	Certificate
Period 1 16.12.2015 - 30.06.2016									
Report 1.1	10.12.2015	30.06.2016	Report FLC certified	21.07.2016	06.10.2016	Project 1 Project Report 1	€ 17.555,70	View Report	Certificate
Period 2 01.07.2016 - 31.12.2016									
Report 2.1	01.07.2016	31.12.2016	Report FLC certified	18.02.2017	14.03.2017	Project 2 Project Report 1	€ 40.765,27	View Report	Certificate
Period 3 01.01.2017 - 30.06.2017									
Report 3.1	01.01.2017	30.06.2017	Report Submitted	31.07.2017	31.07.2017	Not Certified	€ 26.451,05	View Report	Certificate
Period 4 01.07.2017 - 31.12.2017									
Period 5 01.01.2018 - 30.06.2018									
Period 6 01.07.2018 - 30.12.2018									



Checking the partner report and the list of expenditures



To start with the verification, the FLC should first click on “*View Report*” button of *not certified* partner report.

This will guide the FLC to the project partner report section that is composed of four parts, as shown in the screenshot:



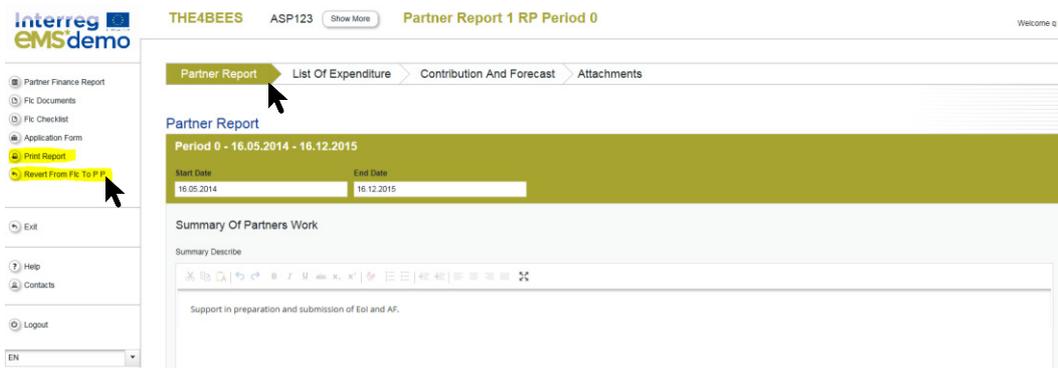
Click on each tab to access the different part.

Point of attention: The FLC is able to exit the eMS at any time and can continue with the verification process at a later moment. It is very important to save the work done so far. It is strongly suggested to use the “save” button function as often as possible in order to avoid loss of data.

STEP 1: PARTNER REPORT

The FLC is only able to read this section and check if it is filled in with the relevant information on the activities by work packages, on project outputs, on deliverables and on target groups reached.

Content cannot be corrected or commented but the FLC can reject the report and return it to the PP if the content description lacks of relevant information – especially in relation with the list of expenditures; or mistakes in the section “*Contribution and forecast*” (see page 8). FLC can do the rejection by pressing “*Revert from FLC to PP*” button on the left menu and confirming the decision.



Point of attention: Please mind that by using the function “*Revert from FLC to PP*” all work done by the FLC in the section “FLC documents” (FLC checklist, FLC report) will have to be confirmed again.



The FLC can print out the partner report section by pressing “Print report” button on the left menu. A pdf file is then created. It can be found and downloaded in the dashboard left menu under section: *Personal*→*Generated files*.

STEP 2: LIST OF EXPENDITURES

This section displays the list of expenditure (LoE) per partner report.

Report Number	Budget Line	Wp	Int Ref No	Inv No	Inv Date	Paym Date	Description1	Description2	Partner Co
CSI-Piemonte 0.2	Staff costs	P Preparation		LS1	N/A L S	N/A L S	Preparation and submission of EOJ and AF		
CSI-Piemonte 0.2	Office and administration	P Preparation		FR	N/A F R	N/A F R			

To access full details of a specific expenditure item, click on it (anywhere on the line); a separate window will open.

PP Budgetline: Staff costs
 Workpackage: C Communication
 Internal Reference Number: 2
 Invoice Number: 223344
 Invoice Date: 06.07.2017
 Date Of Payment: 06.07.2017
 Currency: EUR - EURO
 Conversion rate: (1)
 Total Value Of Item In Original Currency: 30.000,00
 Vat: 0,00
 Declared Amount In The Original Currency: 4.000,00
 Declared amount in Eur: 4.000,00
 Expenditure Outside (The Union Part Of) The Programme Area?

FLC Verified By FIC:
 Difference FIC: € 200,00
 Amount Certified FIC: € 0,00
 FIC Correction Type: -

Description1: Salary - Samir Handanovic (1275 Characters remaining)
 Description2: July-December 2017 (1082 Characters remaining)
 Partner Comment: (2000 Characters remaining)
 Comment FIC: (pp,flc.js,ma,ca,aa) (2000 Characters remaining)

Upload: No records found



As shown in the screenshot above, there are two colour codes:

- violet: is the section dedicated to the PP and cannot be changed by the FLC.
- blue: is the section dedicated to the FLC.

If the expenditure item can be confirmed, the FLC should do so by ticking the box “*verified by FLC*”.

If any correction is needed to the claimed expenditure, the FLC should do so by entering the amount to be reduced under “*difference FLC*”. This amount will then be automatically deducted from the declared amount; it will result in the “*amount certified by FLC*” as soon as the box “*verified by FLC*” is ticked. The FLC shall add any comments and reasons for a potential reduction in the “*comment FLC*” box and must choose FLC correction type from the predefined list.

Please note that the box “*verified by FLC*” needs to be confirmed and the changes saved in order to consider the (reduced) expenditure in the FLC certificate.

Under any condition, the FLC **cannot** enter “positive corrections” - i.e. it cannot certify higher amounts than those declared by partners. Should there be a deficiency in the list of expenditure submitted by the partner and actually an amount higher than declared would be eligible, the FLC should revert the report.

The FLC needs to validate each eligible expenditure item (with exceptions of flat rates that will be validated automatically). A possibility is given to verify all LoE at once by ticking the button “*Tick all as verified by FLC*”, that can be found at the bottom of the LoE table.



Do not forget to save afterwards!

At the end it is recommended to check that all expenditure items have been validated. This can be easily done in the column “*Verified by FLC*” of the list of expenditures (LoE) table.

Point of attention:

It is possible to personalize the LoE table by clicking on the “*Column*” button at the bottom of the table. The



FLC can choose the columns that are relevant for its work and hide those that are not important. By clicking on the “export” button the LoE can be exported in an excel table.

STEP 3: CONTRIBUTION AND FORECAST

In this section the FLC is able to see the partner estimation on the forecast of the spending and information on how the national part of the related expenditure (partner contribution) is financed by the partner (either public or private).

The screenshot shows the 'Partner Report 2' interface. The breadcrumb navigation includes 'Partner Report', 'List Of Expenditure', 'Contribution And Forecast', and 'Attachments'. The 'Contribution And Forecast' section is active, displaying a 'Report Forecast' form with 'Estimated Expenditure' set to € 55,226.00. Below this is the 'Follow-up Of Partner Contribution' section, which shows a 'Target Partner Contribution Value' of € 1,482.00. A table summarizes the contribution data for three partners.

i	Legal Status	Total Amount Indicated In The Application Form	% Of Total(According To A F)	Previously Reported	Current Report	Total Reported So Far	Percentage Of T
	public	€ 0.00	0.00 %	€ 0.00	€ 0.00	€ 0.00	
madone	public	€ 57,207.00	100.00 %	€ 0.00	€ 1,482.00	€ 1,482.00	
	public	€ 0.00	0.00 %	€ 0.00	€ 0.00	€ 0.00	
		€ 57,207.00	100.00 %	€ 0.00	€ 1,482.00	€ 1,482.00	
		€ 0.00	0.00 %	€ 0.00	€ 0.00	€ 0.00	
		€ 57,207.00	100.00 %	€ 0.00	€ 1,482.00	€ 1,482.00	

It is mandatory that values in the column “current report” are equal to the “target partner contribution value”. The check of the amounts is done automatically by the system at the PP level but the FLC should still check if the legal status is in line with the information provided in the AF.

A verification of the contribution shall be done within the final report verifications to exclude the risk of over-financing.

STEP 4: ATTACHMENTS

No attachments are foreseen. Project partners should provide all relevant evidences to the FLC separately (by emails, exchange platform, hard copies...).



Filling in FLC documents

After having checked the partner report, the list of expenditures and partner contribution, the FLC can move to the next section by pressing the button “*FLC documents*” on the left menu.



- Partner Finance Report
- FLC Documents**
- FLC Checklist
- Application Form
- Print Report
- Revert From FLC To P.P

This section is composed of seven parts, as shown in the screenshot, but only the first five are currently relevant for the FLC work.



Click on each tab to access the different part.

STEP 1: FLC EXPENDITURES

An expenditure overview is available in this section. The FLC can see the sum of expenditure per budget lines that were declared by PP and certified by the FLC in the *LoE* (see page 6). In this section the FLC can also check and activate expenditures that are waiting to be verified from previous periods – so called “sitting ducks”. The detailed guidance on the sitting ducks can be [downloaded here](#).

The screenshot shows the 'Open Report Expenditures' section of the Interreg EMSdemo system. It features a navigation bar with tabs for 'FLC Expenditures', 'Partner Information', 'FLC Checklist', 'FLC Report', 'Attachments', 'Inherent Risk Assessment', and 'Control Risk Assessment'. Below the navigation bar is a table with the following data:

Budgetline	Declared by partner		Certified by FLC		Difference		Difference in %	
	Current report	Total	Current report	Total	Current report	Total	Current report	Total
Soft costs	€ 102,076,90	€ 102,076,90	€ 101,999,14	€ 101,999,14	€ 1,077,76	€ 1,077,76	98,95 %	98,95 %
Office and administration	€ 15,461,51	€ 15,461,51	€ 15,299,84	€ 15,299,84	€ 161,67	€ 161,67	98,95 %	98,95 %
Travel and accommodation	€ 851,60	€ 851,60	€ 851,60	€ 851,60	€ 0,00	€ 0,00	100,00 %	100,00 %
External expertise and services	€ 15,630,24	€ 15,630,24	€ 15,520,24	€ 15,520,24	€ 110,00	€ 110,00	99,29 %	99,29 %
Equipment	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable
Infrastructure and works	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable
Total Expenditure	€ 135,020,25	€ 135,020,25	€ 133,670,82	€ 133,670,82	€ 1,349,43	€ 1,349,43	99,00 %	99,00 %
Net Revenue	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable
Total Eligible Expenditure	€ 135,020,25	€ 135,020,25	€ 133,670,82	€ 133,670,82	€ 1,349,43	€ 1,349,43	99,00 %	99,00 %



STEP 2: PARTNER INFORMATION

The FLC shall indicate/confirm the following:

- the accounting system used,
- if VAT is recoverable or not,
- the correctness of the bank codes indicated (*currently not available*),
- legal status of the PP,
- format of documents made available to FLC.

Do not forget to save afterwards!

STEP 3: FLC CHECKLIST

This section concerns the detailed FLC check. The FLC needs to set the value (“YES”, “NO” or “NOT APPLICABLE”) for every separate checklist element. In order to confirm that the partner report fulfils the eligibility requirements, values should be set to “yes” or, if the information is not relevant, to “not applicable”. A “no” should result in most cases in a reduced amount of eligible expenditure. The FLC has a possibility to write a comment for every element of the checklist.

It is mandatory to tick the confirmation button in the last column in order to finalize the checklist.



There is the possibility to tick the whole column at once by pressing the “confirmed” button at the top or at the bottom of the check list.

Do not forget to save afterwards!

FLC shall finalize the checklist by pressing “Finish checklist” button at the bottom of the page. After confirming this, no changes can be done in the checklist.



STEP 4: FLC REPORT

In the last step of verification, the relevant information for the FLC report needs to be provided. The FLC shall indicate/confirm the following:

- the type of project report (“preparation costs”², “partner report” or “final report”),
- the information on the FLC and its institution (and can add contact data of the controller

² Check page 13 (point of attention) for information on how to certify the partner report on preparation costs



- reviewer if applicable),
- the information on the methodology used,
- all expenditure items (declared and certified),
- expenditures incurred outside the EU part of the programme area,
- detailed information on any relevant observations, findings, recommendations for the PP that might help to improve the future partner reports.

Do not forget to save afterwards!

The screenshot shows the 'Fic Report' form in the Interreg EMSdemo system. The breadcrumb trail is: **Fic Expenditures** > **Partner Information** > **Fic Checklist** > **Fic Report** > **Attachments** > **Inherent Risk Assessment** > **Control Risk Assessment**. The 'Fic Report' tab is active.

Independent First Level Control Report

Project And Progress Report

Report Dated By Project Partner: 05/07/2016
 Type Of Project Report: Preparation Costs Partner Report Final Report

Designated Project Partner Controller

Fic Body Responsible For The Verification: tester
 Fic Organization Doing The Verification (If Applicable): JS FLC test
 Name Of The Controller: q w
 Job Title:
 Division Unit Department:
 Address:
 Country: Bolzano-Bozen
 Telephone Number:
 Email:
 Controller Review (If Applicable): (2000 Characters remaining)

Methodology Of The Verification

General Methodology: Desk Based On The Spot Other
 Please Describe: (2000 Characters remaining)
 Sampling Was Applied: Yes No
 Date Of Receipt Of The Partner Report: 05.07.2016
 Start Of Control Work:
 Request For Clarifications (If Applicable): (2000 Characters remaining)
 Date Of Receipt Of Satisfactory Clarifications (If Applicable):
 End Of Control Work: 13.07.2016

Expenditures Declared And Certified By Budgetline

	Declared(a)(total Amount Declared)	Certified(b)(total Amount Certified)	Difference(c=a-b)(total Amount Deducted)	Certified In% Of Declared(b/a)*100
Staff costs	€ 9,591.30	€ 9,591.30	€ 0.00	% 100.00
Office and administration	€ 1,288.69	€ 1,288.69	€ 0.00	% 100.00
Total Expenditure	€ 9,879.99	€ 9,879.99	€ 0.00	% 100.00
Net Revenue	€ 0.00	€ 0.00	€ 0.00	% 0.00
Total Eligible Expenditure	€ 9,879.99	€ 9,879.99	€ 0.00	% 100.00

Part Of The Expenditures Incurred Outside The Union Part Of The Programme Area: Yes No

descriptionOfFinding ObservationAndLimitations

(2000 Characters remaining)

conclusionsAndRecommendations

(2000 Characters remaining)

Follow-up-measures for the next partner-report



The FLC can print out the FLC report and checklist by pressing “*Print FLC Report*”. The button can be found in the left menu (part “*FLC Report*”). A separate window will open. Even if the FLC can modify the document, it is strongly recommended to avoid any changes. The print function can be found at the bottom of the window popping up with the possibility to print out the document or save it as a pdf.

The screenshot shows the 'Interreg EMSdemo' interface. In the left-hand menu, the 'Print FLC Report' button is highlighted with a yellow box and a mouse cursor. A pop-up window titled 'FLC Report' is open, displaying a form for a 'First Level Control Report and Checklist'. The form includes sections for 'Project and Partner Report', 'Project Partner', and 'Designated Project Partner Controller'. A 'Print' button is highlighted with a yellow box at the bottom of the pop-up window.

FLC Report

First Level Control Report and Checklist

Please note:
The report and checklist are primarily for internal use (of the FLC). It shall be made available on request to JSM and authorized third parties such as SAC and the European Commission. It is NOT assumed that the assessment is automatically made available to the beneficiary.
To ensure transparency and traceability FLC bodies are kindly asked to give reasons for their opinion and information on how they checked the issue in SACR comment box.

Project and Partner Report

ETC programme	Alpine Space
Project acronym	SPARC
Project number	ASP170
Approved implementation period	16.12.2015 - 15.12.2018
Reporting period	Period 1: 16.12.2015 - 30.06.2016
Accounting period	16.12.2015 - 30.06.2016
Partner report number	1
Report dated by project partner	29.07.2016

Type of partner report:

- preparation costs
- partner report
- final report

Project Partner

Name of controlled project partner	Indstut
Partner role in the project	PP
Legal status of the partner	public
Recover: Vat	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> Partially <input type="checkbox"/> No
Accounting system	an adedquate accounting system

Designated Project Partner Controller

FLC body response for the verification (authorized by FLC)	Control Division for ETC, IPA and MRM programmes
Divisional Institutional	

Print

STEP 5: INHERENT RISK ASSESSMENT AND CONTROL RISK ASSESSMENT

Part “*inherent risk assessment*” and “*control risk assessment*” are currently not relevant. Please proceed directly to the finalization of the FLC work.



Finalizing FLC work

Issuing the FLC certificate

The FLC controller shall finalize its verification process in the “FLC Expenditure” part by pressing the “Check FLC work” button, confirming it and then ticking the “Finalize FLC Work” button.

The screenshot shows the 'Interreg EMS demo' interface. The main content area is titled 'Partner Report 1 RP Period 0 - Certificate'. A navigation bar includes 'Fic Expenditures', 'Partner Information', 'Fic Checklist', 'Fic Report', 'Attachments', 'Inherent Risk Assessment', and 'Control Risk Assessment'. The 'Fic Expenditures' section is active, displaying a table of 'Open Report Expenditures'. A 'Confirmation' dialog box is overlaid on the table, asking 'Are You Sure' with 'Yes' and 'No' buttons. The 'Yes' button is highlighted.

Budgetline	Declared by partner		Certified by FLC		Difference		Difference in %	
	Current report	Total	Current report	Total	Current report	Total	Current report	Total
Staff costs	€ 434.78	€ 434.78	€ 0.00	€ 0.00	€ 434.78	€ 434.78	0.00 %	0.00 %
Office and administration	€ 65.21	€ 65.21	€ 0.00	€ 0.00	€ 65.21	€ 65.21	0.00 %	0.00 %
Total Expenditure	€ 499.99	€ 499.99	€ 0.00	€ 0.00	€ 499.99	€ 499.99	0.00 %	0.00 %
Total Eligible Expenditure	€ 0.00		€ 0.00	€ 0.00	€ 0.00	€ 0.00	Nan	Nan

A new window with the final version of the certificate will appear. At the end of the document the FLC needs to click the button “Finalize FLC work and issue certificate”. By pressing this button the FLC is confirming the eligibility of the certified expenditure and taking over the responsibilities as detailed in the pdf extract of the certificate.



Fic Certificate

I. expenditure with activity objectives or non-program costs (reports under the heading 'Other reports to be issued').

II. expenditure has incurred and been paid (with the exceptions above under 'b') within the eligible time period of the project (with the exceptions for the last regular report according to 'section No. 1.4. What can be confirmed') and was not previously reported.

III. expenditure based on legal costs and full costs (if any) is correctly calculated and the calculation method used is appropriate.

IV. expenditure reimbursed on the basis of a grant does not actually incurred or is not properly recorded in a reliable accounting system or has an adequate accounting code allocated. The necessary audit trail exists and is available for inspection.

V. expenditure in currency other than Euro has converted using the correct exchange rate.

VI. projects EU regional institutions and programme public procurement rules were observed.

VII. EU and programme public rules were observed.

VIII. confirmed accounts, receipts and other data actually delivered.

IX. expenditure is related to activities in line with the application form and the subsidy contract.

II. Based on the documents provided, my verification and my professional judgement as a first level controller, [I have not found any anomalies](#):

a. integrity of rules concerning sustainable development, equal opportunities and non-discrimination, equality between men and women and state aid;

b. expenditure is in line with budget, programme and report; a budget rules and compliance with expenditure for support of the project and partners are outlined in the subsidy contract;

c. expenditure was actually paid with the exception of costs related to depreciations, lump sums and flat costs;

d. expenditure has incurred and been paid in in the exceptions above under 'b)' within the eligible time period of the project (with the exceptions for the last regular report according to 'section No. 1.4. What can be confirmed') and was not previously reported.

III. [I hereby confirm that the verification of the project financial report was done precisely and objectively.](#)

The control methodology and scope control work actually done as well as eligible and ineligible expenditure per budget line are documented in the FLC checklist (based on the programme template). I and the institution / department / department are independent from the project activities and financial management and authorized to carry out the control.

Date and place:
Name of the controller: _____ q w
Controller username (e-signature): _____ JS FLC test
Signature of the controller (optional): _____ Official stamp of the FLC body/organization (optional): _____

Print

Finalize F.I.C. Work And Issue Certificate

After confirming this step, the partner report is certified and the project partner (including the lead partner) will be able to see this information on the reporting section of its eMS account.

The FLC cannot modify the certificate after confirming this step!

Point of attention: According to the programme, e-verification in the eMS is sufficient and there is no need to print out and sign the certificate. If FLCC bodies on national level decide that signature is necessary an option is given to print out and upload the signed document in the system (check the following section for details).



Extraction of the FLC certificate

The FLC controller can at any time extract the certificate and print it. The button “Print FLC certificate” can be found on the left side of the menu (part “FLC Expenditures”).

The screenshot shows the 'Interreg EMSdemo' interface for 'THE4BEES ASP123'. The left-hand menu has 'Print FLC Certificate' highlighted. The main content area shows 'Partner Report 1 RP Period 0 - Certificate' with a navigation bar including 'Fic Expenditures', 'Partner Information', 'Fic Checklist', 'Fic Report', 'Attachments', 'Inherent Risk Assessment', and 'Control Risk Assessment'. Below the navigation bar is a table titled 'Open Report Expenditures'.

Budgetline	Declared by partner		Certified by Fic		Difference		Difference in %	
	Current report	Total	Current report	Total	Current report	Total	Current report	Total
Staff costs	€ 434.78	€ 434.78	€ 0.00	€ 0.00	€ 434.78	€ 434.78	0.00 %	0.00 %
Office and administration	€ 65.21	€ 65.21	€ 0.00	€ 0.00	€ 65.21	€ 65.21	0.00 %	0.00 %
Total Expenditure	€ 499.99	€ 499.99	€ 0.00	€ 0.00	€ 499.99	€ 499.99	0.00 %	0.00 %
	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	€ 0.00	Nan	Nan
Total Eligible Expenditure	€ 499.99	€ 499.99	€ 0.00	€ 0.00	€ 499.99	€ 499.99	0.00 %	0.00 %

A separate window is popping up. The print function can be found at the bottom of the new window with the possibility to print out the document or save it as a pdf.

The screenshot shows the 'Fic Certificate' window overlaid on the main report. The window title is 'Fic Certificate' and it contains the following information:

First Level Control Certificate

Identification of project, project partner and partner report

ETC programme	Interreg Alpine Space
Project acronym	GRETA
Project number	ASP172
Name of completed project partner	ASP
Approved project implementation period	16.12.2015 - 15.12.2018
Reporting period thereof: Accounting period	Period 0 16.12.2015 - 16.12.2015

Identification of first level control body

FLC body responsible for the verification	tester
Organization doing the verification	IS FLC test
Person in charge (name of the controller)	qw

Amount declared and certified

	Declared (A) (total amount declared)	Certified (B) (total amount certified)	Difference (C=A-B) (total amount declared)	Certified in % of Declared (B/A) %
Total expenditure	EUR 2,706.00	EUR 0.00	EUR 2,706.00	0.00 %
Net revenue	EUR 0.00	EUR 0.00	EUR 0.00	0.00 %
Total eligible expenditure	EUR 2,706.00	EUR 0.00	EUR 2,706.00	0.00 %

I. Based on the documents provided and my verification and professional judgement as a first level controller, for the amount certified I certify that:

- expenditure is in line with European, programme and national eligibility rules and complies with conditions for support of the project and payment as outlined in the subsidy contract;
- expenditure was actually paid with the exception of costs related to depreciations, lump sums and flat rates;
- expenditure has incurred and been paid (with the exceptions above under 'b') within the eligible time period of the project (with the exceptions for the last regular report according to Article 10, 11 & 12 which can be confirmed) and was not previously reported;
- expenditure based on lump sums and flat rates (if any) is correctly calculated and the calculation method used is appropriate;
- expenditure mentioned on the basis of eligible costs actually incurred, is either properly recorded in a separate accounting system or has an adequate accounting code attached. The necessary audit trail reports are all kept available for inspection;
- expenditure in currency other than Euro was converted using the correct exchange rate;
- relevant financial, operational and programme public procurement rules were observed;
- EU and programme eligibility rules were observed.



The FLC can upload the document (signed and stamped if requested on national level) in the part “Attachments” by using the “Upload” button.

Point of attention: Even if the FLC can modify the printouts of documents (both FLC certificate and FLC report and checklist), it is strongly recommended to avoid any changes. Please consider that the information entered in the eMS (and not in the printouts) will be the basis for any further control or audit.



eMS technical support

For assistance on the eMS, please contact the joint secretariat at js@alpine-space.eu or call at + 49 (0) 89 92 14 18 00 during working hours.

Abbreviations and terminology

eMS: Electronic monitoring system.

FLC: First level control and first level control controller (employee of the FLC body).

FLCC: First level control coordinator (employee of the FLCC body).

FLC body: Institution responsible (and authorized) to verify the eligibility of expenditure and therefore to perform the first level control.

FLCC body: Institution responsible for the co-ordination of the first level control and authorisation of FLC body and FLC in a single Member State.

FLC username: Name used by FLC to enter the eMS system.

LoE: List of Expenditures.

„Sitting ducks“ function in the eMS

Guidance for FLC controllers

14 | 20

Joint secretariat



Definition: ‘Sitting Ducks’ refer to open items from previously certified reports.

You can choose NOT to verify an expenditure item in a List of expenditure (e.g. in case verification takes a long time or needs further clarification). Any item that is NOT ticked ‘Verified by FLC’, is NOT included in the current FLC certificate.

This means that by – not ticking ‘Verified by FLC’-, you generate an item that is neither accepted nor rejected and waits in the system to be verified – it is what we call a ‘Sitting Duck’.

“Sitting ducks” can be verified with later reports.



In this guidance, we will take one example to illustrate this function:

→ In Partner Report 1, one item won't be verified and will be included in the certificate of Partner Report 2

(see below in white: Travel and accomodation (WPT1): „conference at Ministry of Transport – Rome“ – 350,00 €).

Partner Report > **List of Expenditures** > Contribution and Forecast > Attachments > Personal data attachments

List Of Expenditure

Report Number ↕	Budget Line ↕	Wp ↕	Int Ref No ↕	Inv No ↕	Inv Date ↕	Paym Date ↕	Description1 ↕
INSIEL 1.1	Staff costs	M Management	test IRN 231	231	12/01/2017	02/01/2018	description test SC
INSIEL 1.1	Staff costs	M Management	FR-15486	FR-15486	29/06/2018	01/07/2018	salary June - Wallace Gromit
INSIEL 1.1	Office and administration	M Management		FR	N/A FR	N/A FR	
INSIEL 1.1	Travel and accomodation	T1 Creation of Low Carbon Mobility Network	voyage alpha	987-AF23561	02/02/2017	04/05/2017	Torino - Lyon (flight ticket AirFrance)
INSIEL 1.1	Travel and accomodation	T1 Creation of Low Carbon Mobility Network	AirT1296734	Inv.ADFR2356	01/02/2018	01/03/2018	conference at Ministry of Transport - Rome
INSIEL 1.1	External expertise and services	T2 Mapping low carbon mobility impediments and enablers	tra-789/ZUT	ZUT1288	04/01/2018	04/01/2018	translation publication on pilots

Export Save Columns Columns

Tick all as verified by F L C Save Return

View from PR1 - List of expenditures (1/2)

View from PR1 - List of expenditures (2/2)

Partner Report > List of Expenditures > Contribution and Forecast > Attachments > Personal data attachments

List Of Expenditure

Conversion Rate	Conversion Rate Date	Declared Amount Euro	Exp Outside	Declared	Uploads	Verified By Flc	Difference Flc	Amount Certified Flc	Comment Flc (pp,flc,js,ma,ca,aa)
		€ 2.500,00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0 Attachments	<input checked="" type="checkbox"/>	€ 0,00	€ 2.500,00	
		€ 1.750,00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0 Attachments	<input checked="" type="checkbox"/>	€ 0,00	€ 1.750,00	
		€ 637,50	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0 Attachments	<input checked="" type="checkbox"/>	€ 0,00	€ 637,50	
		€ 352,00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0 Attachments	<input checked="" type="checkbox"/>	€ 0,00	€ 352,00	
		€ 350,00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0 Attachments	<input type="checkbox"/>	€ 0,00	€ 0,00	<u>no complete documentation received</u>
		€ 452,00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0 Attachments	<input checked="" type="checkbox"/>	€ 0,00	€ 452,00	

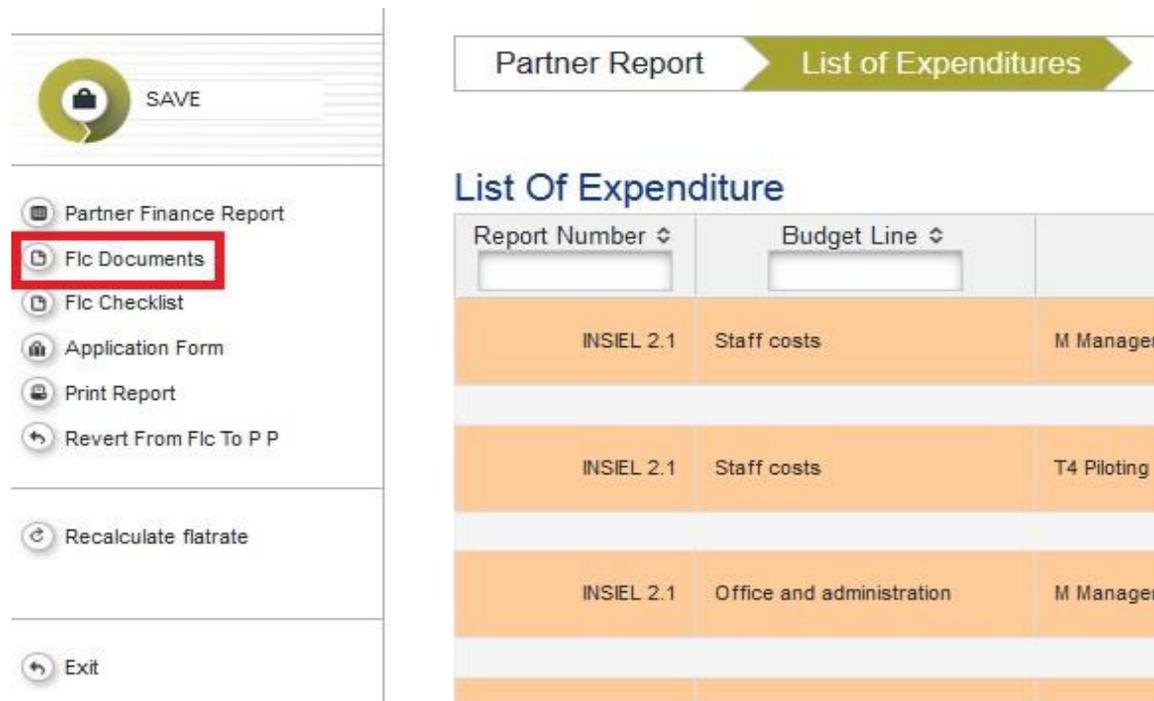
Export Save Columns Columns

Tick all as verified by F L C Save Return

How to integrate a sitting duck in the next report?

First, you will proceed to your regular checks in the List of expenditures of PR2. Once everything is validated at this level, you can include the sitting ducks.

→ To do this and access all open items, tick 'FLC documents' (see below) and then 'FLC expenditure' and tick 'Show all waiting to be verified, including open expenditures from other reports' (see next page).



The screenshot displays a software interface with a sidebar on the left and a main content area on the right. The sidebar contains a 'SAVE' button and a list of menu items: 'Partner Finance Report', 'Flc Documents' (highlighted with a red box), 'Flc Checklist', 'Application Form', 'Print Report', 'Revert From Flc To P P', 'Recalculate flatrate', and 'Exit'. The main content area shows a breadcrumb trail 'Partner Report > List of Expenditures' and a table titled 'List Of Expenditure'. The table has columns for 'Report Number', 'Budget Line', and an unlabeled column. The table contains three rows of data.

Report Number ↕	Budget Line ↕	
INSIEL 2.1	Staff costs	M Manager
INSIEL 2.1	Staff costs	T4 Piloting
INSIEL 2.1	Office and administration	M Manager

- Check F L C Work
- Print FIC Certificate

- Exit To Reports Overview
- Exit To Partner Report

- Help
- Contacts

Logout

EN



Open Report Expenditures

Show all waiting to be verified, including open expenditures from other reports



Budgetline	Declared by partner		Certified by FIC		Difference		Difference in %	
	Current report	Total	Current report	Total	Current report	Total	Current report	Total
Staff costs	€ 3.455,00	€ 3.455,00	€ 3.455,00	€ 3.455,00	€ 0,00	€ 0,00	100,00 %	100,00 %
Office and administration	€ 518,25	€ 518,25	€ 518,25	€ 518,25	€ 0,00	€ 0,00	100,00 %	100,00 %
Travel and accomodation	€ 232,00	€ 232,00	€ 232,00	€ 232,00	€ 0,00	€ 0,00	100,00 %	100,00 %
External expertise and services	€ 3.621,00	€ 3.621,00	€ 3.621,00	€ 3.621,00	€ 0,00	€ 0,00	100,00 %	100,00 %
Equipment	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable
Infrastructure and works	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable
Total Expenditure	€ 7.826,25	€ 7.826,25	€ 7.826,25	€ 7.826,25	€ 0,00	€ 0,00	100,00 %	100,00 %
Net Revenue	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable
Total Eligible Expenditure	€ 7.826,25	€ 7.826,25	€ 7.826,25	€ 7.826,25	€ 0,00	€ 0,00	100,00 %	100,00 %

New columns will appear. This view shows sums per budget lines:

- 'Declared by Partner' – 'Current Report': all items included in the current report.
- 'Declared by Partner' – 'Other reports (open expenditure)': all items currently open in other reports.
- 'Total': Sum of the two above.

Check F L C Work
 Print FIC Certificate

 Exit To Reports Overview
 Exit To Partner Report

 Help
 Contacts

 Logout

 EN



developed by
cpb
 software




[Fic Expenditures](#) > [Partner Information](#) > [Fic Checklist](#) > [Fic Report](#) > [Attachments](#) > [Inherent Risk Assessment](#) > [Control Risk Assessment](#)

Open Expenditures Of Insiel S.p.A.

Show all waiting to be verified, including open expenditures from other reports

Budgetline	Declared by partner			Certified by Fic			Difference			Difference in %		
	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total
Staff costs	€ 3.455,00	€ 0,00	€ 3.455,00	€ 3.455,00	€ 0,00	€ 3.455,00	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Office and administration	€ 518,25	€ 0,00	€ 518,25	€ 518,25	€ 0,00	€ 518,25	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Travel and accommodation	€ 232,00	€ 350,00	€ 582,00	€ 232,00	€ 0,00	€ 232,00	€ 0,00	€ 350,00	€ 350,00	100,00 %	0,00 %	39,86 %
External expertise and services	€ 3.621,00	€ 0,00	€ 3.621,00	€ 3.621,00	€ 0,00	€ 3.621,00	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Equipment	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Infrastructure and works	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Total Expenditure	€ 7.826,25	€ 350,00	€ 8.176,25	€ 7.826,25	€ 0,00	€ 7.826,25	€ 0,00	€ 350,00	€ 350,00	100,00 %	0,00 %	95,71 %
Net Revenue	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Total Eligible Expenditure	€ 7.826,25	€ 350,00	€ 8.176,25	€ 7.826,25	€ 0,00	€ 7.826,25	€ 0,00	€ 350,00	€ 350,00	100,00 %	0,00 %	95,71 %



In our case here, we can recognise the open item “*Travel and accomodation – 350,00 €*” from PR1 in the column ‘Other reports (open expenditure)’.

→ To include it in the PR2, access the related budget line by clicking on the magnifying glass.

- Check F L C Work
- Print FIC Certificate
- Exit To Reports Overview
- Exit To Partner Report
- Help
- Contacts
- Logout

EN



developed by
cpb
software




FIC Expenditures > Partner Information > FIC Checklist > FIC Report > Attachments > Inherent Risk Assessment > Control Risk Assessment

Open Expenditures Of Insiel S.p.A.

Show all waiting to be verified, including open expenditures from other reports

Budgetline	Declared by partner			Certified by FIC			Difference			Difference in %		
	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total
Staff costs 	€ 3.455,00	€ 0,00	€ 3.455,00	€ 3.455,00	€ 0,00	€ 3.455,00	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Office and administration 	€ 518,25	€ 0,00	€ 518,25	€ 518,25	€ 0,00	€ 518,25	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Travel and accomodation 	€ 232,00	€ 350,00	€ 582,00	€ 232,00	€ 0,00	€ 232,00	€ 0,00	€ 350,00	€ 350,00	100,00 %	0,00 %	39,86 %
External expertise and services 	€ 3.621,00	€ 0,00	€ 3.621,00	€ 3.621,00	€ 0,00	€ 3.621,00	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Equipment 	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Infrastructure and works 	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Total Expenditure	€ 7.826,25	€ 350,00	€ 8.176,25	€ 7.826,25	€ 0,00	€ 7.826,25	€ 0,00	€ 350,00	€ 350,00	100,00 %	0,00 %	95,71 %
Net Revenue 	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Total Eligible Expenditure 	€ 7.826,25	€ 350,00	€ 8.176,25	€ 7.826,25	€ 0,00	€ 7.826,25	€ 0,00	€ 350,00	€ 350,00	100,00 %	0,00 %	95,71 %

Sitting ducks will be highlighted in pink colour.

SAVE

- Partner Finance Report
- Fic Documents
- Fic Checklist
- Print Report
- Revert From Fic To P P
- Recalculate flatrate
- Exit
- Help
- Generated Files
- Contacts
- Logout

Fic Expenditures Partner Information Fic Checklist Fic Report Attachments Inherent Risk Assessment Control Risk Assessment

List Of Expenditure

Report Number	Budget Line	Wp	Int Ref No	Inv No	Inv Date	Paym Date	Description1	Description2	Partner
INSEL 2.1	Travel and accomodation	T1 Creation of Low Carbon Mobility Network	ÖBB-RJ12366	ÖBB-RJ12366	03/06/2018	01/07/2018	meeting in Klagenfurt - synergy brunch ASP programme		
INSEL 1.1	Travel and accomodation	T1 Creation of Low Carbon Mobility Network	AirIT1296734	Inv.ADFR2356	01/02/2018	01/03/2018	conference at Ministry of Transport - Rome		
INSEL 2.1	Travel and accomodation	C Communication	SNCF-89654df	LY-MU1239876	01/04/2018	03/04/2018	Genova - Nizza		



Export Save Columns Columns

Tick all as verified by F L C Save Return

[Download all attachments](#)

You can confirm your check by clicking on the “sitting duck” item: it is exactly the same procedure as for a regular item in the List of expenditures (ticking “verified by FLC, applying deduction if necessary, comments).

The screenshot displays the 'FLC Expenditures' software interface. The top navigation bar includes 'FLC Expenditures', 'Partner Information', 'FLC Checklist', 'FLC Report', 'Attachments', 'Inherent Risk Assessment', and 'Control Risk Assessment'. The left sidebar contains various menu items such as 'SAVE', 'Partner Finance Report', 'FLC Documents', 'FLC Checklist', 'Print Report', 'Revert From FLC To P P', 'Recalculate flatrate', 'Exit', 'Help', 'Generated Files', 'Contacts', and 'Logout'. The main area shows a 'List Of Expenditure' table with the following columns: Conversion Rate, Conversion Rate Date, Declared Amount Euro, Exp Outside, Declared, Uploads, Verified By FLC, Difference FLC, Amount Certified FLC, and Comment FLC (pp.flc.js,ma,ca,aa). The table contains three rows of data. The second row is highlighted in pink and has a red box around the 'Verified By FLC' column, which contains a checkmark. A red arrow points to a comment box for this row containing the text: 'documentation received after deadline certification for PR1.1 included in PR2.1 1 metro ticket not related to this business trip'. Below the table, there are buttons for 'Export', 'Save Columns', 'Columns', 'Tick all as verified by F L C', 'Save', and 'Return', along with a 'Download all attachments' link.

Conversion Rate	Conversion Rate Date	Declared Amount Euro	Exp Outside	Declared	Uploads	Verified By FLC	Difference FLC	Amount Certified FLC	Comment FLC (pp.flc.js,ma,ca,aa)
		€ 127,00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0 Attachments	<input checked="" type="checkbox"/>	€ 0,00	€ 127,00	
		€ 350,00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0 Attachments	<input checked="" type="checkbox"/>	€ 1,90	€ 348,10	documentation received after deadline certification for PR1.1 included in PR2.1 1 metro ticket not related to this business trip
		€ 105,00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0 Attachments	<input checked="" type="checkbox"/>	€ 0,00	€ 105,00	

In our example, we applied a deduction of 1,90€ - the amount to be included in the certificate is 348,10€.

Once it is done, open again 'FLC documents' (N.B.: the sitting duck will keep the colour "pink" once verified).



SAVE

- Partner Finance Report
- Flc Documents**
- Flc Checklist
- Print Report
- Revert From Flc To P P

Recalculate flatrate

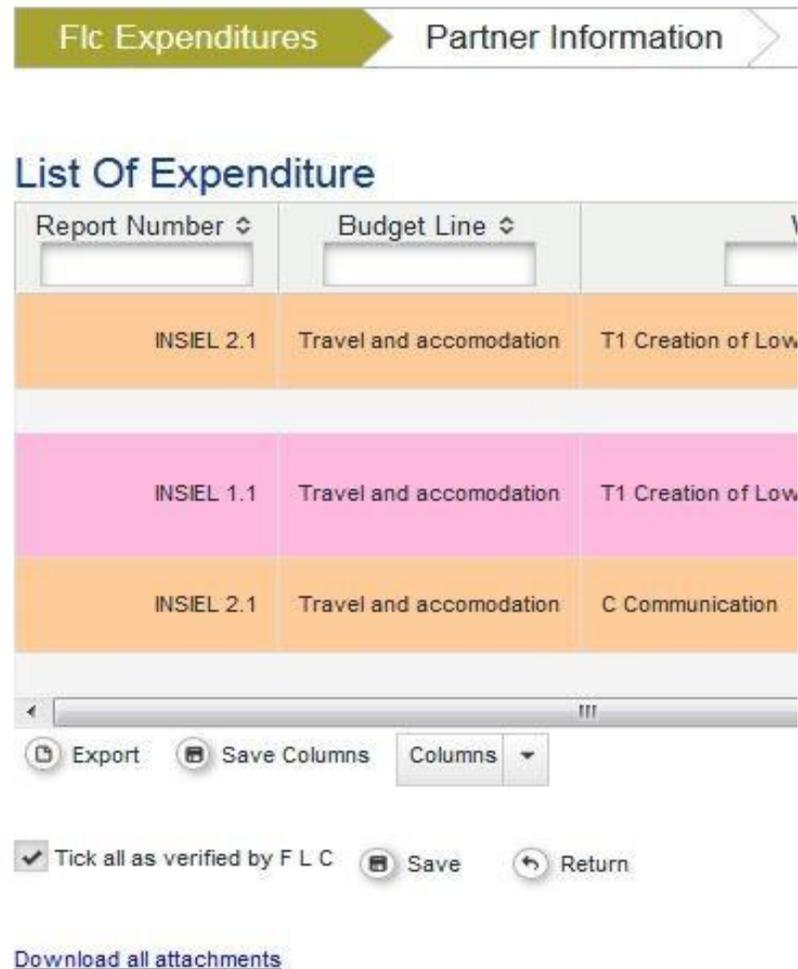
Exit

Help

Generated Files

Contacts

Logout



Flc Expenditures Partner Information

List Of Expenditure

Report Number	Budget Line	
INSIEL 2.1	Travel and accomodation	T1 Creation of Low
INSIEL 1.1	Travel and accomodation	T1 Creation of Low
INSIEL 2.1	Travel and accomodation	C Communication

Export Save Columns Columns

Tick all as verified by F L C Save Return

[Download all attachments](#)

The verified “sitting duck” item is then integrated to the columns “Certified by FLC” and “Difference”.

- Check F L C Work
- Print Flc Certificate
- Exit To Reports Overview
- Exit To Partner Report
- Help
- Contacts
- Logout

EN



developed by





Flc Expenditures > Partner Information > Flc Checklist > Flc Report > Attachments > Inherent Risk Assessment > Control Risk Assessment

Open Expenditures Of Insiel S.p.A.

Show all waiting to be verified, including open expenditures from other reports

Budgetline	Declared by partner			Certified by Flc			Difference			Difference in %		
	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total
Staff costs	€ 3.455,00	€ 0,00	€ 3.455,00	€ 3.455,00	€ 0,00	€ 3.455,00	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Office and administration	€ 518,25	€ 0,00	€ 518,25	€ 518,25	€ 0,00	€ 518,25	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Travel and accomodation	€ 232,00	€ 350,00	€ 582,00	€ 232,00	+ € 348,10	= € 580,10	€ 0,00	€ 1,90	€ 1,90	100,00 %	99,45 %	99,67 %
External expertise and services	€ 3.621,00	€ 0,00	€ 3.621,00	€ 3.621,00	€ 0,00	€ 3.621,00	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Equipment	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Infrastructure and works	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Total Expenditure	€ 7.826,25	€ 350,00	€ 8.176,25	€ 7.826,25	€ 348,10	€ 8.174,35	€ 0,00	€ 1,90	€ 1,90	100,00 %	99,45 %	99,97 %
Net Revenue	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Total Eligible Expenditure	€ 7.826,25	€ 350,00	€ 8.176,25	€ 7.826,25	€ 348,10	€ 8.174,35	€ 0,00	€ 1,90	€ 1,90	100,00 %	99,45 %	99,97 %



In our case, the verified sitting duck item is added to the other verified items of PR2.

→ see box in orange: 232,00€ of travel and accomodation costs were verified in the regular PR2 along with the 348,10€ of sitting duck in the same budget line.

Once the sitting ducks are inserted in the PR2, you can finalise your work by filling in the sections “Partner information”, “FLC checklist” and “FLC report” and issue the FLC certificate (the sitting ducks will be integrated in this document).



- Check F L C Work
- Print Flc Certificate
- Exit To Reports Overview
- Exit To Partner Report
- Help
- Contacts
- Logout

EN



developed by
cpb
software




[Flc Expenditures](#) >
 [Partner Information](#) >
 [Flc Checklist](#) >
 [Flc Report](#) >
 [Attachments](#) >
 [Inherent Risk Assessment](#) >
 [Control Risk Assessment](#)

Open Expenditures Of Insiel S.p.A.

Show all waiting to be verified, including open expenditures from other reports

Budgetline	Declared by partner			Certified by Flc			Difference			Difference in %		
	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total	Current report	Other reports (open expenditure)	Total
Staff costs	€ 3.455,00	€ 0,00	€ 3.455,00	€ 3.455,00	€ 0,00	€ 3.455,00	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Office and administration	€ 518,25	€ 0,00	€ 518,25	€ 518,25	€ 0,00	€ 518,25	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Travel and accomodation	€ 232,00	€ 350,00	€ 582,00	€ 232,00	€ 348,10	€ 580,10	€ 0,00	€ 1,90	€ 1,90	100,00 %	99,45 %	99,67 %
External expertise and services	€ 3.621,00	€ 0,00	€ 3.621,00	€ 3.621,00	€ 0,00	€ 3.621,00	€ 0,00	€ 0,00	€ 0,00	100,00 %	Not applicable	100,00 %
Equipment	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Infrastructure and works	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Total Expenditure	€ 7.826,25	€ 350,00	€ 8.176,25	€ 7.826,25	€ 348,10	€ 8.174,35	€ 0,00	€ 1,90	€ 1,90	100,00 %	99,45 %	99,97 %
Net Revenue	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	€ 0,00	Not applicable	Not applicable	Not applicable
Total Eligible Expenditure 	€ 7.826,25	€ 350,00	€ 8.176,25	€ 7.826,25	€ 348,10	€ 8.174,35	€ 0,00	€ 1,90	€ 1,90	100,00 %	99,45 %	99,97 %



FactSheet

No. 4.2

Public procurement

Table of contents

1. Procurement rules	2
Rules for public partners	2
Rules for private partners	5
2. Most common procurement errors	6
3. Enforcement of procurement rules and consequences in case of violation	7
4. Where to find more information and support?	7
Reference documents	8
Annexes and related factsheets	8



Public procurement rules aim at ensuring that the purchase of services, goods and works follows transparent procedures and that fair conditions of competition for suppliers are provided.

According to the European structural and investment (ESI) funds regulations, the programme bodies have to ensure that the programme and the projects are implemented in compliance with the applicable public procurement rules. Thus, any purchase of goods, services or public works for the implementation of the programme or a project has to be carried out in line with the relevant public procurement rules.

Public procurement law is a complex matter and many findings during financial controls in ESI-financed programmes and projects are related to procurement errors. Thus, this factsheet provides basic information about public procurement law, the relevant programme rules, most common procurement errors and further guidance on this issue.

1. Procurement rules

Rules for public partners

The European Community has set up minimum requirements for public procurement. They vary depending on the type of institution making the purchase, on the nature of purchases and the relevant sector in which purchases are made (specific rules are set e.g. for supply, works or service contracts or for purchases in the water, energy and other similar sectors).

According to European public procurement law the State, regional or local authorities, associations formed by such authorities, bodies governed by public law and their associations¹ are obliged to follow public procurement rules when purchasing goods, services and public works. Considering the nature of the activities generally performed in Alpine Space projects, the main reference document on EU public procurement rules is the directive on public contracts for the acquisition of services, supplies and works, i.e.:

- Directive 2014/24/EU as amended by the Commission delegated regulations (EU) 2015/2170 and 2017/2365.

¹ A definition of bodies governed by public law is provided in art. 2 of the Directive 2014/24/EU on public procurement and explained in the factsheet on 'Who can participate'.



This procurement directive applies to purchases whose estimated value net of value added tax (VAT) is equal to or above certain thresholds. The following table summarises the main **EU thresholds**, according to this directive as of 1 January 2018.

Nature of procurement	Type of contractor	Estimated value, excluding VAT
Public contracts for services and supply	Central Government authorities (e.g. ministries)	≤ EUR 144,000
	Sub-central contracting authorities (e.g. regions, municipalities)	≤ EUR 221,000
Public contracts for works ²	Both central and sub-central authorities	≤ EUR 5,548,000

The EU rules set the general framework for the awarding of public contracts. They have to be transposed into national law. Depending on the national legal system procurement law is made on national, regional or local level. As a result, **applicable public procurement rules and thresholds vary between Member States or regions in which Alpine Space project partners are located**. Moreover, institutions may set specific internal rules for procurements. They may for instance set stricter procurement procedures or lower thresholds which shall be obeyed whenever the institution purchases something. It should be noted that **the strictest of the applicable procurement rules applies**.

It should be noted that even below the thresholds, the fundamental principles of public procurement established in the EC Treaty (transparency, effective competition, non-discrimination and equal treatment) still apply. In addition, procurement law is further developed through the jurisprudence of the European Court of Justice. It is therefore important that project participants are well aware of the public procurement rules which are applicable to them and act accordingly. In case of doubts, project participants should contact their first level control body (FLCB) beforehand. Since procurement law is a complex matter, **project participants are strongly recommended to seek legal advice if needed**. This could be provided by the legal department of the project participant. Moreover, external procurement experts (e.g. lawyers) can be contracted to provide legal support and such costs are eligible for co-financing as long as the eligibility rules on programme and national level are obeyed.

Public procurement rules foresee different kinds of procurement procedures. In general it can be stated that the higher the value of a contract to be awarded, the stricter the procurement rules that have to be complied with (e.g. regarding the prior publication of a call for tenders or the possibility to invite a limited number of

² It should be noted that the procurement of works is rather uncommon in Alpine Space projects.



suppliers based on a market analyses).

The adherence to public procurement procedures has to be well documented in the framework of Alpine Space projects. Documents such as public procurement notes, terms of reference, offers, order forms and contracts have to be available for financial control and audit purposes. Thus, even where national public procurement rules allow for direct contracting for small contract values, the selection procedure has to be documented transparently (e.g. proof of market researches, documents tracing the selection of an operator and the awarding of a contract) and the observance of the principles of economic and efficient use of funds have to be proved.

It is recommended that, even where direct awarding is allowed, project participants still request offers from different providers or provide evidence of adequate market search before selecting one provider, in order to ensure an adequate level of transparency and of economical use of public funds. Also in these cases, prior contact with the FLCB is highly recommended to enquire the FLCB's expectations.

In-house contracting

Public procurement rules foresee very limited and well defined exceptions. One of these concerns the so called in-house contracting. These are contractual relationships established between an authority willing to purchase services/goods/works and a provider (legal person governed by private or public law) which is under the control of this authority (administrative control, control in terms of the activities performed and financial control). These contracts fall outside the scope of public procurement if all of the following conditions are fulfilled:

- the contracting authority exercises over the provider a control which is similar to the control exercised over its own departments; and
- more than 80% of the activities of this provider are carried out in the performance of tasks entrusted by the controlling contracting authority (or by other legal persons controlled by that contracting authority); and
- no direct private capital participation in the controlled provider is given. The only possible exceptions to this rule are forms of private capital participation that are required by national legislative provisions, in conformity with the EU Treaties, and which do not exert a decisive influence on the controlled provider.

This control may be exercised directly by a single contracting authority or jointly with other contracting authorities (for further reference see art. 12 (3) of the EU directive 2014/24/EU).



Before recurring to any exemption to public procurement rules, project participants should assess carefully whether the contractual relationships they intend to enter actually fulfil the stringent conditions set by public procurement rules. In case of doubts, the programme strongly recommends that public procurement procedures are followed and procurement experts are consulted.

Green public procurement and other horizontal aspects

Interreg Alpine Space strives for an innovative and sustainable development of the Alpine area. Public procurement rules allow for horizontal aspects such as the protection of the environment, social considerations (e.g. advancement of women, better integration of migrants) or the enforcement of innovation to be taken into account when purchasing a product, service or work. Project participants are thus invited to make use of this possibility whenever possible. These aspects may be integrated into public procurement procedures for instance by the following means:

- taking these horizontal aspects into account in the planning of the procurement or the specification of services (e.g. a study on a certain topic may take into account the different needs of men and women);
- setting specific selection and award criteria (e.g. preference given to equipment with low electric power consumption or assessment taking into account the life-cycle-costs of equipment when analysing the offers of the potential providers);
- including specific clauses in the contract with the provider of the service, good or work (e.g. foreseeing that certain tasks are performed through the involvement of disabled persons and establishing a contract penalty in case this is not respected).

It should be kept in mind that a balance is to be ensured between the promotion of these horizontal aspects and the need to provide fair conditions of competition for suppliers. Attention is thus to be paid that they do not result in a discriminatory treatment among providers of similar services/supplies/works.

Rules for private partners

The above mentioned Directive 2014/24/EU (article 2) lists the type of organisations that are subject to public procurement rules (i.e. State, regional or local authorities, associations formed by such authorities, bodies governed by public law and their associations³); other actors such as private companies, NGOs or other

³ As mentioned above, a definition of bodies governed by public law is provided in art. 2 of the Directive 2014/24/EU on public procurement and explained in the factsheet on 'Who can participate'.



associations of private bodies are normally not subject to public procurement law.

However, Alpine Space projects are co-financed with public funds and these funds shall be used in compliance with the principles of efficiency, economy and expediency. Therefore, Interreg Alpine Space sets simplified **programme rules** for procurements of those actors that are not subject to the EU Directive on public procurement.

Type of contractor	Estimated value of the contract, excluding VAT	Requirements
Private actors (e.g. private companies, NGOs or other associations of private bodies) that are not subject to the EU Directive 2014/24/EU on public procurement (i.e. <u>not</u> the State, regional or local authorities, associations formed by such authorities, bodies governed by public law and their associations)	EUR 5,000 or higher	Perform and document adequate market search (e.g. collecting offers from at least 2 different market operators, internet price comparison)
	EUR 50,000 or higher	Publication of terms of reference for the purchase on: - Interreg Alpine Space website

The purchase process of these private project partners shall be documented using a form provided by the programme.

2. Most common procurement errors

Experience made in ESI-funded programmes has revealed the following as being the most common procurement errors:

- Insufficient publication of procurement procedure (e.g. direct award without any prior notification, notification only on national or regional instead of EU-level)
- Imprecise definition of the subject-matter of the contract to be awarded
- Excessively short deadlines for the submission of tenders
- Mix-up of selection and award criteria



- Use of discriminatory or dissuasive selection or award criteria
- Unlawful splitting of contracts
- Use of wrong procurement procedure
- Unlawful application of exemption rules
- Unlawful negotiation during award procedure
- Modification of a tender or criteria during evaluation
- Unlawful substantial contract modification or purchase of additional works, services or supplies.

Project participants are therefore asked to pay special attention to avoid similar errors.

3. Enforcement of procurement rules and consequences in case of violation

For each project participant, the FLCB checks inter alia if the applicable procurement rules have been respected. Therefore, project participants have to ensure that any procurement procedure is orderly carried out and documented. Additional controls may also be carried out by auditing bodies of the programme, the EU or of the EU-Member State where the project participant is located.

Project participants risk losing ERDF financing if they cannot provide documentary proof of compliance with European, national, local and their own internal public procurement rules or with the programme rules on procurement mentioned above. If a procurement error is detected, the [Commission Decision C \(2013\) 9527, of 19 December 2013](#)⁴ or revised [Commission Decision C \(2019\) 3452, of 14 May 2019](#)⁵ on the guidelines for determining financial corrections to be made for non-compliance with public procurement rules, will apply. If non-observance of the programme rules for purchases by private partners is detected, a financial correction will apply of 10% of the value of the contract that is reported to the programme.

4. Where to find more information and support?

An overview on the applicable EU public procurement rules is available at the dedicated website of the European Commission:

- http://ec.europa.eu/growth/single-market/public-procurement/index_en.htm

⁴ For financial corrections launched before 14.5.2019

⁵ For financial corrections launched after 14.5.2019



Reference documents

- Directive on public procurement 2014/24/EU as amended by the Commission delegated regulations (EU) 2015/2170 and 2017/2365.
- Commission Decision C (2013) 9527 of 19 December 2014 on guidelines for determining financial corrections for non-compliance with public procurement rules.
- Commission Decision C (2019) 3452 of 14 May 2019 on guidelines for determining financial corrections for non-compliance with public procurement rules.

Annexes and related factsheets

- Purchase form for private project partners
- Procurement documentation: guidance for public project partners
- Factsheet Who can participate
- Factsheet What can be co-financed
- Factsheet Financial control system
- Factsheet Project greening



Procurement documentation

Guidance for public project partners

Contracting authorities (e.g. regional authorities or bodies governed by public law) that are subject to public procurement have the legal obligation to document in writing and in a clear and transparent way the procurements they carry out. Such an obligation derives from rules established by the EU, national, regional or local level, depending on the contract value of the procurement; certain institutions may even set stricter internal rules. The applicable rules may require the use of specific forms or regulate the minimum content which is necessary to document procurements. For further reference on public procurement, please read carefully Factsheet 4.2 'Public procurement'.

The present guidance has been developed by Interreg Alpine Space as a tool to support the documentation of procurements carried out by **public project partners** (including those governed by public law). It does not replace any of the applicable public procurement rules, forms or minimum requirements established by law. It rather serves as support for building a solid audit trail from the very beginning and for preventing that poor documentation results in the loss of funds at the later stage, when financial controls on the project will take place. Where the elements included in this guidance are already tackled by official forms used by a project partner or requested by the first level controller, it is not required to fill in this guidance tool in addition. Project partners are thus invited to proactively contact the relevant first level controller and consult them on the information/documents that are expected to be provided.



Information on contracting project partner

Programme	Interreg Alpine Space
Number and acronym of the project	Click here to enter text.
Name of project partner	Click here to enter text.
Address of project partner	Click here to enter text.

Information on procurement

PREPARATION OF PROCUREMENT PROCEDURE	
Type of institution <i>(for further guidance on which organisations are subject to public procurement please see factsheet 4.2)</i>	<input type="checkbox"/> Central government authority (such as ministries, or associations of such authorities)
	<input type="checkbox"/> Sub-central contracting authority (such as regions or municipalities, or associations of such authorities)
	<input type="checkbox"/> Body governed by public law (such as public funded research institutes, or associations of such bodies)
Type of procurement	<input type="checkbox"/> services <input type="checkbox"/> supply <input type="checkbox"/> works (if applicable)
Description of procured services, supplies (or works, if applicable) <i>(e.g. study on potential of natural resources in a certain area)</i>	Click here to enter text.
Estimated value of the contract excluding VAT at the time of launching the procurement procedure and considerations that have led to this estimation <i>(e.g. indication of sources used to identify the usual market price, how many person days have been calculated, what is the estimated duration of the contract, etc.)</i>	Estimated contract value excluding VAT: Click here to enter text.
	Considerations leading to that estimation: Click here to enter text.
If separate contacts have been awarded, the reasons for that shall be explained and justified (e.g. different expertise required) – no artificial splitting of contract shall take place	<div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> yes <input type="checkbox"/> no </div> Reasons: Click here to enter text.



Indication of the chosen public procurement <u>procedure</u> (e.g. open, restricted, negotiated, direct contracting, etc.), the <u>legal basis</u> (provision of relevant law or internal rule) and <u>reasons</u> that led to this choice	Procurement procedure applied: Click here to enter text.			
	Legal basis: Click here to enter text.			
	Reasons: Click here to enter text.			
In case of in-house contracting and cooperation between public organisations or any other exemption from procurement law was applied, indication of the applicable legal provision and relevant considerations	Exemption rule applied (e.g. in-house, public bodies cooperation, R&D-services, etc.) Click here to enter text.			
	Legal basis: Click here to enter text.			
	Justification: Click here to enter text.			
IMPLEMENTATION OF PROCUREMENT PROCEDURE				
Prior publication <i>(obligatory advertisement in media as foreseen by the applicable procurement rules or voluntary publication, including a clear description of the subject of the tender and a correct and sufficient deadline for submitting offers)</i>	Obligatory publication: (media used; date, duration and proof of publication (copy, screenshot, etc.); deadline for submission of applications/offers) Click here to enter text.		Voluntary publication: (media used; date and duration of publication, deadline for submission of applications/offers) Click here to enter text.	
Criteria and procedure used to identify the best or cheapest offer <i>indication of selection/award criteria, description and results of assessment</i>	Click here to enter text.		Click here to enter text.	
Applicants/bidders participating in the procurement procedure	<i>Name of company</i>	<i>Date of receipt of the offer</i>	<i>Offered price</i>	<i>Reasons for rejection or selection</i>
	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.



	text.	enter text.	enter text.	
Date and way of information to all involved applicants/bidders about the procurement decision	Click here to enter text.		Click here to enter text.	
CONTRACT IMPLEMENTATION				
All services or supply (or works where applicable) are delivered as planned and laid down in contract	<input type="checkbox"/> yes		<input type="checkbox"/> no	
			<i>Deviations and consequences (e.g. parts not delivered and thus less compensation paid to company)</i> Click here to enter text.	
If any, changes to the contract remain minor, the overall contract value still complies with the applicable public procurement rules and the nature and object of the contract remains fundamentally the same	<input type="checkbox"/> yes		<input type="checkbox"/> no	
	Description of changes (e.g. some minor additional services needed, performed and paid) Click here to enter text.		<i>If changes are <u>not</u> minor ones a new procurement procedure has to be launched</i> <i>Indication on such new procurement procedure (e.g. reference to relevant written documentation)</i> Click here to enter text.	
AUDIT TRAIL				
Full documentation of the procurement and contracting available, especially: - terms of reference - request for offers or procurement publication/notice - offers/applications received - evaluation/selection report - letters of acceptance and rejection - contract, including any amendments and/or renewals - evidence that the payments made match the contract (invoices and proof of payment) - proof of delivery of goods or services	<input type="checkbox"/> yes		<input type="checkbox"/> no	
			Comments: Click here to enter text.	



Purchase form

Template for private project partners

The following template has been developed by the Alpine Space programme to support the documentation of procurements carried out by **private project partners** with an estimated contract value of 5.000 Euro (excluding VAT) or higher. The template is connected to Factsheet 4.2 'Public procurement'. Please read the factsheet carefully when planning to procure services or supplies (or works, where applicable).

Please be aware that the information collected in this form is a **minimum requirement** for private project partners to properly document the purchase process in the context of Alpine Space projects. The document has to be kept as part of the audit trail. It will be used for the purposes of financial verifications by the relevant programme bodies (e.g. first level control body, second level controllers, etc.) but it is not required to provide it to the JS or MA with the reporting documents, unless this is explicitly requested. Other purchase forms already in use in the project partner organisation may of course still be used, provided that they include all information that has to be documented according to the present form.



Purchase form for private project partners

Information on purchasing private project partner

Number and acronym of Alpine Space project	Add text here
Project partner name	Add text here
Project partner address	Add text here

Type and object of awarded contract

Type of contract	Choose an item.	Estimated contract value, excluding VAT (in euro)	Add text here
Description of procured services, supplies (or works, if applicable)	Add text here		
Reasons for estimation of contract value¹	Add text here		

¹ Please indicate here how you calculated the estimated contract value (net of VAT), e.g. estimated number of work-days and travel costs for a service procured; how you estimated the fee per day.



Award procedure

Note: Private project partners may directly award small contracts with a value of lower than 5.000 Euro (excluding VAT).

For contracts with a value of 5.000 Euro (excluding VAT) or higher adequate market search has to be documented (e.g. internet price comparison, collecting offers from at least 2 different companies).

For contracts with a value of 50.000 Euro (excluding VAT) or higher the publication of terms of reference on the website of the Alpine Space programme is **obligatory** and has to be documented.

<p>Type of award procedure</p>	<p><input type="checkbox"/> Collection of at least two offers from different market operators</p> <p><input type="checkbox"/> Internet price comparison</p> <p><input type="checkbox"/> Other type of market search (e.g. quotes from recent, similar purchase) Please specify: Add text here _____</p> <p><input type="checkbox"/> Publication of terms of reference on ASP website. Please indicate here when it was published and which deadline you foresaw for offers to be submitted to you (appropriate time according to type of purchase and at least two weeks should be foreseen – see Factsheet 4.2.) Add text here _____</p>
<p>Criteria for selecting the offer²</p>	<p>Choose an item.</p> <p><i>* If you have selected the most economically advantageous offer, please list here the sub-criteria applied.</i></p> <p>Add text here _____</p>
<p>Remarks (if relevant)</p>	<p>Add text here</p>

² There are two possible selection criteria: 1) Contracts can be awarded to the company offering the lowest price. In this case, the contract will be awarded to the cheapest bidder (most suitable for supply contracts such as purchase of computers or other equipment). 2) Contracts can also be awarded to the company with the most economically advantageous offer (advisable in case of more complex services of higher contract value). In the latter case, please foresee a set of sub-criteria before starting the purchase procedure, inform potential bidders about them and apply them when assessing the offers (examples of sub-criteria may be the qualification of persons that shall deliver a service; methodology; price; quality).



Assessment of offers

*In case several offers were asked for or have been received, please list and assess the offers here.
Add lines where necessary*

Name of company	Offered price excluding VAT (in euro)	Results of assessment of the offer
Add text here	Add text here	Add text here
Add text here	Add text here	Add text here
Add text here	Add text here	Add text here
Add text here	Add text here	Add text here
Add text here	Add text here	Add text here
Add text here	Add text here	Add text here

Award of contract

Name of company	Add text here	Contract value, including VAT (in euro)	Add text here
Justification of award	<i>Describe here the reasons why the contract was awarded to this company</i> Add text here		

Date and place

Add text here

Function of the signatory

Add text here

Official stamp of the project partner (if it exists)

Signature of person responsible for the purchase

Add text here

Full name of the signatory

Add text here



FactSheet

No. 4.3

State aid

Table of contents

1. What is State aid?	2
Transfer of State resources.....	2
Economic advantage.....	3
Selectivity.....	3
Effect on competition and trade.....	4
2. Alpine Space projects and State aid rules	4
Project generation.....	5
Project development and application.....	5
Project evaluation and selection.....	6
Project implementation, financial control.....	6
Reference documents	7
Annexes and related factsheets	7



The European Commission (EC) encourages Member States and regions to take action for strengthening the competitiveness of the regional economy. Assistance from the State to individual companies/market operators is an important instrument to reach this objective. However, such measures may distort competition if they discriminate between companies/market operators that receive assistance and others that do not. As such, they could present a threat to the operation of the internal market. Therefore, the EU has set up a legal framework which defines the limits under which public assistance can be granted to companies/market operators. The basic rules on State aid are set out in art. 107-109 of the Treaty on the Functioning of the European Union (TFEU). These rules have been complemented over the years by secondary legislation and decisions of the European Court of Justice.

State aid rules are also relevant for European structural and investment funds (ESI) programmes since the ESI-funds regulate that co-financed projects shall comply with applicable Union and national law (see article 6 of Regulation (EU) 1303/2013).

This factsheet provides basic information on the legal framework on State aid as well as on the measures taken by the Alpine Space programme to ensure that these provisions are obeyed throughout the various phases of generation, selection and implementation of projects.

1. What is State aid?

Public aid may be granted to different beneficiaries and take different forms. Public aid becomes relevant for State aid rules only if all of the criteria listed below are satisfied. If one single criterion is not fulfilled, the assistance granted is not subject to the EU rules on State aid.

Transfer of State resources

State resources must be considered in the wide sense of any public resources. This includes EU, national, regional or local public funds. It also includes those cases where public resources are granted by a private or public intermediate body on behalf of a public authority (for instance a private bank that is given the responsibility of managing a State funded aid scheme). State aid may take different forms: it is not limited to grants but it also includes interest rate rebates, loan guarantees, accelerated depreciation allowances, capital injections, etc.



Funds granted in the framework of the Alpine Space programme (ERDF co-financing and national contributions) are also to be regarded as State resources. Therefore, this criterion is to be considered as met for any Alpine Space project.

Economic advantage

This criterion is fulfilled when the aid gives an economic advantage to an undertaking that would not have arisen in the normal course of business. Such an economic advantage can be assumed if the undertaking does not apply any market-driven consideration (e.g. it promises to create jobs in return for State funds received or it buys land from the State for a price lower than the market price). No such advantage is to be assumed if a private investor would have acted in the same way as the State when granting an advantage (e.g. a region participates in a company under the same conditions as a private actor would do). No such advantage is given if it is passed on to someone else; for Alpine Space projects this means that State aid relevance might not only be given on the level of the project participants but could also be given at the level of the project's target group (indirect State aid): e.g. a project partner offers trainings for free to companies in its region and therefore the advantage is passed on to the latter.

The term "**undertaking**" is to be interpreted in accordance with EU law. Thus, the definition set up by the European Court of Justice is decisive: it interprets the term "undertaking" in a wide sense as any entity which exercises an activity of an economic nature and which offers goods and services on the market, regardless the legal form and the way of financing of this entity. Also if an entity is not profit-oriented, State aid rules will apply as long as it competes with companies that are profit-oriented. Therefore, not only private companies are subject to State aid rules but also public authorities and bodies governed by public law¹ as far as they carry out an economic activity on a market.

The presence of an economic advantage and whether a legal person acts as an "undertaking" in an Alpine Space project will be carefully assessed by the programme bodies.

Selectivity

State aid is selective and thus affects the balance between certain companies/market operators and their

¹ A definition of bodies governed by public law is provided in art. 2 of the Directive 2014/24/EU on public procurement. See also the factsheet on 'Who can participate'.



competitors. “Selectivity” is what differentiates State aid from the so called “general measures”, namely measures which apply without distinction to all enterprises, in all economic sectors, in a Member State (such as most nation-wide fiscal measures). The selectivity criterion is also satisfied if the aid applies to only part of the territory of a Member State (this is the case for all regional and sectorial aid schemes). As part of measures focusing on a specific transnational area (the Alpine Space) or specific economic sectors, this criterion might be met by Alpine Space projects.

Effect on competition and trade

This criterion is fulfilled if an aid has a potential effect on competition and trade between EU Member States: it is thus sufficient that the beneficiary is involved in an economic activity and that it operates in a market in which there is trade between Member States. Thus, this criterion might be met by Alpine Space projects.

2. Alpine Space projects and State aid rules

Due to the nature of the activities carried out, projects typically implemented in the framework of a European Territorial Cooperation programme are rarely State aid relevant. Should State aid relevance be given, the Alpine Space programme might ask the project participants to exclude certain activities from the project proposal or to take other measures in order to remove State aid relevance.

Only in exceptional cases (i.e. a project proposal best serves the programme’s objectives if certain activities are implemented although being State aid relevant), the ERDF co-financing given by the programme to the relevant project participant(s) will be granted under the **de minimis aid**, as set out in Commission Regulation (EU) 1407/2013. According to this Regulation the total amount of *de minimis* aid granted per Member State to a single undertaking cannot exceed EUR 200,000 (cash grant equivalent) over any period of three fiscal years (lower aid is allowed for the road transport sector).

By ‘**single undertaking**’ the Regulation means all enterprises having at least one of the following relationships with each other:

- (a) one enterprise has a majority of the shareholders’ or members’ voting rights in another enterprise;
- (b) one enterprise has the right to appoint or remove a majority of the members of the administrative,



- management or supervisory body of another enterprise;
- (c) one enterprise has the right to exercise a dominant influence over another enterprise pursuant to a contract entered into with that enterprise or to a provision in its memorandum or articles of association;
 - (d) one enterprise, which is a shareholder in or member of another enterprise, controls alone, pursuant to an agreement with other shareholders in or members of that enterprise, a majority of shareholders' or members' voting rights in that enterprise.

Enterprises having any of the relationships referred to in points (a) to (d) through one or more other enterprises shall also be considered to be a single undertaking.

It is the overall responsibility of the managing authority (MA) to safeguard that Alpine Space projects comply with the applicable State aid regulations and that the above mentioned basic principles of the programme are observed. Since specific knowledge of the concrete market situation or project participant in the relevant Member State is necessary to judge if a project complies with State aid rules or not, the MA is supported by the relevant programme bodies and authorities in these Member States (e.g. joint secretariat (JS), national co-ordinators, first level control coordination bodies, first level control bodies (FLCB), Alpine Space contact points (ACP)).

The programme has taken measures to ensure the observance of State aid rules in each single phase of the project life-cycle. They are summarised in the paragraphs below.

Project generation

When generating a project idea, project applicants are invited to get in contact with the programme bodies, namely the JS and the ACP to receive assistance. These bodies can provide first information on State aid matters and, where necessary, might assist project applicants in getting in touch with experts in this field in their country in case of questions.

Project development and application

In this phase, the project applicant and the envisaged project activities will be more concretely identified. Project participants shall be aware that it will be their responsibility to pre-assess if their project activities fall under the scope of State aid regulations. Also at this stage, they should seek assistance from the



programme bodies (such as JS and ACP) to spot possible incompatibilities of project activities with State aid rules and to get guidance on possible measures to ensure that the project is implemented in line with State aid law. In several Member State, experts on State aid are working in the respective public authorities. It is recommended that project participants get in touch with these experts to receive assistance. They can also contract experts such as lawyers to clarify State aid questions - such costs are eligible for co-financing as long as the eligibility rules on programme and national level are obeyed.

Project applicants shall bear in mind that sometimes State aid relevance can be removed by adapting the activities of the project.

Project evaluation and selection

The observance of State aid rules will be carefully checked in the course of assessment of project proposals, at both stages of submission of the expression of interest (EoI) and the application form (AF). The MA/JS will assess the projects with regard to State aid and may also involve experts in case of doubts. When approving a project for co-financing, the programme committee (PC) may decide to ask the project participants to exclude or change certain activities to ensure that the ERDF-subsidy granted to the project is in line with State aid rules. The PC may also decide to grant State aid within the *de minimis* rule. In this case and before the ERDF-subsidy is granted, the beneficiary will be requested to provide an honour declaration stating whether the limits foreseen by the Regulation have been exceeded (see template provided by the programme).

Project implementation, financial control

It is the responsibility of the FLCB to verify if the project is implemented in line with applicable State aid rules and according to the indications of the programme committee. In case the FLCB comes to the conclusion that these rules have been violated, the relevant costs are not eligible for co-financing. In addition, a project may be audited by the programme bodies or responsible authorities at the EU and national level. During these audits the observance of State aid rules will be checked as well. In case of any detected violation of these rules the project will have to repay any ERDF-funds already received for the related activities / participants.



Reference documents

- Art. 107-109 of the Treaty on the Functioning of the European Union (TFEU)
- Regulation (EU) 1303/2013 on common provisions on ESI funds
- Website of the European Commission, DG Competition:
http://ec.europa.eu/competition/state_aid/overview/index_en.html
- Regulation (EU) 1407/2013 on *de minimis* aid

Annexes and related factsheets

- Factsheet on Project generation
- Factsheet on Who can participate
- Factsheet on What can be co-financed
- Factsheet Financial control system
- Template of *De minimis* declaration



De minimis aid declaration

Template

Information on *de minimis* aid received

Please complete this declaration of previous State aid received under the *de minimis* rule. For information on what State aid is and the rules for *de minimis* aid, please refer to factsheet 4.3 'State aid' of the Interreg Alpine Space programme. Please read the factsheet carefully before filling in the declaration. Pay particular attention to the definition of 'single undertaking' that is provided in the above mentioned factsheet.

Please note that having received previous aid under the *de minimis* Regulation does not automatically disqualify you from receiving further *de minimis* aid in the framework of Interreg Alpine Space.



Declaration on *de minimis* aid ¹

I, the undersigned, and legally representing **name of the undertaking** [**NACE code**]² which is involved in the project **project number** **project acronym**, declare that (*please select the applicable option*):

the undertaking I represent and all other undertakings belonging to the same group as my institution (i.e. single undertaking³) **have not received** any contribution falling under the *de minimis* Regulation during the previous three fiscal years (this being the current fiscal year and the previous two fiscal years);

OR

the undertaking I represent and all other undertakings belonging to the same group as my institution (i.e. single undertaking) **have received** the following contribution(s) falling under the *de minimis* Regulation during the previous three fiscal years (i.e. the current fiscal year and the previous two fiscal years):

(If you need more lines, please contact the JS)

State in which <i>de minimis</i> aid was granted	Organisation granting <i>de minimis</i> aid	Form of grant ⁴	Date of grant ⁵ (DD/MM/YY)	Amount of aid in EUR (gross grant equivalent) ⁶
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
			TOTAL	Click here to enter text.

¹ Regulation (EU) 1407/2013 on *de minimis* aid (the '*de minimis* Regulation').

² The Nomenclature of Economic Activities (NACE) is the European statistical classification of economic activities. NACE groups organisations according to their business activities. NACE codes are available at the following link:

http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_NOM_DTL&StrNom=NACE_REV2&StrLanguageCode=EN&StrLayoutCode=HIERARCHIC&IntPcKey=

³ Article 2(2) of the *de minimis* Regulation defines which undertakings are considered as a single undertaking (and therefore belong to the same legal group). This definition is set out in the factsheet 4.3 'State aid'. Please check it carefully.

⁴ Aid may be granted in the form of e.g. grants, guarantee, loans, etc. Please specify which form of grant has been received.

⁵ The date of grant of the aid is the date when the legal right to receive the aid is conferred to the undertaking.

⁶ If the aid is provided in a form other than a grant (e.g. loan), the gross grant equivalent has to be indicated. Gross grant equivalent means the amount of the aid, had it been provided in the form of a grant, before any deduction of tax or other charge.



I declare in addition that the **name of the undertaking** (please select the relevant option in case this is applicable):

did not receive any other State aid for the same eligible costs;

OR

has received the following State aid for the same eligible costs;

(If you need more lines, please contact the JS)

State in which the aid was granted	Organisation granting the aid	Form of grant	Legal basis for the aid ⁷	Aid intensity ⁸
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
TOTAL				Click here to enter text.

I acknowledge that untruthful/false declarations can be prosecuted under the applicable penal code, in addition to leading to administrative sanctions and the obligation of reimbursing any unduly received aid.

Date and place

Click here to enter text.

Signature

Function of the signatory

Click here to enter text.

Full name of the signatory

Click here to enter text.

Official stamp of the undertaking (if it exists)

⁷ Please indicate the EU Regulation with the relevant article based on which the aid was granted or the EC Decision approving the notified aid.

⁸ Please indicate the gross aid amount expressed as a percentage of the eligible costs, before any deduction of tax or other charge.



FactSheet

No. 4.4

Project communication

Communication is key to the success of Alpine Space projects, as it helps to build strong relationships with target groups and stakeholders and supports the achievement of the project and programme objectives. Project applicants should therefore integrate communication at the core of their project. This should also be reflected in the project proposal. In order to encourage projects to plan and implement their communication activities strategically, all Alpine Space projects are required to develop a communication strategy. Chapter 1 of this factsheet provides guidance on how this should be done.

Chapter 2 focuses on the formal requirements that all projects have to follow when implementing communication activities, as stated in regulation (EU) No 1303/2013 and article 7 of the subsidy contract (SC). Being co-financed by public funds, projects must make their funding source public for transparency reasons.

The [corporate design manual for Alpine Space projects](#) (see chapter 3) provides guidance on project logos and branding. The Interreg Alpine Space is part of the Interreg brand¹ which is expected to increase the visibility and recognition of the Interreg programmes. It accordingly changed its logo to the Interreg logo which is harmonised with other programmes. Projects logos will be based on the Interreg Alpine Space logo.

¹ A brand harmonisation initiative of European territorial cooperation programmes for the period 2014-2020, which was coordinated by INTERACT. The Interreg brand was adopted by the Interreg Alpine Space in 2014. Learn more.



Contents

1. Communication strategy	2
Why?	2
What?	3
How?	3
2. Communication requirements	5
Never without our logos!.....	5
We got our project co-financed, and we show it!	5
We're online most of the time!.....	6
Come and have a look!	7
Only smart promotional material!	7
Last but not least, spread the news!	8
3. Corporate design manual for Alpine Space projects	8
Reference documents	9

1. Project Communication strategy

Why?

The projects funded by Interreg Alpine Space contribute to the achievement of the programme objectives and horizontal principles by answering their stakeholders' and target groups' needs as described in the programme's intervention logic (see factsheet "Quality requirements and contents"). They set up a joint work plan and coordinated measures to achieve and deliver outputs in order to realise the set objectives.

Communication is present in all sections of the project work plan in the application form (AF) – in the communication work package but also in the other work packages – with the following rationale:

- + If communication helps to coordinate the partnership (e.g. for getting common understanding, capacity building, etc.), then activities are management related and listed in the management work package.
- + If communication supports the achievement of planned outputs (e.g. by informing or networking with the target groups), then activities are thematic and listed in the thematic work packages (cf. AF section C.5, "How will you involve the selected target groups in the development of outputs?").



- + If communication supports the transfer of outputs or results to target groups not directly involved in the project (e.g. through events or lobbying), then activities add value to the achievements. They are indicated in the output transfer box in the thematic work packages, and gathered and coordinated in the communication work package.

All these elements should be put together into a plan, a strategic framework to ease the organisation of the communication activities. This framework is the communication strategy of the project.

What?

The communication strategy should be a short and clear document so as to easily involve all project participants in its implementation process. It should include a short description of all management-, thematic-, and result-related communication activities (see above rationale), and be completed with a timeline and budget estimation. It should be approved by the project steering group within the first months of project implementation. The communication manager of the programme can be contacted at any stage for support in the elaboration of the document.

How?

The communication strategy should support project management and thus be linked to the specific objectives of the project, which is why these are featured automatically in the communication work package.

From the project objectives to the concrete communication activities, there is a logic process following several steps of strategic definition in order to reach the identified target groups:

- + For each of the objectives, one or two communication objectives should be defined, which are relevant in relation to its target groups.
- + Approaches refer to the different types of interaction between communication players (all project participants) and the audience. The same approach might be relevant for several objectives, while one objective could also be reached through the implementation of several approaches.
- + The concrete implementation of an approach is an activity. The activities are described in the AF and illustrated by deliverables.



A visual presentation of this hierarchical structure may be found below:



Here is an example of a fictional project having as overall objective: “Enhance the use of renewable energies in the Alps”



At the start of the project implementation phase, the project participants should further develop their communication strategy on the basis of the above matrix, and complete it with a timeline and budget estimation for each activity.



Detailed guidance on strategic communication planning and implementation will be given at the communication seminar for approved projects.

In all communication activities, project participants must respect the programme's communication requirements.

2. Communication requirements

The EU and programme requirements are listed and explained below. Correct application of these requirements will ensure that the project communication activities can be co-financed by the programme.

Never without our logos!

Project logos will be based on the programme logo. Projects may choose one of the following options:

- + a simple logo with the project name (will be provided by the JS),
- + a customised logo with a design element (to be developed by the project).

If projects choose to develop a customised logo, the design rules outlined in the [corporate design manual for Alpine Space projects](#) (see chapter 3), have to be followed.

The project logo must be featured on all promotional material, presentations, print material, or any other communication activity that the project organises (cf. SC article 7).

If other logos are displayed in addition to the project logo, the European Union emblem (i.e. the flag in the Interreg logo) shall have at least the same size, measured in height or width, as the biggest of the other logos.

We got our project co-financed, and we show it!

ERDF claim

In addition to the project logo, all communication materials and products must display a statement acknowledging the European Regional Development Fund (ERDF) as a co-financing source. Projects must make sure to insert the reference to the ERDF in all documents and products. They may either use the sentence "This project is co-financed by the European Regional Development Fund through the Interreg Alpine Space programme" (cf. SC article 7) or include the ERDF reference directly in the project logo with the text "EURO-



PEAN REGIONAL DEVELOPMENT FUND” (see corporate design manual page IV-VI). The height of this line (height of the capital letters) is the same as for “European Union” under the flag. Guidance on how to display the ERDF claim can be found on page X of the [corporate design manual for Alpine Space projects](#) (see chapter 3). The ERDF claim must be visible, readable, and (if not included in the logo) written in a bigger font size than 7,5.

Project information on project partners’ websites

Every project partner must display on their organisation’s website the following information about the project:

- + The project logo,
- + A short project description including its aims and results,
- + The financial support (amount and ERDF claim – see above),
- + A link to the project website.

Project poster

Each project must produce a poster (minimum size A3) with information about the project, the project logo and information about the ERDF co-funding of the project. This poster must be displayed at each project participant’s premises, at a location readily visible to the public, such as the entrance area of a building.

A template with the minimum requirements of the poster can be found in the [section “communication material for projects”](#) of the programme’s website. This template has to be used as a basis for the poster. The projects are free with regards to the rest of the design.

We’re online most of the time!

In order to increase not only the visibility but also the sustainability of results, project websites are integrated and hosted on the programme website as sub-websites with features tailored to project needs. A template structure with the following subpages will be offered, to which projects can add further pages and content elements:

- + Homepage,
- + About the project,
- + News and events,
- + Project outputs and results,
- + Partnership and contacts.



There are **no costs** for the projects to create, host and maintain their websites as this service is offered by the programme. However, in case a project develops a specific product or specific activities, an additional website or online platform may be developed for targeted branding purposes, as long as its sustainability is ensured.

The Alpine Space projects are given webmaster rights to set up and maintain their website (staff costs should be planned for this task). Project websites must be online within six months after approval, and need to be updated on a regular basis (cf. SC article 7). All outputs have to be published on the project website. Detailed guidance (manual) and training on how to set up the sub-websites is provided by the Joint Secretariat (JS) after project approval.

Come and have a look!

All projects are required to plan at least one public final event to present the results achieved during their implementation phase (cf. SC article 7). The event must be held in English, additional languages are allowed. The type of event should be tailored to the projects' target groups. Project participants should apply the greening principles and guidance outlined in factsheet "Project greening" when organising events.

Only smart promotional material!

Promotional materials are branded items which are distributed to raise awareness of stakeholders on a particular project, whereas communication products are either not distributed (roll-ups or banners) or include content information on the project (e.g. a brochure or a flyer).

Promotional materials may be produced only if they appear to be strictly necessary to project communication activities and if they clearly serve the objectives of the project communication strategy. They should respect greening principles (see factsheet "Project greening") and the first question that should be asked before the production is: "Do we really need this?". Their cost and the quantity produced should be reasonable and justified.

All promotional material must be branded with the project logo and the ERDF claim (cf. Subsidy contract article 7).



Products from the following list may be produced if strategically required by the projects' communication activities:

- Cardboard conference folders
- Note blocks
- Pens
- USB sticks (only if the project presentation / material / outputs are uploaded, not empty)

Items not included in this list may be eligible only if agreed by the JS. The project should thus contact the JS before making the purchase of such items, in order to receive confirmation that the relevant costs can be accepted and to avoid any rejection during project monitoring.

Communication products, as well as publications containing information on the project and its results are not considered as promotional material and are, thus, not subject to the above restrictions.

Last but not least, spread the news!

The best way to communicate project purpose and achievements to a targeted and/or a broader audience is to address the media and use social media. Many activities can be organised to attract the media: from the writing and dissemination of a press release to press conferences and press field trips, etc. All documents and materials produced for the media must include the project logo and ERDF claim. The social media are a very good channel especially to reach project stakeholders and create a community around the project's objectives and results.

Advice and hints for quality media and social media activities can be found in the project communication toolkit, in the [section "communication material for projects"](#) of the programme's website.

3. Corporate design manual for Alpine Space projects

This manual contains all rules and guidelines for the correct use of Interreg Alpine Space project logos and corporate design elements for project communication. Alpine Space project participants are required to apply these rules to ensure co-financing of their communication activities.

The corporate design manual for Alpine Space projects is available [here](#).



Reference documents

- Subsidy Contract
- Factsheet 0: Quality requirements and contents
- Factsheet 4.8: Project greening
- [Section “Communication material for projects” of the Interreg Alpine Space website](#)



FactSheet

No. 4.5

Ownership of project outputs and intellectual property rights

The Alpine Space programme co-finances projects that respond to common challenges of the programme area or build on its assets. Essential improvements can be achieved only if the outcomes of projects and their results are widely disseminated and the lessons learnt can be taken up and developed further by other players in the Alpine area. The capacity to transfer project outputs to a wider circle than the project partnership and to contribute to long term use of project outputs and the expected impact on target areas and groups are key features of the projects co-financed by the Alpine Space programme. Moreover, it is in the very nature of cooperation projects that different partners with different backgrounds, mindsets and interests come together. For all these reasons the proper management, dissemination and when applicable also protection of knowledge and knowhow should be ensured in all phases of a project, be it in the application, implementation or closure phase.



Issues to be considered during project generation and application

When a project is being developed the potential project partners should identify the data, know-how or information whatever its form or nature, tangible or intangible, including any rights – such as intellectual property rights – which they intend to bring into the project (e.g. scientific studies, methods, materials). The project applicants shall define if these data, know-how or information are needed for the successful project implementation and in this case also regulate the access of the other partners to these elements and for this purpose. Project applicants should also bear in mind potential rights of third parties that may be needed for the project and ask for authorisation to use them. Costs related to intellectual property rights (e.g. fees to be paid for access rights) can be eligible for co-financing and thus should be considered in the project budget.

When project idea and possible work share are discussed in depth with potential project partners any misappropriation can be avoided by concluding a memorandum of understanding that identifies relevant information that shall be treated confidential and foresees possible sanctions.

When elaborating the project application, the project applicants shall describe their strategy to ensure that project outputs are made available to a broader public and that relevant stakeholders are involved from the early project stages and will take over the project outputs.

Issues to be considered during project implementation

As a general principle and in the spirit of cooperation and exchange, project outputs (e.g. studies, policy recommendations, good practice guides) are expected to be made available to the general public free of charge and to be actively disseminated. The programme supports and fosters the dissemination of project outputs and results amongst a wide European public. Therefore, the managing authority (MA), the joint secretariat and the Alpine Space contact points will also make use of projects achievements for information and communication purposes.



By nature, several partners might be involved in the generation of project outputs. In this case “joint ownership” of outputs may arise. It is the programme’s ambition to ensure that each project participant may use what other participants have produced in the course of the project. To this end, each project participant is expected to grant a simple, nonexclusive right of use of any produced work of authorship to all other project partners. It is the responsibility of the lead partner (LP) to safeguard that such a right of use is granted to all project partners.

In case companies or other undertakings will operate/maintain the project outputs (e.g. an IT platform, database or other), these undertakings have to be selected in a non-discriminatory and transparent way. This is of the responsibility of the LP and project partners.

Provisions regulating what is described above are included in the template for the partnership agreement (PA) which shall be used by the project participants and the subsidy contract which the MA will conclude with the LP (see article 11 of the partnership agreement and 13 of the subsidy contract).

Of course the project proposals are of very different nature and in some projects intellectual property (IP) might be a bigger issue than in others (such as projects with research partners); or it could happen that a project partner develops or acquires IP in parallel to the project work and thus it could be useful to define access rights to it for the purpose of project implementation. For this reason, project applicants are always free to add further rules on these above-mentioned issues. But these rules shall not contradict the relevant EU regulations, programme rules and other provisions of the PA. That is why they shall be coordinated with the MA beforehand (see factsheet 3.1. partnership agreement).

The risk of potential conflicts among the project partnership on the ownership and use of outputs can best be minimised by an open discussion of the varying interests of the project partners from the very beginning of the project lifecycle.



Issues to be considered during project closure

Even though issues related to project outputs shall be considered already in the project generation phase the full range of project outputs will only be available towards the end of a project. Thus, questions concerning further dissemination and exploitation of project outputs and results gain even more importance in that project phase. Project participants have to showcase and present the project outputs and results and this will be decisive for the project success and uptake of its outputs by the policy makers. Furthermore, project partners shall be aware that obligations stemming from the PA and subsidy contract concerning the project outputs and communication will remain in place beyond the official project lifetime. Before taking concrete measures to exploit the project outputs project partners should always make sure not to violate any provisions laid down in the programme rules, subsidy contract and PA.

Reference documents

- Subsidy contract
- Partnership agreement

FactSheet

No.

4.6

Project changes

Projects are implemented according to the approved application form (AF), which is a binding document. During their implementation, however, projects might face the need to modify some elements to adapt to actual developments. Interreg Alpine Space has defined standardised rules for changes of approved projects (articles 8, 9 and 10 of the subsidy contract). This factsheet provides guidance on the type of changes allowed within an approved project and the relevant steps and procedures to be followed. Projects are invited to take contact with the JS in case questions arise or further guidance is needed.

Type of changes

Changes may have a minor or major impact on a project. Changes to elements such as contact details, deliverables, or the location of a conference are considered as minor and can be reported to the programme through the reporting procedures. When changes concern a core element of the project (e.g. output indicators, main activities, partnership), they require a formal request for change to be submitted to the JS as well as the prior approval of the relevant programme body (see below). The basis for the project changes is the latest approved AF. The programme distinguishes between:

- changes in the project content,
- changes in the budget,
- changes in the project's duration,
- changes in the partnership.



Changes in the project content

Changes of minor entity to the content of a project (e.g. the rescheduling of activities, changes in the communication tools used, etc.) can be made by providing information and a justification on the reasons for change in the relevant project report.

Major changes in the project's activities, outputs and/or results require the prior approval of the programme committee (PC). These changes have to be justified in a formal request for change.

Changes in the budget

Changes in budget are allowed as long as the maximum amount of ERDF co-financing awarded to the project is not exceeded and certain conditions are also fulfilled, as described below.

Projects are allowed flexibility in the spending of their ERDF budget up to a maximum of EUR 10,000 or 20% (whichever is greater) of the project work package, budget line or project partner ERDF budget, as stated in the latest approved version of the AF. To this end they are requested to report and justify these deviations in the relevant project report. It remains the duty of the lead partner (LP) to monitor compliance with the above mentioned thresholds and the overall ERDF co-financing.

Examples	ERDF amount approved in AF (latest approved version)	Flexibility rule: max EUR 10,000 or 20% of original amount (project ERDF not exceed)
Work package X	EUR 200,000	max EUR 240,000
Budget line Y	EUR 0	max EUR 10,000
Partner Z	EUR 160,000	max EUR 192,000

Reallocations exceeding these thresholds are only allowed once during the project duration or in duly justified cases. They require prior approval of the JS (on behalf of the managing authority (MA)). In this case, the LP has to timely submit a request for changes to the JS.

Projects should be aware that changes to the budget allocation per period are not allowed as this is the basis for the programme spending targets towards the European Commission; failing to meet such forecast would entail a budget reduction for the programme (for further details, please refer to factsheet 3.3 "Decommitment of funds"). This is why the budget allocation per period cannot be changed at project level.

Changes in the project's duration

Projects should put their efforts in completing their activities successfully and within the time set in the AF. To this end, measures should be put in place by the LP and project partners to identify and tackle possible delays at an early stage. Projects are also requested to inform the JS in case of difficulties that may lead to significant delays in the delivery of activities (e.g. through the project reports, direct contact with the JS).

If, despite this, projects are not in the position to comply with the approved end date, they may request an extension of the project duration through a request for changes. The request for changes in project duration requires prior approval by the JS. Projects should be aware that extensions of project duration are limited to exceptional and well justified cases and in any case cannot exceed six months. They cannot exceed the programme duration, either. Therefore, projects approved towards the end of the programme must pay particular attention to a timely delivery of their activities.

Changes in the partnership

The partnership is a core element of a project and changes to its composition should therefore be limited as much as possible. They are anyway always subject to a request for change procedure and the prior approval of the relevant programme body. In addition, the programme has set minimum requirements for the composition and number of project partners (see factsheet 1.2 "Who can participate"). Stricter partnership requirements may also be stated in the terms of reference of a specific call for proposals. Projects should be aware that if the minimum number of partners is no longer ensured, the MA is entitled to withdraw from the SC.

Changes in partnership may concern:

- the withdrawal of a partner
- the integration of a new partner

In case a project partner withdraws from the project, the remaining partners should undertake all possible measures to find a rapid and efficient solution to ensure the further proper implementation of the project. They should ensure that the responsibilities and project tasks of this partner are taken over by a new partner (ideally from the same country) or are reallocated within the existing partnership. Projects should take contact with the ACP network, which can help in searching for a new project partner.



A project may also request the inclusion of an additional partner (without any partner withdrawal). This is in principle possible where the added value for the implementation of the project is demonstrated.

All changes to the project partnership (a simple change in the name of a partner is not considered as a partnership change whenever the competences and legal status remain the same) require the submission of a request for change describing the new allocation of activities and budget. The LP has also the responsibility of informing the JS in a timely manner of the eventuality of such changes. The request for change is checked by the JS, in coordination with the ACP where relevant; its approval is a competence of the PC. Any modification to the partnership agreement (PA) has to be sent to and approved by the MA.

In case of withdrawal, the costs of a project partner are only eligible and can be co-financed until the date of its withdrawal as communicated by the LP to the JS; the eligibility of these costs is also subject to the confirmation from the LP and assessment from the JS that the contribution of this partner can be used for the project by the remaining project partners. Despite its withdrawal, a project partner still has the obligation of keeping all relevant files, documents and data for the audit trail (see factsheet 1.4 “What can be co-financed”).

Request for changes

All changes in the table below are subject to a request for changes procedure. As a first step, the LP has to timely inform the JS via e-mail of the upcoming project change. This is checked by the JS and if the proposed changes are deemed acceptable in principle, the following steps are dealt through the programme electronic monitoring system (eMS). Through the eMS, the JS will open for the LP the possibility of describing the necessary changes and adapting the AF accordingly. Once completed, the LP will have to submit its request for changes (including the revised AF) through the eMS. The request is checked by the JS, in coordination with the ACP where relevant (i.e. in case of integration of a new partner).

Type of change	Body in charge of approval
Major changes in the project’s content	PC
Changes in ERDF budget, beyond the flexibility rule of EUR 10,000/20%	JS on behalf of MA
Changes in project duration, up to max. 6 months	JS on behalf of MA
Partnership changes	PC



All these changes, require prior approval, and will therefore only enter into force after the approval from the relevant programme body has been received. However, once approved they are valid retrospectively starting from the date when a written request was submitted to the JS.

Reference Documents

- Subsidy contract
- Partnership agreement
- Factsheet 1.2 “Who can participate”
- Factsheet 1.4 “What can be co-financed”
- Factsheet 3.3 “Decommitment of funds”



FactSheet

No. 4.7

Project reporting

Project reporting is the basis for monitoring the implementation of a project compared to the approved application form. It is also a necessary step for the partnership to receive the approved funding. A timely reporting is an obligation of the LP and the project partners (according to the subsidy contract (SC) and the partnership agreement). The payment of the ERDF can only be requested on the basis of periodic reports submitted to the joint secretariat (JS) via the electronic monitoring system (eMS).

Project report: status and progress report

Projects are requested to report on their activities and expenditure on a regular basis (every 6 months).

There are two types of reports:

- status report (SR): it covers the reporting period from 1 January to 30 June and is due in September/October
- progress report (PR): it covers the reporting period from 1 July to 31 December and is due in March/April.

The precise deadlines for submission are fixed in the SC of each project.

The following table highlights the main information requested:

Project status report (SR)	Project progress report (PR)
- Highlights of main achievements	- Highlights of main achievements



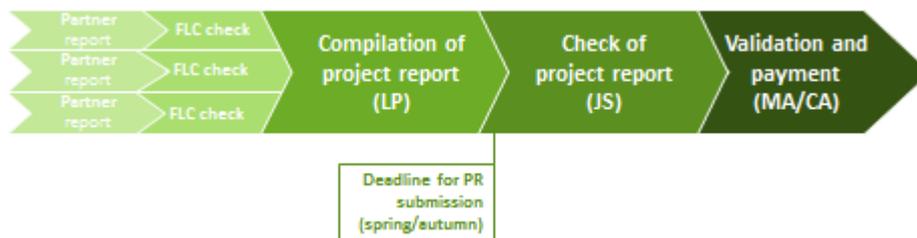
- Level of achievement of the project specific objectives	- Level of achievement of the project specific objectives
- Project outputs achievement	- Project outputs achievement
	- Target groups reached
	- Description of activities per work packages
	- Main deliverables
- Justification of possible deviations from original plan (where relevant)	- Justification of possible deviations from original plan (where relevant)
- Financial tables	- Financial tables
- First level control certificates	- First level control certificates

The reporting templates are embedded in the eMS. Projects will be provided access to the relevant section of the eMS upon signature of the SC between the LP and the managing authority (MA).

Besides the differences in their content, the reporting procedure is the same for the PR and SR and the relevant steps are described below.

Reporting procedure

Project reports have to be submitted by the LP to the JS within the set deadlines. Reporting is done through the eMS (<https://ems.alpine-space.eu/>): the information is provided by each project partner on the eMS; it is then collected by the LP and compiled into the project progress report or the status report (as applicable), providing details on the implementation of the overall project.



Each project partner – partner report

The first step in the reporting procedure is the information inserted at partner level on the progress made in the delivery of activities and the relevant expenditure. A specific section called ‘partner report’ is available in the eMS. This is to be accessed by each project partner individually, through a personalised login and



password. Each project partner (including the LP) reports on the progress made in the relevant reporting period compared to what was planned in the application form (AF). Deviations from the AF may be possible if they comply with the programme rules (see factsheet 4.6 “Project changes”) and provided they are duly justified in the relevant sections of the report. Reporting on activities is structured per work package; costs are reported in the list of expenditure.

During the reporting period, each project partner is recommended to regularly fill in the report on its activities and the list of expenditure in the eMS. This would allow for an easy tracking of the progress made and reduced bottlenecks before the deadline for submission of the report.

The documents necessary for reporting are integrated in the eMS. Also the eligibility of activities and costs is confirmed by the first level controller (FLC) of each partner via the eMS. Only the supporting documents needed by the FLC to perform its checks (such as original invoices, proofs of payments, deliverables, etc.) will have to be provided to the FLC separately (for more details on the documents needed for a complete audit trail and on the FLC system, please refer to factsheets 1.4 “What can be co-financed” and 4.1 “Financial control system”). Project partners should be aware that expenditure can only be reported if its eligibility has been confirmed by the relevant FLC.

Once the project partner report is validated by the FLC, the report is available for insertion in the project report by the LP.

Project partners are reminded that reporting according to the programme deadlines is a contractual obligation. In addition, those projects and their partners lagging behind their spending targets risk losing funds if this results in insufficient spending at programme level (please see factsheet 3.3 “Decommitment of funds”). In exceptional and duly justified cases, a project partner may not be able to include expenditure in its report; still the partner is requested to report on the activities delivered within the reporting period.

The lead partner – project report

The LP is responsible for submitting the project report to the JS via the eMS. To this end, the LP will receive the partner reports via the eMS. The content related part of the project report has to be compiled by the LP based on the information provided at partner level. By contrast the financial tables of the project report are filled in automatically based on the FLC certificates issued by the controllers. Still, the LP may decide to exclude FLC certificates from the project report, based on exceptional and justified cases. Reasons for the exclusion of FLC certificates might be e.g. missing information on activities performed by the relevant partner (not allowing reconciling the report on activities and costs).



The LP has to submit the project report via the eMS within the reporting deadlines, as set in the SC. Even for those exceptional cases where partner(s) may not be in a position to report expenditure (e.g. if no FLC certificates are available) a project report has still to be submitted in accordance with the reporting schedule.

Check of project reports and payment procedure

Upon receipt, the JS will check the project report (activities, finance, communication). If information is missing or is unclear, the JS will ask for clarifications, for the revision of the project report and/or the submission of missing documents (where applicable). The LP will have up to 7 working days to provide the JS with the requested information or documents. A project report cannot be approved until all points of clarifications are solved. Once the project report meets the programme requirements, the JS will inform the LP that the project report is accepted. The MA is responsible for instructing the Certifying Authority (CA) to initialise the ERDF payment.

In order to keep the pre-financing period on project level as short as possible, the programme bodies aim to initialise the ERDF payment six to eight weeks after the submission of the project report to the JS.

Interim and final payments

The European Commission (EC) reimburses the programme as interim payments, which are limited to 90% of the ERDF amount requested by the programme in the payment applications. The remaining 10% are paid out after the examination and acceptance of the accounts, as part of the final balance for the accounting year concerned and therefore with considerable time lag.

This causes shortages as regards to the availability of ERDF funds on the accounts of the certifying authority (CA), which consequently results in delays for both interim and final ERDF payments. As underlined in article 4(3) of the SC, the disbursement of the subsidy is subject to the condition that it can be covered by available ERDF funds that the CA has received from the EC. In case no ERDF funds are available, the LP will be notified by the MA/CA and, whenever possible, by indicating a provisional date for the expected payment.

The CA will pay out all ERDF amounts requested in the project reports in full as long as the payment can be covered with available ERDF funds on the CA accounts. In case there are sufficient ERDF funds, payment is done on a first come first served basis. The other ERDF tranches will be paid out as soon as the CA has received the next payment from the EC.

For further information about payment to beneficiaries please refer to articles 130(1) and 132(1) of the [EU Regulation 1303/2013](#).



Additional forms of monitoring

In order to gain further information on the progress made by projects in their implementation, to learn timely on possible difficulties encountered by them and provide guidance, the JS will also use other sources of information, such as phone conferences with the LP and meetings with project representatives.

Reference Documents

- Regulation (EU) No 1303/2013
- Regulation (EU) No 1299/2013
- Cooperation programme "Alpine Space"
- Guidance for reporting
- Factsheet 1.4 "What can be financed"
- Factsheet 3.3 "Decommitment of funds"
- Factsheet 4.1 "Financial control system"



Guidance for reporting

This document guides **partners (PP) and lead partners (LP)** through the reporting phase carried out on the eMS as foreseen in the subsidy contract and described in the factsheet 4.7 Project reporting. Please read carefully these documents, in particular with regard to reporting deadlines, differences between the status report and the progress report, the main principles for reporting and how the individual reports from project partners become part of the (joint) project report, which is compiled by the LP. This guidance combines the technical and content requirements for the reporting phase for both the LP and the PP.

Good to know before starting reporting

- Partner reports are the basis for the project report. Once submitted on the eMS by the partners, the partner report is at the FLC to be certified. Only when the FLC certifies the partner report, it is available for the LP. The LP should use the partner reports as source of information to fill in the project report. The partners' financial data can be integrated by the LP and are then automatically assimilated by the eMS in the financial sections while the content data (outputs, deliverables and target groups as well as all texts fields) has to be taken over into the project report and reworked by the LP.



- Deadlines for the submission of the project report to the JS are pre-set. To have sufficient time to compile all necessary information in the project report, we strongly recommend the LP to agree within its partnership internal deadlines by when the partner reports should be submitted to the LP and, beforehand, to the relevant FLC. These intermediate deadlines have to take into account the



average time needed for FLC checks for each partner.

This guidance is meant to support approved projects at the stage of reporting. The reporting process is done via the electronic monitoring system (eMS) (partner reports to the LP, FLC and certification, project report). It is therefore highly recommended to read this document carefully before starting to report in the eMS. This guidance complements the factsheet 4.7 which is available on the Alpine Space programme website.

Please be reminded that a LP is by nature a PP; therefore, where references are made to PP in this guidance, the relevant information also concerns the LP.

General technical principles

The following important aspects have to be taken into account when filling in the reporting sections:

- In order to access the reporting sections of a project, the user should have been assigned beforehand by the lead partner to its partner institution. Partners should indicate their lead partner what usernames should be assigned.
- Several users can access the eMS at the same time but please pay attention that the same section is only edited by one user at the time; if more users edit simultaneously the same section (including sub-sections) data might be lost.
- Always remember to save the data regularly and before leaving a section (“Save” button on upper left corner or at the bottom of a page); otherwise data will be lost (e.g. in case of interruptions of the internet connection or other technical issues).
- Do not use the “Enter” key of your keyboard to save data while filling the forms as it may create technical problems. Always use the commands provided by the eMS interface.
- Fields in the eMS have character limitations. When writing text for your report, it is recommended to use a plain text without any formatting. Text formatting reduces the number of available characters. Furthermore, copy-pasting from an outside source into the eMS (word document and other word processors) may result in additional characters.
- Please note that you can create a pdf file of your report at any time of its development by pressing the “Print report” button on the left menu. You will find the created pdf file(s) in the left menu in the section “Generated files”. Be aware that the saving of the pdf document in the file browser might take several minutes.

Access and registration

The eMS can be accessed at the following link <https://ems.alpine-space.eu>.



Already registered users should use their individual username and password. Not yet registered users should first of all register by applying the following steps.

Non-registered users: registration to eMS

From the eMS homepage, please click on “Register” and provide the requested set of credentials.

- **Username:** used to log in; please choose a username by which you can be clearly identified (e.g. a combination of first name and last name).
- **Email:** professional email address of the user. Please be aware that the same email address cannot be used for another username.
- **Password:** password used to access the eMS (in case the password is forgotten, please use the button “Forgot Password” on the front page of the eMS).
- **First name / Last name / Title:** personal information of the user.
- **Language:** English is pre-defined and cannot be changed; it is the official language of Interreg Alpine Space.

Following the registration, a confirmation email is automatically sent to the email address provided in the registration form. Only after confirmation, the partner will be able to log into the eMS.

Point of attention: By registering to/logging into the eMS, the user agrees to the terms and conditions of the



eMS (and its updates, if any) which are published on the homepage of the system (<https://ems.alpine-space.eu>).

Note that the same user could be involved in more than one project; in this case, the same credentials (username and password) will be used for accessing the eMS.

Once registered to the eMS, PP should provide their username to the lead partner.



Table of content:Guidance for reporting	1
General technical principles	2
I. Partner reports: for all partners	6
A. Create a partner report	6
B. Filling in/editing the partner report	6
1) Section – Partner report.....	7
2) Section – List of expenditures.....	9
3) Section – Contribution and forecast.....	11
C. Submission of the partner report to the FLC	12
II. Project report: only for lead partners	15
A. Filling in/editing the status reports	17
1) Section – Report	17
2) Section – Work Packages.....	22
3) Section – Certificates	23
4) Section – Project report tables.....	24
5) Section – Attachments	25
B. Filling in/editing the progress reports	26
1) Section – Report	26
1) Section – Work Packages.....	27
2) Section – Certificates / Project report tables / Attachments:	33
C. Submission of the project (status and progress) report to the JS	33
III. Supplementary information	35
A. Project management.....	36
B. Bank information.....	36
C. FLC.....	37
D. User assignment.....	37
E. Document	38
F. Procurement over the EU threshold.....	39

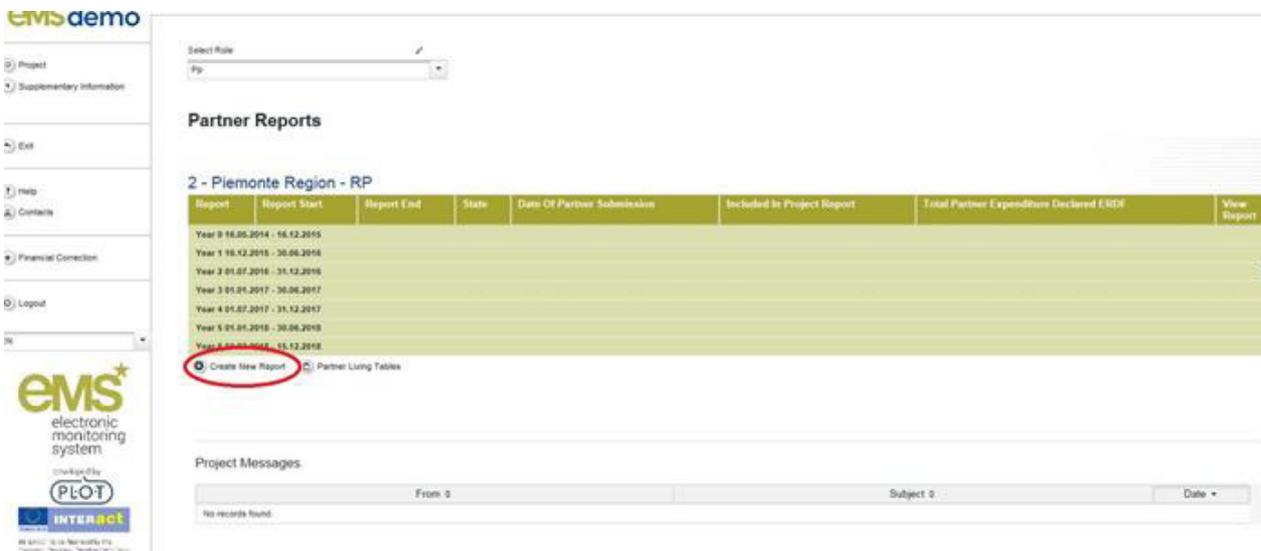


I. Partner reports: for all partners

A. Create a partner report

To report its activities and expenditure, each PP has to create its own partner report.

By selecting its project in the eMS, the user will gain access to the reporting section. Click on "create a new report" to open a partner report (the LP will have to first select its role of "Project Partner" in the scrolling menu on top of the page). Once the report has been created, the partner can enter and edit it.



Point of attention:

- If a partner report is in progress, it is not possible to create another one. The open partner report will have to be submitted to the FLC before a new partner report can be created.
- During a request for modification, partner report can be modified or created. A warning message on the upper side of the page mentions that a modification request is on-going.

B. Filling in/editing the partner report

The partner report is composed of 4 parts as presented below:





- **Partner report:** concerns the content part of the report (e.g. report on activities, outputs).
- **List of expenditures:** includes all expenditure items to be reported. Information included here will be automatically integrated in the financial tables of the partner report.
- **Contribution and forecast:** shows the current PP contribution (national co-financing) and the expected future expenditure.
- **Attachments:** no attachment is foreseen; please do not use this function.

1) Section – Partner report

In this section should be provided an overview of the partner work and information in the reporting boxes per work package where activities can be described.

Partner Report

Period 3 - 01.01.2017 - 30.06.2017

Start Date	End Date
01.01.2017	30.06.2017

Summary Of Partners Work

Summary Describe

Rich text editor toolbar with icons for undo, redo, bold, italic, underline, text color, background color, bulleted list, numbered list, indent, outdent, link, unlink, and fullscreen.

Partners should report their activities during the period. The information will be used by the FLC to certify the expenses related to these activities and will be also related to the “six monthly tasks report” if relevant.

Please consider the remarks/recommendations that the LP could give you. The LP will use the information provided in all the partner reports to prepare the project report.

We recommend that all reporting boxes are always filled in (including for instance details on activities and target groups), particularly for the target groups information which are only due at project level once per year.



Project Main Outputs Delivered

Please Select Outputs

Output

Title
T2.1 Strategies and methodologies

Description
[Empty text area with 2000 Characters remaining]

Attachments
+ Output Evidence

Filename	Filetype	Date	Uploaded By	Options
No records found				

Remove

Partners can describe when agreed with their LP their contribution to outputs. No attachment is foreseen in the eMS.

Target Groups Reached

Target group description

Target Group
local public authority

Target Value Reached
0,00

Target Group Reached Description
[Empty text area with 2000 Character]

Target Group Target Value
200.0

Remove

Partner can fill in the target group reached by selecting the relevant target groups and indicating the value reached. The partner should consider that the “target group target value” is valid for the whole project. The field “target group reached description” should be written in accordance with the LP recommendations. The data provided in this field will not be automatically summed by the eMS in the project report. The LP will use the partner information and compile manually the figures for the whole project.

Reporting per Work Package

P Preparation (11.2014 - 12.2015)

Description activities / Achievements and change induced	Problems encountered / Deviations	Current expenditure € 0,00	Expenditure so far € 0,00
[Empty text area with 2000 Characters remaining]	[Empty text area with 2000 Characters remaining]		

Min deliverables for this WP

For each work package, the partner should describe its activities as well as its achievements, the change induced.

In the field “Problems encountered/ Deviations” should be filled in in accordance with the LP recommendations (it could contain budget changes, difficulties having an impact on the implementation of the project etc...)



2) Section – List of expenditures

To enter each expenditure item, please tick on "add real cost".

Partner Report **List Of Expenditure** Cont

List Of Expenditure

Options	Seq No ↕	Budget Line ↕	Wp ↕
No Match Found			
<input type="button" value="Export"/> <input type="button" value="Save Columns"/> <input type="button" value="Columns"/>			
<input type="button" value="+ Add Real Cost"/> <input type="button" value="+ Add Lump Sum"/>			

The following window for expenditure will appear:

The screenshot shows a window titled "Edit Expenditure" with a sub-header "Partner Report 1" and "Period 3 List of Expenditures". On the left, a purple sidebar contains a "PP" button. The main area is divided into two columns. The left column contains fields for: Budgetline, Workpackage, Internal Reference Number, Invoice Number, Invoice Date, Date Of Payment, Currency (set to EUR - EURO), Conversion rate, Total Value Of Item In Original Currency, Vat, Declared Amount In The Original Currency, Declared amount in Eur, and Expenditure Outside (The Union Part Of) The Programme Area? (checkbox). The right column contains three text areas for Description1, Description2, and Partner Comment, each with a "2000 Characters remaining" indicator. At the bottom, there is an "Upload" button and a status bar showing "No records found." and "Uploaded".

The PP should fill in all relevant fields and click "add". Each expenditure item shall be added and the necessary information inserted. It is recommended to agree on the type of information needed by the FLC (to ease its check).

To be noted:

- No upload is foreseen on the eMS. Therefore the invoices should be transferred to the FLC by other means (e.g. regular mail or e-mail).



- VAT should be inserted if the partner recovers VAT. The amount inserted under “declared amount in the original currency” shall then already be reduced by the VAT. The total value of item in original currency includes therefore the VAT.
- Exchange rate: the eMS uses automatically the exchange rate for the given original currency when the partner report is submitted to the FLC.
- Flat rates¹: flat rates are automatically generated and allocated by the system in the relevant WP.
- The staff costs should be filled in per person and per WP.

Points of attention:

The preparation costs are not claimed by the partner any more, but by the LP for all partners.

¹ Until 9 September 2016, flat rates on WP implementation were wrongly allocated to the last WP implementation of the project. Errors have been corrected.



3) Section – Contribution and forecast

Partner Report > List Of Expenditure > Contribution And Forecast > Attachments

Report Forecast

Estimated Expenditure: € 0.00

Description:

255 Characters remaining

Follow-up Of Partner Contribution

Target Partner Contribution Value

€ 3,817.80

Legal Status	Total Amount Indicated In The Application Form	% Of Total(According To A F)	Previously Reported	Current Report	Total Reported So Far	Percentage Of Total Report
public	€ 0.00	0.00 %	€ 726.00	€ 0.00	€ 726.00	1
public	€ 57,207.00	100.00 %	€ 0.00	€ 3,817.80	€ 3,817.80	8
	€ 57,207.00	100.00 %	€ 726.00	€ 3,817.80	€ 4,543.80	10
	€ 0.00	0.00 %	€ 0.00	€ 0.00	€ 0.00	
	€ 57,207.00	100.00 %	€ 726.00	€ 3,817.80	€ 4,543.80	10

Export Add Contribution

In the part “report forecast” the PP should report the expenditure it plans to report for the next report. It could deviate from the planned budget per period in the AF as it should be realistic to help the LP to consider adaptive measures if needed.

Part “follow-up of partner contribution”: it displays the “target partner contribution value” for the partner report. This amount has to be entered in the column “current report” and split among the different contributions (e.g. public and private, or several public contributions, etc.). If needed, a new contribution to the project which was not foreseen in the AF can be added. To do so, please click on “add contribution” (highlighted in the screen shot above). The total of the amount in the column “current report” should equal the “target partner contribution value”.

Please be aware that the partner contribution has to be specified for each partner report (regardless whether public contribution was already received or not).

The partner report cannot be submitted if the partner contribution does not match the target partner contribution value.



Programme Co-financing	Partner Bud
Total Co-financing	€ :
Of Which ERDF	€ :
Partner Contribution	€ :
Total Eligible Expenditure	€ :

Export

Partner Expenditure Summary

On the left menu, it is possible to check the partner finance report, in which several tables such as the “partner report expenditure summary” or the “partner expenditure per budget line” are displayed. Those tables are automatically generated from the data filled in by the partner. It is also possible to export those tables in excel.

C. Submission of the partner report to the FLC

Once all these steps are done, the partner can click on the "check saved report" button.

Start Date	End Date
16.12.2015	30.06.2016

Summary Of Partners Work

Use this opportunity to go through your report to verify that all necessary fields are completed and properly filled in. Please be aware that this button does not check if the relevant information is provided. It will only check if the partner contribution is matching the target value. It remains the responsibility of each partner to make sure that all fields are properly filled in.

The LP has a reading access to all partner reports. The LP can have a look at the partner report before it is submitted to the FLC.



Once checked and saved, a message of success will appear on the upper side of the page. The "submit report" button will then appear on the left menu. To submit your partner report, press the "submit report" button. Be aware that once submitted the information in the partner report cannot be changed any more. You can save the final version as a pdf file by clicking on "print report".

By clicking the "submit report" button the partner report is electronically sent to the FLC.

Once submitted the state of the partner report will change. Below you can see the different state of the partner report:

Report	Report Start	Report End	State	Date Of Partner Report Submission	Date of fic verification	Included In Project Report	Total Partner Expenditure Declared ERDF
Period 0 16.03.2015 - 15.12.2015							
Report 0.1	16.03.2015	15.12.2015	Report FLC Certified	23.09.2016		Period 1 Project Report 1	€ 4.370,00
Period 1 16.12.2015 - 30.06.2016							
Report 1.1	16.12.2015	30.06.2016	Report submitted	12.10.2016		Not Certified	€ 9.038,54
Period 2 01.07.2016 - 31.12.2016							
Report 2.1	01.07.2016	31.12.2016	Report in progress	31.03.2017		Not Certified	€ 0,00
Period 3 01.01.2017 - 30.06.2017							
Period 4 01.07.2017 - 31.12.2017							
Period 5 01.01.2018 - 30.06.2018							
Period 6 01.07.2018 - 15.12.2018							

Report in progress means that the partner report is being processed and is not yet submitted to the FLC. The document can be modified by the partner.

Report submitted means that the partner report has been submitted by the partner to its FLC, who is checking the report.

Report FLC Certified means that the partner report was certified by the FLC and is available for inclusion in the project report by the LP.



Once the partner report has been certified it is possible to see if the LP included (or not) the partner report in the project report in the column “**included in project report**”. This information is accessible only once the project report has been submitted to the JS.



II. Project report: only for lead partners

Every 6 months, the LP reports the project activities for the whole partnership.

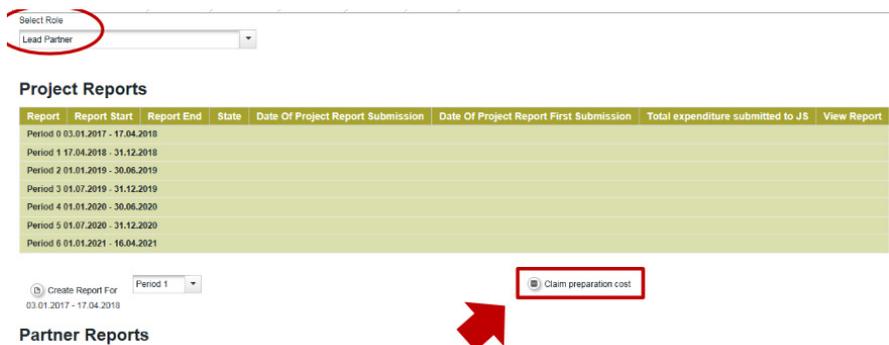
General information

The LP compiles the information of all partner reports in the project report, which will be submitted to the JS. To do so the LP of the project should first select its role as LP (see screenshot below).



Claim the preparation costs

From the call 3 onwards, a simplified procedure to claim the preparation costs has been introduced. The preparation costs are claimed directly by the LP for all partners (once assigned in the supplementary information section) and within 3 months after the start date of the project. The LP should click on “claim preparation cost”. A report 0 will be automatically created and submitted to the JS with the figures planned in the WP P budget of the project application form.



Create a project report

To create a project report (status report or progress report) please tick on “create report for” (see screenshot below) and select the period of the report to be submitted.



Project Reports

Report	Report Start	Report End	State	Date Of Project Report Submission	Date Of Project Report First Submission	Total expenditure submitted to JS	View Report
Period 0 01.01.2017 - 16.04.2018							
Report 0.1	01.01.2017	16.04.2018	Report submitted to JS	29.08.2018	29.08.2018	€ 20.000,00	
Period 1 17.04.2018 - 31.12.2018							
Period 2 01.01.2019 - 30.06.2019							
Period 3 01.07.2019 - 31.12.2019							
Period 4 01.01.2020 - 30.06.2020							
Period 5 01.07.2020 - 31.12.2020							
Period 6 01.01.2021 - 16.04.2021							

Period 1
 Claim preparation cost

17.04.2018 - 31.12.2018

 Period 1
 Period 2
 Period 3
 Period 4

If you have accidentally created a project report for a “wrong period”, please remove it by using the delete function on the left menu.

SAVE

- Check Saved Report
- Delete Report**
- Application Form
- Supplementary Information
- Print Project Report

Only one project report can be created and worked on at a time. If a report is still open (in progress), a new one cannot be created; you will have to first finalise the report in progress and then create the following one.

The project report is composed of 5 sections:



Status report and progress report are based on the same template in the eMS but different levels of details are expected to be provided (see factsheet 4.7). At project level, guidance is provided here on how to fill in in a first part the status report and in a second part the progress report.



A. Filling in/editing the status reports

1) Section – Report

This section provides an overview of the project report: the “highlights of main achievements” is a free text box which has to be filled in by the LP directly in this section. An overview of the existing partner’s certificates is also displayed, as well as information of the level of achievements of the specific objectives, the outputs...

Highlights of main achievements:

Please describe the project progress for the last 6 months (including specific objectives reached and main outputs delivered).

The summary should present the project’s highlights and be interesting and understandable for non-specialists. Please avoid abbreviation and jargon. [max. 2000 characters]

Highlights of main achievements

Please describe the project progress for the last 6 months (including specific objectives reached and main outputs delivered).
The summary should present the project’s highlights and be interesting and understandable for non-specialists. Please avoid abbreviation and jargon.

[max. 2000 characters]



Please be reminded that this summary might also be used for communication purposes, therefore make sure the text will be understandable by a non-expert public and will be both informative and appealing.

It is recommended to write or adapt the highlights in the end, once all project report sections have been filled in. The summary should highlight what is changing thanks to the project activities.



List of partner FLC certificates

List of partner FLC certificates

Partner Abbreviation	Number Of F L C Certificate	Date Of F L C Certificate	Total Expenditure Certified By F L C	Include In Project Finance Report	Total Partner Expenditure Included	Co-financing Source	Co-financing Rate(%)
No records found							

Tick here to include the available certificates

Please tick the certificate to be integrated in the project report. They will then appear in the section “certificates” of the eMS. The FLC certificate can be seen by ticking on the button “show FLC certificate” in the column “FLC certificate”. The LP can decide to integrate or not FLC certificates considering its plausibility check. If the LP does not integrate a certificate, s/he should ask the partners for clarifications. As a consequence the certificate will be on hold until the next project report, or the LP can use the function “revert” a certificate to the FLC of the partner or directly to the partner. To use this function, the LP should discuss with the PP and inform first the PP’s FLC.

List Of Partner Flc Certificates

included	Co-financing Source	Co-financing Rate(%)	Total Partner E R D F Included	Total Partner Non- E R D F Included	F L C certificate	Revert
	ERDF	85.00 %			Show F L C certificate	Revert From Lp To Flc Revert From Lp To Pp
1,550.00	ERDF	85.00 %	€ 1,317.50	€ 0.00	Show F L C certificate	Revert From Lp To Flc Revert From Lp To Pp
	ERDF	85.00 %			Show F L C certificate	Revert From Lp To Flc Revert From Lp To Pp

Project specific objectives

What is the progress towards to the specific objectives as defined in the application form?

The information provided should be cumulative (i.e. covering the entire progress since the project’s start).

Project specific objectives

Objective number	Communication objective 1	Communication objective 2	Level of achievement	Description
1 - Specific objectives	Raise awareness	Influence attitude	<input type="text"/> <ul style="list-style-type: none"> Fully achieved to a large degree to a minor degree not achieved 	<input type="text"/> <p style="text-align: right; font-size: small;">2000 Characters remaining</p>
	Increase knowledge			

The project specific objectives of the project are automatically taken over from the project application as the communication objectives inserted in the WP C. Please select the relevant “level of achievement” of the objectives and explain with a maximum of 2000 characters what has been done and which achievements/change can already be perceived through the project actions. Take in consideration in the



description the level of achievement of the specific objectives while also considering the actions taken in terms of communication.

This section is an important source of information to monitor the project's progress (particularly in the status report), please develop the explanations given for all specific objectives.

Project outputs achievement

Programme Output Indicators	Sum Of Output Indicator Targets	Sum Of Achieved Output Indicators So Far	Project Main Output Indicator Number	Project Main Output Title	Project Main Output Quantification Target	Planned Delivery	Achieved So Far	Level Of Achievement
CO1 - Number of enterprises cooperating with research institutions	2.0	0.00	T1.1.2	Strategy ASP test	1.00	Jul.2015	0.00	not started
			T4.1.1	output T4.1 title	1.00	Dec.2017	0.00	not started
CO1 - Number of research institutions participating in cross-border, transnational or interregional research projects	30.0	0.00	T2.1.1	Output 2.1 ASP test	30.00	Mrz.2018	0.00	not started
OI.2.2.2 - Number of developed strategic elements increasing options for low	4.0	0.00						

The information for this table is automatically filled in with the elements provided in the WP section: the LP will provide there information destined to the columns “Achieved so far” and “Level of achievement”.

Point of attention:

Whenever outputs, deliverables, activities and/or target groups are developed/reached jointly by project partners, the LP must pay attention not to duplicate data in the project report.

Target groups reached

Target Groups	Target Value	Target Groups Reached Previous Periods	Target Groups Reached Current Report	Source Of Verification	Description Of Target Group	Target Groups Reached So Far Percentage
local public authority	0,00	0,00	0,00			
regional public authority	0,00	0,00	0,00			

This table should not be completed in the status report. Information is only requested during the progress report due in spring.



Problems encountered and solutions found / Deviations

Problems And Solutions Found

Problems And Solutions Found Description

Please describe (if applicable) problems encountered and solutions found during this reporting period as regards:

- objectives, outputs, results
- partnership development and cooperation dynamics
- expenditures
- other

Please mention here the difficulties that the project faced and which solutions were found. Please refer also to the factsheet 4.6 project changes for deviations. Deviation from original plan should also be mentioned here and the reasons for it explained (only for status report; for progress report, it is sufficient to report deviations in the relevant activity box). [max. 2000 characters]

Horizontal Principles

Horizontal principles	Contribution	Description of the contribution
Equal opportunity and non-discrimination	<div style="border: 1px solid #ccc; padding: 2px;"> as planned as planned additional positive effects less than planned </div>	<div style="border: 1px solid #ccc; padding: 5px; height: 20px;"></div> <p style="text-align: right; font-size: 0.8em;">2000 Characters remaining</p>
Sustainable development (environment)	<div style="border: 1px solid #ccc; padding: 2px;"> as planned as planned additional positive effects less than planned </div>	<div style="border: 1px solid #ccc; padding: 5px; height: 20px;"></div> <p style="text-align: right; font-size: 0.8em;">2000 Characters remaining</p>
Equality between men and women	<div style="border: 1px solid #ccc; padding: 2px;"> as planned </div>	<div style="border: 1px solid #ccc; padding: 5px; height: 20px;"></div> <p style="text-align: right; font-size: 0.8em;">2000 Characters remaining</p>

Please fill in the part “horizontal principles only for the last progress report.

Please choose the relevant contribution in the drop down menu: “as planned”, “additional positive effects” or “less than planned” compared to the information provided in the application form. [max. 2000 characters]



All those three principles constitute an integral part of the EU policy and the programme (see Section 8 of the Cooperation Programme for further information).

In practical terms in the box “Description of the contribution”, projects should reflect the horizontal principles in their activities, outputs and results and, equally important, consider what their overall influence as regards these principles is. The reasoning adopted by the project should allow a better understanding between the planned contribution formulated in the application form and the achievements made in the course of its implementation.

Fully Implemented

Fully Implemented

Implemented

Implemented On

Please tick only once the project has been fully implemented (normally it should be ticked within the last progress report). For the very last report, please specify the date when the project has been fully implemented (closure end date).

Reporting per workpackage overview

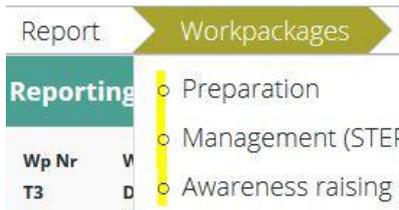
Reporting Per Workpackage Overview				
Id	Start	End	Type	Title
1618	Mrz.2014	Dez.2015	preparation	Preparation
1619	Dez.2015	Dez.2018	management	Management
1620	Dez.2015	Dez.2017	implementation	WP1 ASP test
1621	Dez.2015	Dez.2017	implementation	WP2 implementation ASP test

This table is automatically generated by the eMS as an overview on the workpackages.



2) Section – Work Packages

To fill in this section, please select the relevant WP from tab “Workpackages”.



Report **Workpackages**

Reporting

- Preparation
- Management (STEF)
- Awareness raising

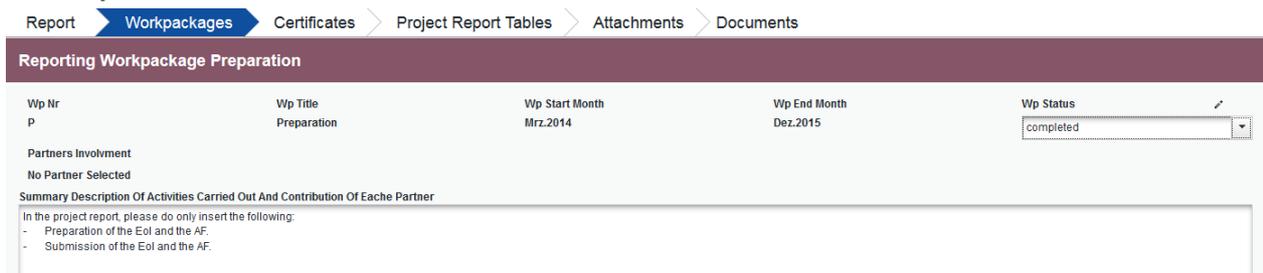
Wp Nr	Wp Title
T3	D

This section describes the activities that have been implemented by the project during the previous period (last 6 months). Apart from the work package preparation, the project should report on all ongoing WPs.

Outputs and main deliverables (e.g. studies, analyses) should be published on project website where the JS will check them. Therefore, please do not send or attach any documentation to the reports.

Point of attention: In the status report, only the WP status should be indicated as well as information on outputs' achievement if relevant.

WP Preparation



Report **Workpackages** Certificates > Project Report Tables > Attachments > Documents

Reporting Workpackage Preparation

Wp Nr	Wp Title	Wp Start Month	Wp End Month	Wp Status
P	Preparation	Mrz.2014	Dez.2015	completed

Partners Involvement
No Partner Selected

Summary Description Of Activities Carried Out And Contribution Of Each Partner

In the project report, please do only insert the following:

- Preparation of the EoI and the AF.
- Submission of the EoI and the AF.

This WP description should only be filled in once during the first project report.

The WP status should be set on “completed”.



All other WPs

Report **Workpackages** Certificates > Project Report Tables > Attachments > Documents

Reporting Workpackage Implementation

Wp Nr	Wp Title	Wp Start Month	Wp End Month	Wp Status	Wp Expenditure
T2	WP2 implementation ASP test	Dez.2015	Dez.2017	not started	€ 0,00

Partners Involvement

Abbreviation	Name	Responsible partner
ASP LP	ASP Test LP(lead Partner)	
ASP PP2	ASP PP2	
ASP PP3	ASP PP3	

Please Describe The Progress In This Reporting Period And Explain How Were Partners Involved And Who Did What

Please Describe And Justify Any Problems And Deviations Including Delays From The Work Plan Presented In The Application Form And The Solutions Found

For the status report, the WP status should be updated by choosing the relevant WP status in the scroll down menu.

Project Main Outputs	Project Main Output Description	Programme Output Indicator	Planned Delivery Month	Main Output Quantification Target	Achieved So Far(Not Including This Reporting Period)	Achieved In This Report	Level Of Achievement	Attachment
T2.1 Strategies and methodologies		OI2.1.2 - Number of developed strategic elements aiming at establishing trans-nationally integrated low carbon policy instruments	Mai.2017	1,00		1,00	not started	Upload

Additionally the LP should indicate in the relevant work package the level of achievement of the output and fill in the achieved value when the output is completed. The output indicator will be updated in the section report- Project outputs achievement.

In the status report, no additional information is requested in this section.

3) Section – Certificates

Report Workpackages **Certificates** Project Report Tables >

Project Progress Report

- Certificate 1
- Certificate 2



Details of certificates are accessible in this section. All certificates selected in part “list of FLC certificates” will appear as a drop down list under the tab “certificates”. The desired certificate can be selected.

Edit Expenditure
Partner Report 1

Period 2 List of Expenditures

PP	Budgetline	External expertise and services	Description1
	Workpackage	C communication Communication	Roll up
	Internal Reference Number		Description2
	Invoice Number	71/2016	
	Invoice Date	09.11.2016	
	Date Of Payment	11.11.2016	
	Currency	EUR - EURO	Partner Comment
	Conversion rate	(1)	
	Total Value Of Item In Original Currency	47,58	
	Vat	8,58	
Declared Amount In The Original Currency	47,58		
Declared amount in Eur	47,58		
Expenditure Outside (The Union Part Of) The Programme Area?	<input type="checkbox"/>		
FLC	Verified By Flc	<input checked="" type="checkbox"/>	Comment Flc
	Difference Flc	€ 47,58	Documentation for audit trail is missing - proof of market resea
	Amount Certified Flc	€ 0,00	
LP	Difference L P	€ 0,00	Comment L P
	Amount Certified L P	€ 0,00	

By selecting a certificate, the list of expenditure connected to it will appear. Each expenditure item can be opened (see screenshot above), the list can also be exported in excel. The LP can see if the FLC amended any item and/or included any comment. The LP can also comment it but cannot amend the amount declared. If the LP has a serious doubt on the eligibility of an item, s/he can decide not to include the certificate by not ticking the certificate in the part “list of partner FLC certificates” in the project report and wait for the next report when an explanation has been provided or can consider reverting the certificate after discussing with the partner.

4) Section – Project report tables

This section is automatically filled in with the information contained in the certificates that have been included in the report.

Several tables, which can be exported in excel, are available:

- 1 Project report expenditure summary,
- 2 Project expenditure per partner,
- 3 Project expenditure per budget line,



- 4 Project expenditure per workpackage,
- 5 Project report expenditure per workpackage per budgetline (total values),
- 6 Project report expenditure - invoices outside of the eu part of the programme area,
- 7 Project expenditure spending profile,
- 8 Project report expenditure per partner (fund amounts).

The LP can use those tables or their extraction to follow if the project is well on track and if there is no risk of financial deviations over the flexibility rules. It is LP responsibility to check the project's level of expenditure and that this level remains under the flexibility threshold. Please refer to the factsheet 4.6 project changes.

If wished, these can be extracted by clicking on “export” as shown below:

Project Report

Programme Co-financing	Pro
Total Co-financing	
Of Which ERDF	
Of Which Non-ERDF	
Partner Contribution	
Total Eligible Expenditure	

 Export

5) Section – Attachments

No attachment is foreseen. Please do not upload any.



B. Filling in/editing the progress reports

The structure of the progress report is identical to the one from the status report, with the exception of the horizontal principles whose contribution must be reported in the last progress report. The progress report is due every year in spring.

1) Section – Report

This section, providing an overview of the project report, should be filled in as in the status report, being the target groups the exception as it should be reported in the progress report. The same applies to the horizontal principles whose contribution is expected in the last progress report.

Please refer to the status report guidance for the different parts.

Target groups reached

This part is only expected to be filled in in the progress report due in spring. The LP should collect the information from all the partners to provide the most accurate data.

Target Groups reached						
Target Groups	Target Value	Target Groups Reached Previous Periods	Target Groups Reached Current Report	Source Of Verification	Description Of Target Group	Target Groups Reached So Far Percentage
local public authority	0,00	0,00	<input type="text" value="0,00"/>	<input type="text"/>	<input type="text"/>	
regional public authority	0,00	0,00	<input type="text" value="0,00"/>	<input type="text"/>	<input type="text"/>	

Target groups reached current report: *Please sum here all the figures of all the partners and all the relevant WPs (the same target group may be involved in different WPs or by different partners). Please do not forget to also include the figures from the previous period (status report).*

Please do agree within your partnership on the way to consider the reached target groups: except for general public, only the institutions should be counted (for example, 3 persons from the same institution is 1 institution). Depending on the type of communication and specific objectives, the way to reach target groups could be different (raising awareness and change behaviour would mean different types of actions). Therefore please consider this while counting.

Source of verification [maximum 2000 characters]: *Please specify here by which means you calculated the number indicated (e.g. list of attendance, registrations, manually counting, etc.)*



Description of the target group involvement [maximum 2000 characters]: *Please describe here in which kind of activities the target group has been involved. How does the target group use the output? Did you reach new entities you did not expect? Why? And/or how?*

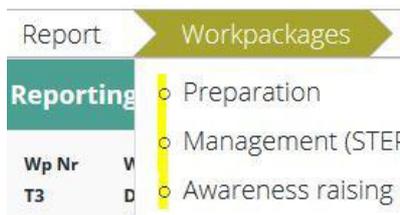
Point of attention:

Whenever outputs, deliverables, activities and/or target groups are developed/reached jointly by project partners, the LP must pay attention not to duplicate data in the project report (e.g. if PP2 and PP3 organise jointly a workshop and reach 100 participants, they may report this result in their individual partner report; however the LP has to make sure that this is counted only once in the project report and not added up).

1) Section – Work Packages

Contrary to the status report this section should be fully filled in in the progress report.

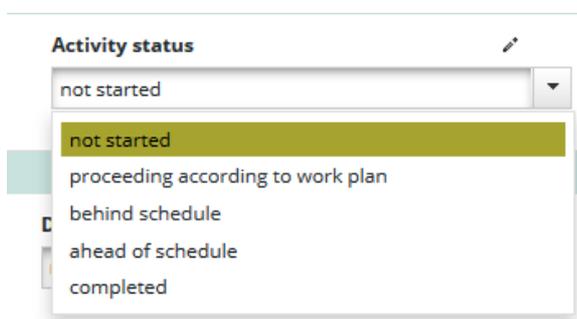
To fill in this section, please select the relevant WP from tab “work packages”.



This section describes the activities that have been implemented by the project during the last year (since they were not described per WP in the status report). Apart from the work package preparation, the project should report on all ongoing WPs.

Outputs and main deliverables (e.g. studies, analyses) should be published on project website where the JS will check them. Therefore, please do not send or attach any documentation to the reports.

The status of each activity in all workpackages should be updated. Please choose among the 5 different status.





The status of each deliverable should be updated. Please choose among the 7 different status.

Deliverable status

not started

- not started
- proceeding according to work plan
- behind schedule
- ahead of schedule
- completed and achieved as planned
- completed and achieved more than planned
- completed and achieved less than planned

WP Preparation

Please refer to the part in the guidance for the status report.

WP Management

Like in the status report, the WP status should be informed by selecting the relevant title in the scroll down menu: not started, completed, proceeding according to work plan, behind schedule, ahead of schedule.

Report > **Work packages** > FLC certificates > Project report overview > Attachments >

Reporting WP Management

WP Nr	WP title	WP start	WP end	WP status	WP
M	Management	Apr.2018	Apr.2021	proceeding according to wo	
Partners involvement					
Abbreviation	Name				

not started
completed
proceeding according to work plan
behind schedule
ahead of schedule

The activities of the work package should be presented in the following text box.

Please describe the progress in the last year and explain how the partners were involved (who did what). [max. 2000 characters]

Please describe the progress in the last year and explain how the partners were involved (who did what). [max. 2000 characters]



Please describe here the activities marked below as “proceeding according to work plan”, “behind schedule” or “ahead of schedule”. Do not only present facts and figures, but also the achievements/change and effects achieved or initiated by the partnership if relevant.

If applicable, please describe and justify any problems and deviations including delays from the work plan presented in the application form and the solutions found. [max. 2000 characters]

If applicable, please describe and justify any problems and deviations including delays from the work plan presented in the application form and the solutions found. [max. 2000 characters]

Please refer here to the activities marked below as “behind schedule” or “ahead of schedule”. If the partnership faced some problems in the implementation of activities, specify the solutions found and the measures taken to avoid or minimise any delays in the project delivery (if relevant). Please refer also to the factsheet 4.6 project changes for deviations.

The status of all activities should be informed by selecting the relevant title in the scroll down menu

Please Describe Progress Achieved in This Reporting Period			
A.M.1			
Activity Title	Start Month	End Month	Act Status
Project start-up.	12.2015	02.2016	<div style="border: 1px solid #ccc; padding: 2px;"> not started not started proceeding according to work plan behind schedule ahead of schedule completed </div>

The status of all deliverables should be informed by selecting the relevant title in the drop-down list: not started, proceeding according to work plan, behind schedule, ahead of schedule, completed and achieved as planned, completed and achieved more than planned, completed and achieved less than planned. **It is not requested to describe further the deliverables. The text box is also not visible in the pdf of the report.**

D.M.1.1			
Deliverable Title	Deliverable Description	Planned Delivery Month	Del Status
		02.2016	<div style="border: 1px solid #ccc; padding: 2px;"> not started not started proceeding according to work plan behind schedule ahead of schedule completed and achieved as planned completed and achieved more than planned completed and achieved less than planned </div>
<div style="border: 1px solid #ccc; padding: 2px;"> Del Description </div>			



All other WPs Implementation

Like in the status report, the WP status should be informed by selecting the relevant title in the scroll down menu: not started, completed, proceeding according to work plan, behind schedule, ahead of schedule.

Report **Workpackages** Certificates > Project Report Tables > Attachments > Documents

Reporting Workpackage Implementation

Wp Nr	Wp Title	Wp Start Month	Wp End Month	Wp Status	Wp Expenditure
T2	WP2 implementation ASP test	Dez.2015	Dez.2017	not started	€ 0,00

Partners Involvement

Abbreviation	Name	Responsible partner
ASP LP	ASP Test LP(lead Partner)	
ASP PP2	ASP PP2	
ASP PP3	ASP PP3	

Wp Status dropdown menu options:

- not started
- completed
- proceeding according to work plan
- behind schedule
- ahead of schedule

The activities of the work package should be presented in the following text box.

Please describe the progress in the last year and explain how the partners were involved (who did what).
[max. 2000 characters]

**Please describe the progress in the last year and explain how partners were involved (who did what).
[max. 2000 characters]**

Please describe here the activities marked below as “proceeding according to work plan”, “behind schedule” or “ahead of schedule”. Do not only present facts and figures, but also the achievements/change and effects achieved or initiated in the stakeholders/target groups if relevant.

If applicable, please describe and justify any problems and deviations including delays from the work plan presented in the application form and the solutions found.
[max. 2000 characters]

If applicable, please describe and justify any problems and deviations including delays from the work plan presented in the application form and the solutions found. [max. 2000 characters]

Please refer here to the activities marked below as “behind schedule” or “ahead of schedule”. If the partnership faced some problems in the implementation of activities, specify the solutions found and the measures taken to avoid or minimise any delays in the project delivery (if relevant). Please refer also to the factsheet 4.6 project changes for deviations.



Please report the number of output achieved in the period. The output indicator will be automatically updated in the section report- Project main outputs achievement.

Project Main Outputs	Project Main Output Description	Programme Output Indicator	Planned Delivery Month	Main Output Quantification Target	Achieved So Far(Not Including This Reporting Period)	Achieved In This Report	Level Of Achievement	Attachment
T2.1 Strategies and methodologies		OI2.1.2 - Number of developed strategic elements aiming at establishing trans-nationally integrated low carbon policy instruments	Mai.2017	1,00		1,00	not started	Upload

In any case, please update the level of achievement of the output by selecting the relevant title in the drop-down list: not started, proceeding according to work plan, behind schedule, ahead of schedule, completed and achieved as planned, completed and achieved more than planned, completed and achieved less than planned.

Finally the status of all activities should be informed by selecting the relevant title in the scroll down menu: not started, completed, proceeding according to work plan, behind schedule, ahead of schedule.

Please Describe Progress Achieved In This Reporting Period

A.M.1			
Activity Title	Start Month	End Month	Act Status
Project start-up.	12.2015	02.2016	not started

Activities are described in the text box above. Please check if the status matches your description.

The status of all deliverables should be informed by selecting the relevant title in the drop-down list: not started, proceeding according to work plan, behind schedule, ahead of schedule, completed and achieved as planned, completed and achieved more than planned, completed and achieved less than planned.

It is not requested to describe further the deliverables. The text box is also not visible in the pdf of the report.

D.M.1.1			
Deliverable Title	Deliverable Description	Planned Delivery Month	Del Status
		02.2016	not started

The deliverable should not be uploaded on the eMS. If relevant for the project and the stakeholders, please upload it on the website.

WP Communication



Like in the status report, the WP status should be informed by ticking the relevant title in the scroll down menu: not started, completed, proceeding according to work plan, behind schedule, ahead of schedule.

Report > Workpackages > Certificates > Project Report Tables > Attachments

Reporting Workpackage Communication

Wp Nr	Wp Title	Wp Start Month	Wp End Month	Wp Status	W
C	Communication	Jan.2016	Nov.2018	proceeding according to work plan	

Partners Involvement

Abbreviation	Name

Wp Status dropdown menu options:

- proceeding according to work plan
- not started
- completed
- proceeding according to work plan
- behind schedule
- ahead of schedule

The activities of the communication work package should be presented in the following text box.

Please describe the progress in the last year and explain how the partners were involved (who did what).
[max. 2000 characters]

**Please describe the progress in the last year and explain how partners were involved (who did what).
[max. 2000 characters]**

Please describe here the progress and status of the planned communication activities". Do not only present facts and figures, but also the achievements/change and effects achieved or initiated in the stakeholders/target groups.

If applicable, please describe and justify any problems and deviations including delays from the work plan presented in the application form and the solutions found.
[max. 2000 characters]

If applicable, please describe and justify any problems and deviations including delays from the work plan presented in the application form and the solutions found. [max. 2000 characters]

Please refer here to the activities marked below as "behind schedule" or "ahead of schedule". If the partnership faced some problems in the implementation of activities, specify the solutions found and the measures taken to avoid or minimise any delays in the project delivery (if relevant). Please refer also to the factsheet 4.6 project changes for deviations.



Communication objectives – What is the progress towards the communication objectives as defined in the application form?

The level of achievement should be cumulative (i.e covering the entire progress since project’s start); however the explanation should describe achievements in this reporting period.

Please select also the level of achievement of the communication objectives in the drop down list: fully achieved, to a large degree, to a minor degree, not achieved

Communication Objectives What Is The Progress Toward The Communication Objectives As Defined In The Application Form? The Level Of Achievement Should Be Cumulative However The Explanation Should Describe Achievements In This Reporting Period

Raise awareness	
<p>Description</p> <p>Target groups ...</p>	<p>Level Of Achievement</p> <p>-</p> <p>Fully achieved</p> <p>to a large degree</p> <p>to a minor degree</p> <p>not achieved</p> <p>2000 Characters remaining</p>
<p>Explanations</p>	
Change behaviour	
<p>Description</p> <p>Target groups are ...</p>	<p>Level Of Achievement</p> <p>-</p>
<p>Explanations</p>	

Please describe here the achievements in the past reporting period and in how far they contribute to the communication objectives. Please describe in how far the objectives are reached and what is still planned to be done in the next months to reach them.

2) Section – Certificates / Project report tables / Attachments:

The guidance is the same than for the status report.

C. Submission of the project (status and progress) report to the JS

The same steps for submitting a project report to the JS apply for both the status report and the progress report. Projects have different deadlines depending on their call.

Before submitting your report, please click first on the button "check saved report" (see screenshot of project menu below).



Use this opportunity to go through your report to verify that all necessary fields are completed and properly filled in. Please be aware that this button does not check if the relevant information is provided. It remains the responsibility of each LP to make sure that all necessary fields are properly filled in.

Before submitting the project report to the JS, the LP should make sure that information in section “supplementary information” (see left menu) is filled in and up to date.

Once checked and saved, a message of success will appear on the right up corner. The “submit report” button will then appear on the left menu. To submit the project report, press the “submit report” button; a small window asking if you are sure will appear. Once confirmed, the project report will be sent to the JS (no confirmation email will be sent); the project report will be frozen and cannot be edited any longer. The status of the project report is turned into “submitted”. You can save the final version as pdf file.

Project report as partner report can have different status:



Project Reports



Report	Report Start	Report End	State	Date Of Project Report Submission	Total Expendit
Period 0 16.05.2014 - 16.12.2015					
Report 0.1	16.05.2014	16.12.2015	Report submitted to CA	19.01.2017	
Period 1 16.12.2015 - 30.06.2016					
Report 1.1	16.12.2015	30.06.2016	<u>Report submitted to CA</u>	19.01.2017	
Period 2 01.07.2016 - 31.12.2016					
Report 2.1	01.07.2016	31.12.2016	<u>Report submitted to MA</u>	31.03.2017	
Period 3 01.01.2017 - 30.06.2017					
Report 3.1	01.01.2017	30.06.2017	<u>Report in progress</u>	In Progress	
Period 4 01.07.2017 - 31.12.2017					
Period 5 01.01.2018 - 30.06.2018					
Period 6 01.07.2018 - 15.12.2018					

Report in progress means that the project report has not been submitted and can still be modified.

Report submitted to JS means that the project report is being checked by the JS.

Report submitted to MA means that the JS finished its check and submitted the report to the MA, which is also implementing a check.

Report submitted to CA means that the report is in its final stage and is being or was paid.

III. Supplementary information

Intro: The Lead Partner has to fill in relevant information for the project implementation and update it whenever relevant.



6 mandatory fields should be filled in:

- Project management
- Bank information
- FLC



- User assignment
- Documents

This section “supplementary information” is not accessible by all the partners and therefore the LP has to fill in all the sections with the information collected from the partners.

A. Project management

The LP should fill in the section with three contacts:

- the project manager (who is the contact person for everything concerning the project)
- the financial manager (who is the contact person at the LP institution dealing with the project finances) This person can also be the project manager. Please always fill in this section, even if it is the same contact than the project manager
- the communication manager (who is the contact person responsible for the project communication) it is usually the person in charge of the communication at the WP C leader.

Project Management > Bank Information > F L C > User Assignment > Documents

Project Management

Project Manager

Partners

Title

Mr

First name Last name

E-mail address Telephone

Name Of The Institution

NUTS0

DEUTSCHLAND (DE)

Name Of Other Region

From All Regions

NUTS2

Freiburg (DE13)

NUTS3

Freiburg im Breisgau, Stadtkreis (DE131)

Street House num.

Postcode City

Financial Manager of the project

Partners

Title

Mr

First name Last name

E-mail address Telephone

Name Of The Institution

NUTS0

DEUTSCHLAND (DE)

Name Of Other Region

From All Regions

NUTS2

Freiburg (DE13)

NUTS3

Freiburg im Breisgau, Stadtkreis (DE131)

Street House num.

Postcode City

B. Bank information



The LP should fill in this section with its bank information so that the certifying authority can transfer the ERDF to the right bank account.

Project Management > Bank Information > **FLC** > User Assignment > Documents

Bank Information

Bank information of the Lead Partner / ERDF-Lead Partner

Name Of The Bank

E-mail address Telephone

NUTS0 Street House num.

DEUTSCHLAND (DE)

Name Of Other Region

From All Regions

NUTS2

Freiburg (DE13)

NUTS3

Freiburg im Breisgau, Stadtkreis (DE131)

Postcode City

Bank Data

Account number IBAN

Swift National bank code

Internal reference Holder of the account

Check Iban And Swift

C. FLC

In this section of the supplementary information, the LP should fill in for each partner who the FLC of the partner is and provide its contacts.

Project Management > Bank Information > **FLC** > User Assignment > Documents

Flc

Contact

Title

Mr

Name Lastname E-mail Address Telephone

Institution

Name

Address

NUTS0 Street House number

DEUTSCHLAND (DE)

Name Of Other Region

From All Regions

NUTS2

Freiburg (DE13)

NUTS3

Freiburg im Breisgau, Stadtkreis (DE131)

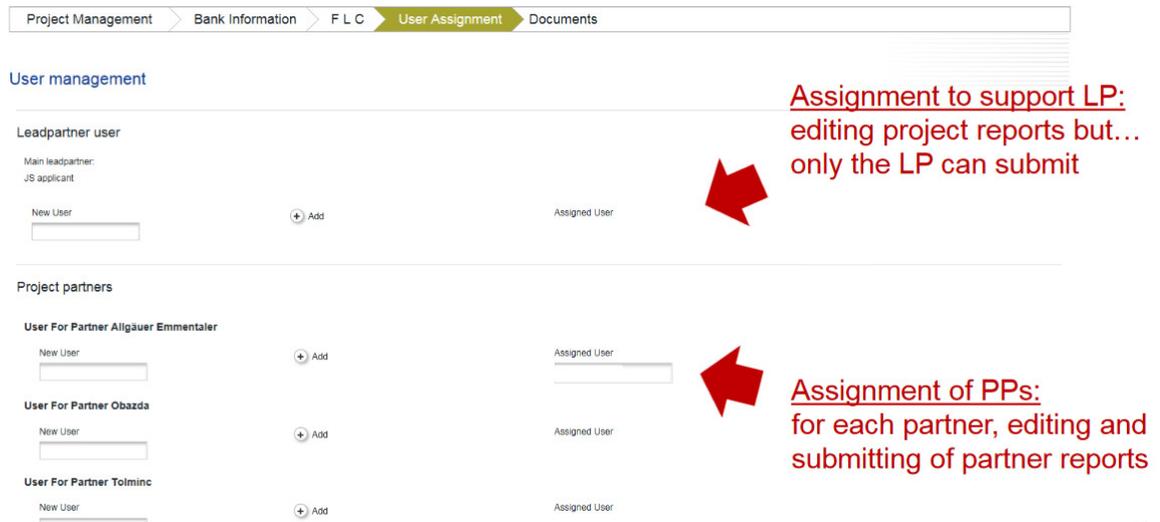
Postal Code City

D. User assignment

The user assignment is done by the LP: it consists in matching a username to a specific project



partner (the user must be registered to the eMS beforehand).



Assignment to support LP:
editing project reports but...
only the LP can submit

Assignment of PPs:
for each partner, editing and
submitting of partner reports

The LP should collect the username of all partners who have already registered in the eMS. The username should be inserted in “new user”. The LP should tick on “Add” and the username will appear under “assigned user”. Once assigned to a project partner, the user gains access to the reporting sections.

This action should be done for all partners. Several users can be added per partner (at least one user per partner).

E. Document

In this section of the supplementary information, the LP should indicate in for each partner where the documents linked to the project are stored at the partner level. Indeed, sometimes the invoices are stored in another office than the one where the content activities are.



Documents For 5 (Initial)

Title

Name

E-mail Address

Name Of The Institution Where Documents Are Stored

Nuts0

Name Of Other Region

From All Regions

Nuts2

Nuts3

Comment

2000 Characters remaining

Last Name

Telephone

Street

House Number

Postal Code

City

Url

If the documents are stored in different locations, please use the comment box to precise this.

F. Procurement over the EU threshold

To know if the procurement is over EU Thresholds, please check the [factsheet 4.2](#).

The following table summarises the main thresholds as of 1 January 2018.

Nature of procurement	Type of contractor	Estimated value, excluding VAT
Public contracts for services and supply	Central Government authorities (e.g. ministries)	≤ EUR 144,000
	Sub-central contracting authorities (e.g. regions, municipalities)	≤ EUR 221,000
Public contracts for works ²	Both central and sub-central authorities	≤ EUR 5,548,000



The LP should collect all the information concerning procurement over the EU thresholds of all its partners. The LP is the only one who has the access to this section.



Procurements (Initial)

-  Add
-  Save

Add procurements by clicking on „add“.

Please fill in the table for the LP or the partners which did a procurement over EU threshold.

Procurement 1

1 - -

Remove

Contracting project participant (LP or PP) ✎

1 - v

Contract type ✎

Specification of the contracted supply, service or works ✎

Contract amount excl. VAT ✎

€ 0,00

Eligible expenditure incurred and paid based on contract (see "Invoices" table below) ✎

€ 0,00

Procurement procedure used (field not relevant) ✎

Name of the contractor ✎

Comment ✎

2000 Characters remaining

Comment 2 ✎

2000 Characters remaining

Invoices:

Once the procurement has been created by the LP in the “supplementary information” section, the PP will have the possibility when entering its invoices to make reference to the procurement over the EU threshold entered (cf. the red frame in the screenshot below).



Edit Expenditure Partner Report 1 Period List of Expenditures

P P	Budgetline	---	Description1
	Workpackage	---	
	Procurement	Numero X1	2000 Characters remaining
	Internal Reference Number		Description2
	Invoice Number		2000 Characters remaining
	Invoice Date		Partner Comment
	Date Of Payment		2000 Characters remaining
	Currency	EUR - EURO	
	Conversion rate		(1)
	Total Value Of Item In Original Currency		
	Vat		
	Declared Amount In The Original Currency		
	Declared amount in Eur		
	Expenditure Outside (The Union Part Of) The Programme Area?	<input type="checkbox"/>	

Upload

Uploaded
No records found

Once the partner report has been submitted to the FLC, the table in the section „supplementary information“ is updated at each step as indicated below.

Invoices

1 - 2 Of 2 1

Show more	Total declared in partnerreport	Date of declaration to flc (first submission)	Total approved by flc	Date of flc certificate	Link to the flc certificate	Total included in project report	Date of project report	Total paid so far	Date of payment (final payment if paid in instalments)	Total value of the procurement
	€ 145.000,00	01.08.2018								
	€ 10.000,00	01.08.2018								
	€ 155.000,00		€ 0,00			€ 0,00		€ 0,00		€ 50.000,00

1 - 2 Of 2 1

Export

Upload:

Please do not use this section.



ANNEX 1

INTERACT classification of type of partners and target groups

Nr.	Main categories	Examples	Measurement unit
1	Local public authority	municipality, etc.	[number of organisations]
2	Regional public authority	regional council, etc.	[number of organisations]
3	National public authority	ministry, etc.	[number of organisations]
4	Sectoral agency	local or regional development agency, environmental agency, energy agency, employment agency, etc.	[number of organisations]
5	Infrastructure and (public) service provider	public transport, utility company (water supply, electricity supply, sewage, gas, waste collection, etc.), airport, port, railway, etc.	[number of organisations]
6	Interest groups including NGOs	international organisation, trade union, foundation, charity, voluntary association, club, etc.	[number of organisations]
7	Higher education and research	university faculty, college, research institution, RTD facility, research cluster, etc.	[number of organisations]
8	Education/training centre and school	primary, secondary, pre-school, vocational training, etc.	[number of organisations]
9	Enterprise		[number of enterprises]
10	SME	micro, small, medium	[number of SME]
11	Business support organisation	chamber of commerce, chamber of trade and crafts, business incubator or innovation centre, business clusters, etc.	[number of organisations]
12	EEIG, EGTC ³		[number of organisations]
13	International organisation	under national law, under international law	[number of organisations]
14	General public ⁴		[number of people]
15	Other ⁵		

³ Relevant only for type of partner classification

⁴ Relevant only for target groups

⁵ Relevant only for target groups

Project assignment



1. Identification of project and project partner	
Interreg Programme	Interreg Alpine Space 2014-2020
Project acronym	
Name of project partner (employer)	

2. Assigned employee	
Name of employee	
Date of signature of employment contract (dd/mm/yyyy)	
Start date of employment (dd/mm/yyyy)	
Extent of assignment (in %) to the above mentioned project	

3. Period of project assignment			
From: (dd/mm/yyyy)		To: (dd/mm/yyyy)	

4. Details on the assignment	
WP No.	Project related activities (including information on the envisaged contribution of the employee to the outputs and deliverables to be achieved according to the application form)

5. Confirmation

Herewith, Mr./Mrs. _____ is assigned to the above-mentioned Interreg Alpine Space project in order to contribute to project activities and outputs as indicated above.

Please select:

- It is confirmed that Mr./Mrs. _____ is currently in addition assigned to the following public funded projects:
- _____ (funded by _____),
 - _____ (funded by _____),
 - _____ (funded by _____).
- It is confirmed that in total not more than 100 % of his/her working time are allocated to all these projects and therefore not more than the total actual staff costs will be requested for co-financing.*
- It is confirmed that Mr./Mrs. _____ is currently not assigned to any other public funded project.

Date, Place

Date, Place

Name and signature of the employer

Name and signature of the employee



Guidance Project assignment

The assignment form: what is it for?

This document shall provide guidance and support on the calculation and issuing of a project assignment. As stated in section A.3 of fact sheet 1.4 “What can be co-financed? The programme’s eligibility rules” a written assignment of the employee to the project shall be issued if the beneficiary opts for the co-financing of the staff costs on a real cost basis.

In order to ensure that the assignment includes the necessary information, a model assignment was drafted. This model assignment shall be considered as minimum requirement. Additional information might be added by the beneficiaries.

How to fill it in?

The first section of the guidance is dedicated to the identification of the project and the project partner. The guidance shall include information on the programme and the project concerned (the indications on the project title and project acronym as well as the project partner shall be coherent with the indications in the application form).

1. Identification of project and project partner	
Interreg Programme	Interreg Alpine Space 2014-2020
Project acronym	Please insert the project acronym as indicated in section A.1 of the application form (AF)
Name of project partner (employer)	
Please insert the name of the PP as indicated in section B.1 of your AF	



The second part of the guidance shall provide details on the employee including information on the total extent of assignment.

2. Assigned employee	
Name of employee	<input type="text"/>
Date of signature of employment contract (dd/mm/yyyy)	<input type="text"/>
Start date of employment (dd/mm/yyyy)	<input type="text"/>
Extent of assignment (in %) to the above mentioned project	<input type="text"/>

Please consider that the extent of assignment refers to the relation of the employee to the project and not the employer. Therefore an employee might be part time employed (e.g. 20 working hours a week) but full time assigned (100% - in case of 20 working hours a week assigned to the project) or full time employed (e.g. 40 working hours a week) but only part time assigned (50% - in case of 20 working hours a week assigned to the project)

In addition the period of assignment shall be defined. There is no limitation foreseen as regards the period – it can therefore last one month only up to 36 months. It is strongly recommended that a minimum duration of the assignment corresponds to the reporting period (normally 6 months).

3. Period of project assignment			
From: (dd/mm/yyyy)	<input type="text"/>	To: (dd/mm/yyyy)	<input type="text"/>

The description of the planned activities per work package shall be summarised in section 4 of the assignment (in the assignment, there is no need to specify the percentage per work package).

4. Details on the assignment	
WP No.	Project related activities (including information on the envisaged contribution of the employee to the outputs and deliverables to be achieved according to the application form)
<input type="text"/>	<input type="text"/>

As the assignment will be the basis of any financial control performed on the staff costs co-financed it shall be ensured that the information provided in this section provides the necessary details on the planned project related activities of this single employee and his/her contribution to the outputs to be achieved.



The programme model finally foresees a final confirmation that double financing is excluded. In order to provide a basis for the financial control, all public funded projects to which the employee is assigned to shall be listed (indicating the project name and the funding source).

5. Confirmation

Herewith, Mr./Mrs. [redacted] is assigned to the above-mentioned Interreg Alpine Space project in order to contribute to project activities and outputs as indicated above.

Please select:

It is confirmed that Mr./Mrs. [redacted] is currently in addition assigned to the following public funded projects:

- [redacted] (funded by [redacted]),
- [redacted] (funded by [redacted]),
- [redacted] (funded by [redacted]).

Project title and source to be inserted

It is confirmed that in total not more than 100 % of his/her working time are allocated to all these projects and therefore not more than the total actual staff costs will be requested for co-financing.

It is confirmed that Mr./Mrs. [redacted] is currently not assigned to any other public funded project.

[redacted]
Date, Place

[redacted]
Date, Place

Name and signature of the employer

Name and signature of the employee

How to calculate the extent of assignment?

The extent of assignment shall be generally calculated on the basis of the following data:

- normal annual working hours
- estimated project related working hours

The normal annual working hours can be calculated as follows: The weekly working hours (according to employment contract or national regulations) are multiplied with 52 weeks a year. Then, the annual vacation claim (as laid down in the contract or national law) and the national bank holidays are deducted.

Examples

Calculating the normal annual working hours

University X is located in Member State A. The employment contracts concluded by PP XY foresee weekly working hours in the amount of 40 (in case of full time employment). National law of Member State A



foresees 25 days of vacation, in addition there are 12 national bank holidays.

40 (weekly working hours) x 52 (weeks/year)	= 2.080 (working hours a year)
- 25 (days of vacation) x 8 (average daily working hours: 40h/5d)	= - 200 (hours vacation)
- 12 (national bank holidays) x 8 (average daily working hours)	= - 96 (hours national holidays)
Normal annual working hours	= 1.784

The University X, department “XY” is lead partner in the project “CheeseAlps”. As a lead partner “XY” is responsible for the project management. Additionally the first level control is performed internally by department “XZ”. In the following two examples for the calculation of the staff costs are presented:

- 1) **Franz** is half time employed (20 hours a week); the monthly gross employment costs amount to EUR 2.300.

Estimating the project related working hours

Franz will assist the project manager and perform tasks as follows:

- general project coordination: 200h;
- elaboration of progress reports: 230h;
- controlling tasks: 170h;
- project closure and final progress report: 130h;
- **in total: 730h;**

Calculating the assignment

As project management is a permanent task, Franz is assigned to the project for the entire project implementation period (01.01.2016 – 31.12.2018 = 36 months/3 years). The **assignment** to the project can be calculated as follows: $1.784 \times 0,5 \times 3 \text{ years} = 2676\text{h}$; $730 / 2676 = 0,2728 (= 27\%)$

Calculating the eligible staff costs

Thus the **eligible monthly staff costs** for Franz are: $\text{EUR } 2.300 \times 0,27 = \text{EUR } 621,00$. Especially at the beginning or at the end of a project it might be the case that months in question do not fall completely into the assignment period (e.g. project end date is 15 December 2018). This has to be considered accordingly, when calculating the eligible staff costs for this month (e.g. for December 2018: $2.300 / 31 \times 15 \times 0,27 = \text{EUR } 300,48$).



- 2) The internal first level controller **Ricarda** is full time employed (40 hours a week); her monthly gross employment costs are EUR 5.100.

Estimating the project related working hours

The certification of expenses has to be implemented every six months only and in average Ricarda needs 18 hours for one certification procedure. During the project lifetime six certifications are needed.

Calculating the assignment

In principle there are two ways to estimate the assignment and calculate the costs:

- a) Permanent assignment (36 months/3 years): $1.784 \times 3 \text{ years} = 5352\text{h}$; $(18\text{h} \times 6) / 5352 = 0,02 (= 2\%)$
- b) Monthly assignments for those months where the FLC work is done: $18 / 148,7 (1.784/12) = 0,12 (= 12\%)$

Calculating the eligible staff costs

Independent from the selected assignment (either permanent or monthly), the staff costs amount to EUR 3.672:

- a) The eligible monthly staff costs amount to EUR 102 ($5.100 \times 0,02$), the total eligible FLC costs for the entire implementation period amount to EUR 3.672 ($5.100 \times 0,02 \times 36$).
- b) The eligible monthly staff costs amount to EUR 612 ($5.100 \times 0,12$), the total eligible FLC costs for the entire implementation period amount to EUR 3.672 (612×6).

What to consider when drafting the assignment: More flexibility is given if option b) of the above mentioned example is selected (as for option a) Ricarda could not be assigned 100% to other project even in those months she is not performing the FLC tasks and therefore not working for the project “CheeseAlps”). Therefore for project partner institutions involved in a number of public funded projects shorter assignment periods might be preferable.



The following picture illustrates how the assignment of Franz (example 1) could look like:

Project assignment



Alpine Space Programme

1 / 20

1. Identification of project and project partner	
Interreg Programme	Interreg Alpine Space 2014-2020
Project acronym	AlpsExample
Name of project partner (employer)	University XY

2. Assigned employee	
Name of employee	Franz Hauer
Date of conclusion of employment contract	01/10/2013
Extent of assignment (in %) to the abovementioned project	27%

3. Period of project assignment			
From:	01/01/2016	To:	31/12/2018

4. Details on the assignment		
WP No.	Project related activities (including information on the envisaged contribution of the employee to the outputs and deliverables to be achieved according to the application form)	
WP M1	Franz will assist the Project Manager in the general project coordination (regular e-mail exchange with PP, preparation of project team meetings and project steering group meetings). In addition he will support the Project Manager in the regular controlling tasks and the reporting to the programme. Finally he will be involved in the project closure (especially the preparation of the closure meeting and final conference as well as the preparation of the final report to the programme).	

5. Confirmation	
-----------------	--

Herewith, Mr. Franz Hauer is assigned to the above-mentioned Interreg Alpine Space project in order to contribute to project activities and outputs as indicated above.

It is confirmed that Mr. Hauer is currently in addition assigned to the following public funded projects:

- *CentralExample (funded by ERDF – Interreg Central Europe),*
- *RegionalFocus (funded by Land Tirol)*

It is confirmed that in total not more than 100 % of his/her working time are allocated to all these projects and therefore not more than the total actual staff costs will be requested for co-financing.

Date, Place

Date, Place

Name and signature of the employer

Name and signature of the employee



This programme is
co-financed by the European Regional
Development Fund



4. Confirmation

Please select:

Herewith, it is confirmed that Mr./Mrs. _____ was also working on the following public funded projects in this reporting period:

- _____ (funded by _____),
- _____ (funded by _____),
- _____ (funded by _____).

It is confirmed that in total not more than 100 % of his/her working time are invoiced to all these public funded projects and therefore not more than the total actual staff costs will be requested for co-financing.

It is confirmed that Mr./Mrs. _____ was not working on any other public funded project in this reporting period. It is therefore ensured that not more than the total actual staff costs will be requested for co-financing.

Date, Place

Date, Place

Name and signature of the employer (superior)

Name and signature of the employee



Guidance

Six-monthly task report

This document provides guidance and support on how to draft the six-monthly task report. It is relevant for those organisations reporting staff costs on a real cost basis (it is not required if the flat rate for staff costs has been chosen in the application form). For further reference please see fact sheet 1.4 “What can be co-financed?” and the guidance paper on the project assignment.

Six-monthly task report: what is it for?

As stated in section A.3 of factsheet 1.4 “What can be co-financed?”, a six-monthly task report is required for each individual staff member assigned to the project and for which staff costs will be reported on a real costs basis. The six-monthly task report is meant to inform on the activities performed by the staff member during the reporting period.

Generally it is foreseen that for each single assignment a six-monthly task report is set up. Consequently employees might have to prepare more than one task report if for the six-month period in question more than one assignment was agreed.

How to fill it in?

Section 1. Identification of project, project partner and employee

The first section is dedicated to the identification of the project, the project partner, the employee and the related assignment. Please make sure that details included here are consistent with the information provided



in the application form (AF) and with the assignment of the relevant staff member.

1. Identification of project, project partner and employee	
Interreg Programme	Interreg Alpine Space 2014-2020
Project acronym	<i>Please insert the project acronym and the project partner name as indicated in section A.1 and B.1 of the AF.</i>
Name of project partner (employer)	<i>As indicated in section 2 of the related project assignment.</i>
Name of employee	<i>As indicated at the end of the related project assignment.</i>
Date of assignment (dd/mm/yyyy)	<i>As indicated in section 3 of the related project assignment.</i>
Period of project assignment (dd/mm/yyyy)	<i>As indicated in section 2 of the related project assignment.</i>
Extent of assignment (in %)	<i>As indicated in section 2 of the related project assignment.</i>

Section 2. Reporting period

This is the period for which costs are reported. It shall correspond to the project periods indicated in the AF. It normally covers 6 months, either from 1 January to 30 June or from 1 July to 31 December; be aware however that the first and last reporting period might be different (see AF for the precise dates).

If staff is assigned to the project after the reporting period has already started, the whole reporting period is still to be indicated (e.g. if the project assignment starts in September 2016, the reporting period to be indicated is anyhow 1 July 2016 to 31 December 2016). The same applies if the staff assignment ends before the end date of the reporting period.

2. Reporting period ¹					
From:	(dd/mm/yyyy)	<i>Usually: 01/01/20xx or 01/07/20xx</i>	To:	(dd/mm/yyyy)	<i>Usually: 30/06/20xx or 31/12/20xx</i>

Section 3. Details per work package

This section shall include a description of the project related activities which were implemented by the relevant staff member; details should also be added on the contribution provided to the outputs and deliverables achieved in the period in question.

Please note that this information is of crucial importance for any financial control. Therefore, the description shall be detailed enough to justify the staff costs reported. Please also make sure that a clear link can be established between the activities described in the six-monthly task report and the relevant project assignment. The column “estimated extent of involvement” is meant to provide an overview on the involvement of staff per work package. Be aware that only estimated values are expected. The split per work



package in this section shall be used as basis for the allocation of the staff costs to the single work package when filling in the list of expenditures in the eMS report section (the reported staff costs per work package will have to mirror the percentage indicated here).

3. Details per work package		
WP No.	Description of activities implemented in this reporting period including information on the contribution of the employee to the outputs and deliverables achieved for each work package involved in	Estimated extent of involvement (in %)
	As the six-monthly task report and the assignment will be the basis of any financial control performed on the staff costs co-financed it shall be ensured that the information provided in this section provides the necessary details on the implemented project related activities of this single employee and his/her contribution to the outputs achieved per work package and therefore justifies the staff costs reported.	It shall be indicated how the time worked on the project in the reporting period was spread among the single WP (estimated value only). Please take care that the total amounts to 100%.
	The actual involvement in a single reporting period might not reflect the extent of assignment (in some it might be less in others higher). This is not of any relevance as long as it reflects the actual involvement of the person seen in relation to the whole period of assignment.	
Total		100 %

Section 4. Confirmation

A confirmation on the exclusion of double financing is required in this section. If a single staff member was involved in any other public funded project during the concerned reporting period, the name of the project(s) and the co-financing source(s) shall be listed. If this was not the case, it has to be confirmed that the employee concerned was not working on any other public funded project in the period in question.

4. Confirmation

Please select:

Herewith, it is confirmed that Mr./Mrs. _____ was also working on the following public funded projects in this reporting period:

- _____ (funded by _____)
- | |
|------------------------------|
| Project title to be inserted |
|------------------------------|

 funded by

Funding source to be inserted

- _____ funded by _____

It is confirmed that in total not more than 100 % of his/her working time are invoiced to all these public funded projects and therefore not more than the total actual staff costs will be requested for co-financing.

It is confirmed that Mr./Mrs. was not working on any other public funded project in this reporting period. It is therefore ensured that not more than the total actual staff costs will be requested for co-financing.

Date, Place

Date, Place

Name and signature of the employer (superior)

Name and signature of the employee



Practical example

The following example is connected to the example of a project assignment presented in the guidance on the assignment: Franz Hauer, employee of the project partner organization University XY, was assigned to the project AlpsExample on 15 December 2015. He will support the project manager from 1 January 2016 to 31 December 2018. The task report related to the first reporting period could look as follows.

14 | 20

Six-monthly task report

(per assignment)

1. Identification of project, project partner and employee	
Interreg Programme	Interreg Alpine Space 2014-2020
Project acronym	AlpsExample
Name of project partner (employer)	University XY
Name of employee	Franz Hauer
Date of assignment	15/12/2015
Period of project assignment	01/01/2016 – 31/12/2018
Extent of assignment (in %)	27%

2. Reporting period			
From:	01/01/2016	To:	30/06/2016

3. Details per work package		
WP No.	Description of activities implemented in this reporting period <i>including information on the contribution of the employee to the outputs and deliverables achieved for each work package involved in</i>	Estimated extent of involvement (in %)
WP M1	This period was especially dedicated to the project start process (including especially the kick-off meeting and the revision of the AF on the basis of the PC recommendations). The main project-related activities I have implemented in this period were the following: - organisation of the kick-off meeting: looking for appropriate locations, requesting offers from four conference centres, preparing a note for file on the offers provided and presenting these to the PM; cooperation with the selected conference centre as regards the preparation of the meeting room; preparing and forwarding the invitation to the project partners and experts; printing the meeting documents, drafting presentation of the PM; administrative support during the kick-off meeting; - revision of the AF: coordination of the PP feedback, regular exchange with the PM on necessary amendment; drafting of e-mails requesting clarifications from JS and PP 2. entering data in the eMS;	100
Total		100 %

4. Confirmation

Please select:

Herewith, it is confirmed that Mr./Mrs. Franz Hauer was also working on the following public funded projects in this reporting period:

- *Regional Focus (funded by Land Tirol),*
- *CentralExample (funded by ERDF – Interreg Central Europe),*
- *InnovCAT (funded by Interreg Austria-Bavaria).*

It is confirmed that in total not more than 100 % of his/her working time are invoiced to all these public funded projects and therefore not more than the total actual staff costs will be requested for co-financing.

It is confirmed that Mr./Mrs. was not working on any other public funded project in this reporting period. It is therefore ensured that not more than the total actual staff costs will be requested for co-financing.

Innsbruck, 12.07.2016

Innsbruck, 12.07.2016

Date, Place

Date, Place

Name and signature of the employer (superior)

Name and signature of the employee



FactSheet

No. 4.8

Project greening

Why project greening?

One of the three horizontal principles stated in the cooperation programme of Interreg Alpine Space is “sustainable development”. It is considered carefully in the evaluation of project proposals, which means that all co-financed Alpine Space projects develop sustainable development solutions to common Alpine challenges. Nevertheless, the daily project implementation itself has an impact on the environment.

In line with Article 8 of Regulation (EU) No 1299/2013, the Alpine Space programme strives to adopt eco-friendly practices for all its daily activities, especially concerning events and meetings. Both for the programme and for its projects it is a matter of credibility to get aware of the environmental impact of their activities and to reduce their ecological footprint. Project participants are thus strongly encouraged to apply energy efficient and sustainable principles to their activities. In fact, reducing the impact on the environment can not only add value to a project in terms of credibility, but it can also result in lower costs.

This factsheet provides guidance on simple greening measures projects should apply to contribute to sustainable growth in the European Union. Its contents are based on the United Nations Environment Programme’s (UNEP) publications on the topic, namely the UNEP guide to climate neutrality: “kick the habit” and the UNEP Green meeting Guide (see reference documents at the end of this factsheet).



How to green your project?

Simple measures can make your project greener! They only require coordinated action and a “green approach” to project activities.

All project participants should share the same **sustainability objectives** and should cooperate on how to reach them. Project staff and observers should be made aware of the purpose and benefits of greening and be encouraged to act responsibly.

Sustainability should be **considered for all decisions** taken during the project’s lifetime (e.g. by systematically using green public procurement, or applying greening principles in event organisation).

In particular when purchasing services or goods, the environmental effects should be taken into account in the **procurement procedure**, i.e. in the specification of services or technical requirements, the definition of selection or award criteria, or the formulation of respective clauses in the contract (e.g. regional products to be used in catering), see also factsheet “public procurement”. Labels can help organisers identify providers that apply sustainable production methods.

Once the process is running, **measuring and quantifying the achievements** of the greening activities will build credibility, provide data for comparison with later activities, as well as figures for communication purposes. Project participants can measure the ecological footprint of their organisation or of the project by using the European green office eco-footprint calculator for example (cf. reference documents). Many calculators exist online. A list can be found in the UNEP guide to climate neutrality: “kick the habit” - chapter “count and analyse” (cf. reference documents).

Last but not least, **communicating all greening efforts and results** of the project is a very important step which contributes to a positive reputation, better visibility and an increased interest from the EU and the public.



Practical hints for project greening

Below are some practical hints for incorporating sustainability into project activities (i.e. events, meetings, and travels). Project participants are invited to implement all or as many as possible of these simple actions and to communicate this accordingly.

Project publications and dissemination products

- Publications can be disseminated electronically. Printing of publications should be foreseen only if strictly necessary and only if following a sound dissemination plan.
- Short, clear and “to-the-point” publications should be preferred to long ones and images should be reduced to save printing space.
- Publications should be printed for external communication purposes (if needed only) on both sides and on recycled paper. For electronic publications, a “printer-friendly” version (less colours, more compact text, less pages) should be made available.
- Recycled or natural material should be preferred for the production of promotional products. Only useful products should be produced.
- Publications should be printed where they are going to be distributed in order to minimise transportation distances.

Events and meetings

Applying greening principles for the organisation of meetings and events (cf. Checklist for organising green meetings/events at the end of the factsheet) provides high visibility for the project’s commitment to sustainability and climate change mitigation. It is important to communicate effectively what kind of greening measures the project applies, so that the event participants are made aware of the results achieved in this domain.

Some countries offer a green meeting certification (e.g. in Austria: <http://en.umweltzeichen-meetings.at>) for venues and event organisation companies. Certified service providers should be preferred in the meeting preparation phase. You will find a checklist, which could help facilitate the organisation of green project events and meetings in line with the programme eligibility rules, at the end of this factsheet.



Going further: Environmental Management Systems

To go further in their greening strategy, project participants can establish a plan defining specific objectives, actions and evaluation methods for their organisations. This can be done by adopting an Environmental Management System (EMS), which allows assessing whether proper sustainability procedures are in place, and helps the participants show their commitment to environmental issues as well as European sustainability objectives.

Reference documents

[UNEP guide to climate neutrality: “kick the habit”](#)

[UNEP green meeting guide, 2009](#)

[Factsheet 4.2: Public procurement](#)

[EU eco-management and audit scheme \(EMAS\)](#)

[EU ecolabel and green public procurement](#)

[ICLEI sustainable events guide and checklist, 2012](#)

[European green office website](#)

Further information

[5 alternatives to Skype](#)

[The ecolabel catalogue by country](#)



Checklist for organising green meetings/events

Before the meeting

- + Explore if a phone or a video conference could be organised instead of a meeting.

Setting up and running the event/meeting

- + Electronic means (e.g. e-mail, website) are used rather than printed materials for pre-meeting and follow-up communications.
- + Participants are encouraged to use sustainable ways of travelling by providing the following information:
 - o For short trips favour train to coach/plane and if train is not an option, favour car/coach to plane.
 - o Participants are encouraged to share the drive with other participants: a platform is provided for them to communicate and organise ride-sharing.
 - o Website addresses to offset the environmental costs of travel are provided.
- + Information on the greening efforts made at the meeting/event is provided electronically prior to, and after the meeting.
- + Paper used is recycled paper and any necessary material is printed at the local venue rather than shipped from elsewhere.
- + Participants' bags/packs are avoided or produced locally using recycled material, and are reusable.
- + Pens are provided only upon request, are made of a high content of recycled material, and are refillable.
- + In case participant's packs cannot be avoided, only strictly necessary material is included. Copying/printing is available upon request at the venue for the participants to print the information received by e-mail beforehand. Recycled or certified paper is available.
- + All material produced for the event (such as banners, posters, signs, etc.) is designed and written in a generic way to allow them to be reused for other events.
- + The start and end of the meeting are adjusted to the schedules of environmentally sound transportation means.
- + A dedicated area is provided for participants to return material that can be re-used (such as badges).
- + The use of decorative elements such as flowers, banners etc. is minimised.



Venue

- + Priority is given to locations available in the premises of one of the project participants in order to reduce the need for staff to travel.
- + The venue gives clear indications on the use and handling of the environmental duties in place (reduction of waste, use of reusable dishes instead of disposable ones, tap water etc.).
- + The venue has good access to the main public transport connections and town centre.
- + If possible, all waste produced at the venue is sorted for recycling and sufficient, well-marked bins are provided in both participants and staff areas.
- + It is possible to regulate the temperature within the building. Use of natural light is preferred and the use of stage lights is kept to the strict necessary.

Accommodation

- + The hotels are located near public transportation and as close as possible to the conference facilities (preferably within walking distance).
- + Hotels certified with recognised green building system or EMS and/or having environmental policy and action plans are preferred.
- + The hotel should give clear indications on the use and handling of the environmental duties in place (reduction of waste, use of reusable dishes instead of disposable ones, refillable soap dispenser etc.).

Catering

The following aspects are taken into account when procuring services, in the specification of services, the criteria for selection or award, as well as in clauses of the contract to be concluded with the caterer.

- + The use of reusable dishes, cutlery, glassware and linens is ensured and aluminium foil avoided.
- + If disposable items are essential, it is ensured that they have a high content of recycled or plant-based material, are recyclable and that appropriate recycling systems are in place.
- + Paper products used for catering have a high recycled content and are totally or elementary chlorine free (TCF or ECF).
- + The use of single-use bottles for beverages is avoided.
- + If possible, all waste produced is sorted for recycling and sufficiently numerous, well-marked bins are provided in catering areas.



- + The caterer is informed on the exact number of participants and is able to re-evaluate the quantities needed to avoid waste.

Food and drinks

- + Locally grown and produced food and drinks are used and menus reflect the seasonal products of the region.
- + The use of organically produced food and drinks is preferred.
- + For products like sugar and coffee, the use of fair trade labelled products is preferred.
- + The quantity of meat products offered is minimised and at least one vegetarian option is offered (as the production of meat produces considerably more CO₂ than non-meat products).
- + Tap water is used and served in jugs instead of in single-use bottles.

Local transport

- + Clear instruction is provided to participants on appropriate public transport and/or walking arrangements from point of arrival/departure (railway station, airport) to the venue, accommodation, town centre, etc. This is provided by e-mail shortly before the event and can be additionally displayed at the venue.
- + A member of staff or local volunteer is provided to accompany the participants from hotel/station to the venue on foot or public transport. If public transport is not available, a shuttle service is organised.



FactSheet

No. 4.9.

Project Management

As laid down in Article 6 (1) a) of the subsidy contract (SC) “the LP undertakes to ensure a professional management of the project”. It is therefore in the responsibility of the Lead Partner to set up efficient and effective project management structures and procedures.

The Interreg programme Alpine Space 2014-2020 will support the LP by offering project management trainings (especially addressed to the lead partner staff). The projects are highly recommended to attend these trainings. Beside the possibility to gain knowledge about project management and especially project management tools, these trainings will offer the possibility to exchange with other persons working on Alpine Space projects.

Project Management Structure

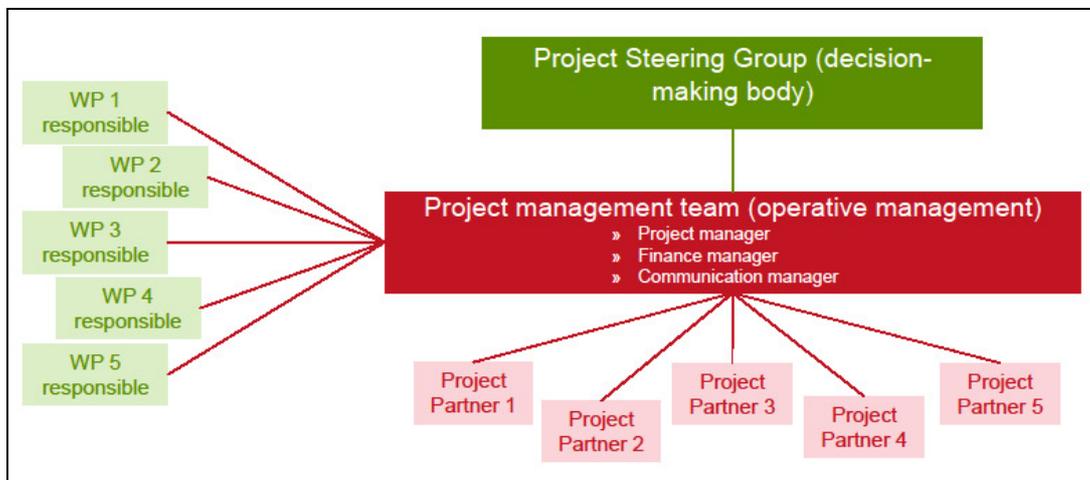
Especially in the framework of an international project environment the establishment of a well-functioning project management structure is essential for the successful implementation of a project. Sufficient resources shall therefore be foreseen during project start, implementation and closure.



For the implementation of the project management a specific project-related organisational structure needs to be established. The organisational structure within an Alpine Space project should foresee the following bodies:

- the Project Steering Group as decision-making body as foreseen in article 6 of the partnership agreement;
- a project management team consisting of a project manager, a finance manager and a communication manager¹ for the operative management of the project;
- one work package responsible taking over the coordination of work package related tasks and activities.

The following graph illustrates how this organisation could look like:



Project Steering Group

Article 6 of the partnership agreement (PA) which all project participants have concluded regulates that “for the successful management and completion of the project, a project steering group (hereinafter "PSG") shall be set up.” The PSG shall be composed by competent representatives of all project participants and shall be chaired by the LP. It shall meet on a regular basis.

Following the PA the PSG shall be responsible for:

- the monitoring of the implementation of the project and
- the settlement of any disputes among project participants.

¹ The LP has the overall responsibility for the operative and financial management of the project, including internal communication. The communication manager, leader of work package (WP) Communication, is responsible for the external communication of the project and the coherence of all activities with the communication strategy



The PSG therefore needs to be informed regularly about the project progress and especially about any delays or deviations from the approved plan. This information shall be provided by the project manager.

Project Management Team

The LP shall ensure that the following functions are assumed: project manager, finance manager and communication manager. The project manager leads this project management team and bears the overall responsibility for the operative management of the project.

In general, the project management team shall manage the project efficiently (and according to the relevant standards for project management). It shall ensure that inter alia the following tasks of the LP as laid down in SC and the PA are fulfilled:

- to coordinate the start, implementation and closure of the project according to the time schedule as indicated in the ultimate version of the application form (AF),
- ensure the quantitative and qualitative delivery of the planned project activities, outputs and results, as stated in the approved AF,
- to constantly monitor the exhaustion of the project budget foreseen for each project participant and ensure that budget shifts are carried out within the limits and according to the rules of the programme,
- to submit the progress reports within the reporting deadlines established by the programme,
- to ensure that the project is implemented in compliance with the relevant rules,
- to ensure that the expenditure reported by each project participant has been controlled according to the rules and that it corresponds to the activities set out in the AF,
- to forward the ERDF funds to the project without any delay,
- to inform the MA and JS immediately about all circumstances that delay or hinder the realisation of the project,
- to ensure that information and communication activities are carried out in accordance with the rules and coordinate the respective project activities,
- to inform the PP about all essential issues related to project implementation without any delay.

In case of a LP from Switzerland or Liechtenstein, a close cooperation with the ERDF-LP especially as regards the financial monitoring and reporting has to be secured (as regulated in the respective partnership agreement).



Work package responsible

As foreseen in the AF, a work package responsible shall be nominated for each single work package. It is strongly recommended that the responsible project participant (only in the case of the work package project management it is already pre-defined that this role is taken over by the LP) nominates one staff member that bears the overall responsibility for the coordination and implementation of one work package. Sub teams (that might involve staff members of other project participants) might be installed to support the work package responsible.

The work package responsible shall inform the project management team on a regular basis about the progress as regards the work package implementation and any deviation from the approved plan.

Project partner

The responsibilities of the project partner (PP) are laid down in detail in the partnership agreement. In particular, each PP shall:

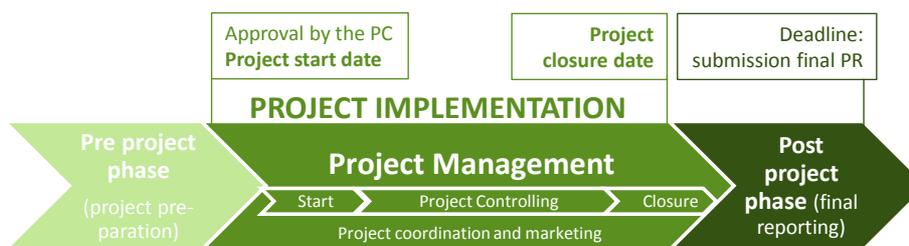
- ensure the quantitative and qualitative delivery of its planned project activities, outputs and results, as stated in the approved AF,
- provide the LP without any delay with any information needed to coordinate and monitor the implementation of the project, for reporting purposes and to react on any requests of the programme,
- ensure timely reporting on its activities and costs in accordance with the time schedule of the project,
- inform the LP immediately about any circumstance that may adversely affect the implementation of the project in accordance with the project application,
- only implement changes in its approved budget if they comply with the flexibility rules and if prior approval from the LP or the programme bodies has been provided, as appropriate,
- carry out appropriate information and communication activities under the coordination of the LP as stated in the approved AF,
- comply with the relevant regulations and rules of the European Union and the programme
- be responsible for the correct use of the ERDF funds received for the project,
- support the LP to fulfil all obligations as set out in the subsidy contract.

The project partner shall therefore implement the project in close contact with the LP (and ERDF-LP if relevant).



Project Management Processes

The core processes of the project management in an Alpine Space project are presented in the following graph.



One particularity of the Alpine Space projects is that the planning itself takes already place in the **pre project phase**. In this phase the application form of the project needs to be drafted and therefore details as regards the foreseen outputs and results, the work package structure and the finances have to be fixed. Beside the planning tools already foreseen in the AF or additionally offered by the eMS, the projects are recommended to make use of other professional project management tools (such as project context analysis, project environment (stakeholder) analysis, project risk analysis, project organisation chart and project role descriptions).

The **project start** process shall especially focus on the preparation, organisation and implementation of a kick-off meeting in which the project planning is reviewed and finally adapted – especially on the basis of any recommendations made by the Alpine Space programme bodies but also on recent developments in the project environment (since usually months pass between the planning and the final project start).

The implementation of the project shall be constantly controlled by the project management. This **project controlling** shall be treated separately from the reporting to the programme (even though it serves as basis for the progress report to be provided to the JS – details on the reporting procedure are laid down in the relevant fact sheet). It is strongly recommended to monitor the actual progress and review it with the plan data at least on a quarterly basis (even shorter periods might be necessary – especially in a critical project implementation period). The project partners and work package responsible shall therefore provide regularly standardised data on the project implementation – the level of detail and the way of communication should be agreed among the project participants during the project kick-off meeting. Any deviations from the plan should result in counter-measures. The project controlling shall be based on professional project



management tools. In parallel the project management team shall safeguard that the reporting obligations on programme level are met.

The **project closure** process will especially include a final evaluation of the project success and a definition of tasks and responsibilities after project closure. Therefore a final event should be organised – in which not only the public is informed about the project results but also the project partners are reflecting on the success of the project and any lessons learnt. In addition the final reporting to the programme shall be prepared.

The Alpine Space programme understands the **post project phase** as administrative closure of the project. In this period the first level control of expenditure shall be concluded and the submission of the final report shall take place. Even after this phase, the Lead Partner needs to be available for any follow-up actions on programme level (such as evaluations, audits of the Audit Authority, the European Commission or any other authorized body).

Reference Documents

- Subsidy contract
- Partnership agreement
- Factsheet 4.7. “Project Reporting”



FactSheet

No. 5

Project closure

Factsheet No 5 describes the process and the relevant steps to be taken by the lead partner (LP) once the project has reached the end date of its implementation. In this regard, there are a number of considerations to be made on how to initiate the project closure. These are described in the sections below.

Final report

After the finalisation of the project, together with the last project report (PR), the LP must submit a final report to the joint secretariat (JS) via the e-electronic system (eMS). Its purpose is to provide an overview of the project and partnership achievements at the moment of closure, but also the envisaged long lasting effects.

As specified in the subsidy contract (SC) the final report shall be submitted to the JS within three months after the project closure date.

In the final report, the results and changes of the project should be presented, especially with regard to the contribution to the selected programme specific objective and result indicators. Experiences with transnational co-operation should be described as well as the synergies with other projects and initiatives and the cooperation with EUSALP. The project management and the partnership should be analysed with a critical eye. The project should also detail planned follow-up measures and further steps for utilisation and dissemination of the project outputs to ensure durability.



Besides the closure of the last project report and the implementation of any necessary (financial) correction or follow-up measure due to audits or control, closure of the final report is also one precondition that the final ERDF tranche can be initialised.

Guidance

The **final report** is the last document to be submitted by the project LP. The LP should prepare the final report with all the partners during the closure activity foreseen in the WP Management in order to collect their impressions and information and to possibly discuss the last reporting document in the last partner meeting/steering group.

The information contained in the **last regular PR** complements the final report. The LP shall check the PR guidance available on the programme website, which contains specific indications on how to complete the last regular PR. The last PR should always be a project progress report (even if it should be submitted in autumn when normally status reports are submitted).

The **last reporting period** could be shorter or longer than the 6 months period. Accordingly, the staff costs can also be reported for a reporting period longer or shorter than the normal 6 month basis. Expenditure related to activities foreseen in the approved application form and in line with the programme rules are eligible provided that they have been incurred, invoiced and paid before the project closure date.

If payments are initialised after the closure date, the related expenses can be accepted as long as the activities have been implemented and invoices issued before the project closure date, but respecting the deadline for submission of the final report. (in this case please contact the FLC body responsible as well as the lead partner in advance)

The **last invoice of the first level controller (FLC)** is eligible even if the work performed took place after the project closure, provided that the following procedure is respected:

1. The project partner submits its partner report and the financial documents to the FLC as for previous reports;
2. The FLC performs the eligibility check of the partner report and invoices the partner for its work;
3. The FLC reverts the partner report to the partner in order to include the FLC invoice in an amended list of expenditures in the eMS and the partner pays the FLC's invoice;
4. The FLC verifies the payment and the revised partner documents and issues the certificate.



Further information to be considered

Net revenues after project closure

For further information about net revenues after the project closure, please refer to factsheet 2.4 on “project net revenues”.

Retention of documents

The LP and all other project partners (PP) of the project are obliged to retain for audit purposes all files, documents and data about the project for a three-year period from 31st December following the submission of the accounts in which the final expenditure of the completed project is included. The MA/JS will inform the LP about the beginning of the mentioned three-year period. Other possibly longer document retention periods, according to the applicable national and internal rules of the PP, remain unaffected.

Durability

The project foresees in its application form to contribute to the programme’s result indicators. The changes induced by the project are not limited to the project life time. The project impacts could last long after the project end. In order to support the durability of the impacts, the project has to adopt durability and transferability measures before the project closure. To ensure the sustainability of the outputs and long term impacts, the project should involve its target groups and stakeholders during the project life time and take concrete measure to ensure further development or uptake after the project end.

Final payment

For further information about payments, please refer to factsheet 4.7 on “project reporting”.

Reference documents

- EU Regulation 1303/2013, articles 130(1) and 132(1)
- Subsidy contract

Annexes

- Final report template/guidance



Template and guidance of the Project Final Report

The purpose of the project final report is to provide a comprehensive overview of the project achievements, its contributions to programme and project objectives, but also offers the opportunity for the project partnership to report its experience during the project's implementation with a critical eye.

The final report will be enabled by the project officer of the project. It is to be submitted via the [electronic monitoring system \(eMS\)](#) at the latest 3 months after the project end.

A. Project impacts/results

A.1 Please describe the achieved and expected (in foreseeable future) impacts/changes your project brings to the cooperation area. Indicate also the geographical extent to which your project brought change (partner level, regional, national, transnational or EU level) and explain the reasons why. If possible, please quantify these impacts and changes.

Guidance: this question is linked to the programme result indicator of your application form (C.2.1). Changes could be tangible and/or intangible: some tangible changes are e.g. cost/time savings, reduced energy consumption, reduced environmental impact, reduced risks, improved access to services, to business development, job creations, etc.; some intangible impacts are e.g.: better governance, building institutional capacities, raising awareness, changing of attitude and behaviour. Please describe how you reach your target groups when explaining these changes.

[maximum 10 000 characters]



A.2 What kind of changes has the project brought to the partners and observers both individually and collectively?

Guidance: Please collect comments and remarks from your partners and observers and compare them against the reasons given to join the project in section B of the application form. The project may have impacted also the way of working of the partners, brought some new competences and/or methodologies, opened new perspectives and kicked off new collaborations.

[maximum 10 000 characters]

A.3 Contribution to EUSALP and other EU or wider strategies and policies: In particular, please describe how, with concrete measures, your project has contributed to EUSALP and the implementation of its action plan.

Guidance: consider your contributions to the different strategies and policies (listed also in your application form C3.1 and C3.2) and identify key success factors, but also primary obstacles or missed opportunities that prevented the project from achieving a greater impact.

[maximum 10 000 characters]

B. Transnational cooperation

B.1 What has been the added value of the transnational approach of your project? Has your project had positive (but also possibly negative) effects that you did not expect?

Guidance: please consider the added value of the transnational cooperation for the partnership, for the stakeholders' involvement, for the topic the project has dealt with and for the cooperation area. The focus of the question is on the transnational character of the project and its consortium (described in your application form C1.2).

[maximum 10 000 characters]

B.2 Please report cooperation and concrete synergies with other Alpine Space projects and/or other EU programme and projects/international initiatives.

Guidance: please refer to the box C3.3 "Synergies" and C3.4 "Knowledge" of your application form and describe which concrete cooperation and synergies were actually successful.

[maximum 10 000 characters]



C. Partnership and project management

C.1 Please describe the main challenges as regards working in a transnational partnership (with cultural differences).

Guidance: Problems faced, solutions found and lessons learnt should be explained here. Please precise also the balance between benefits/challenges.

[maximum 10 000 characters]

C.2 Evaluation of technical project implementation and project management – what worked out well, what not, what would you do differently now?

Guidance: Were all the partners actively involved? Were the internal communication and work repartition effective? For example: was the coordination role of the WP leaders operational, did the project steering structures work efficiently? Was the cooperation with project observers successful?

[maximum 10 000 characters]

D. Communication activities

D.1 In your view, which was the most successful achievement in terms of communication of your project? Please explain why.

[maximum 10 000 characters]

D.2 How do project communication measures ensure durability and transferability of the project outputs/results?

Guidance: please consider that those measures for durability and transferability are also related to specific target groups. The further use of the outputs by the target groups should be presented here too and illustrated with concrete examples.

[maximum 10 000 characters]

D.3 What are the most important lessons learnt from your communication activities? Please consider your target groups and the different approaches used in the project to involve them.

[maximum 10 000 characters]



E. Future outlook

E.1 What would be the future challenges and opportunities for further transnational exchange in the field/topic your project was dealing with? How will it be possible to capitalise on your project outputs?

[maximum 10 000 characters]

E.2 Please indicate how the partnership will continue the cooperation beyond this project (to ensure durability of project outputs).

Guidance: please indicate if structures for maintenance of the project outputs were established (if yes, precise the names of the structures or the partners which will support them financially and what the tasks of such structures will be). Please describe if a long run action plan has been prepared (if yes, please indicate by whom the action plan has been agreed and what its time horizon is). What will happen with project outputs after the project closure? If strategic documents or/and planning procedures were amended to maintain the project outputs, please precise the nature of such adjustments and names of documents and procedures affected). Please countercheck what was initially planned in the sections “Durability and transferability of outputs“ for each output of your application form and if there is any deviation. If you are aware of follow up projects, please name and describe them briefly (e.g. possible funding sources...).

[maximum 10 000 characters]

F. Checklist

The supplementary information in the eMS and particularly the location of the documents have been updated.	<input type="checkbox"/>
The project LP will get in contact with the JS in case of net revenues, irregularities or suspicion for fraud detected after the project end.	<input type="checkbox"/>
The relevant regulations of the European Community and the relevant national legislation as well as the provisions of the Alpine Space programme, especially the rules set out in the subsidy contract, have been obeyed by all projects participants	<input type="checkbox"/>
The provisions of the subsidy contract, especially article 4, 6, 7 (2), 11 and 13, are known and will be obeyed beyond the date of project closure.	<input type="checkbox"/>