

# **DRAFT TEMPLATE AND GUIDELINES FOR THE CONTENT OF THE COOPERATION PROGRAMME**

**Version 2 – 17.05.2013**

*This document is based on the preliminary agreement reached among the co-legislators on the programming block in the context of the trilogues on the ETC Regulation, as documented in the texts agreed at COREPER on 24 April 2013. It also takes into account further discussions that have taken place in the context of the trilogues since then. It will still require review as negotiations progress.*

*The headings in this document correspond to the elements set out in the Articles 24 CPR and 7 of the ETC Regulation. The text boxes provide guidelines on the drafting of the content of the cooperation programme.*

*It is recalled that the cooperation programme will be directly introduced in the SFC.*

*In 2012 the Commission provided each Member State with a country position paper outlining the analysis of the Commission of the main challenges and funding priorities relevant for the ESI Funds in the programming period 2014-2020, including in relation to European Territorial Cooperation. These position papers, and the ensuing dialogue with the Commission, should serve to guide the elaboration of both the Partnership Agreement, the operational and cooperation programmes both in terms of their content, in particular in relation to the prioritisation of development needs and concentration of support, as well as in terms of the presentation of information.*

**SECTION 1. STRATEGY FOR THE COOPERATION PROGRAMME'S CONTRIBUTION TO THE UNION STRATEGY FOR SMART, SUSTAINABLE AND INCLUSIVE GROWTH AND THE ACHIEVEMENT OF ECONOMIC, SOCIAL AND TERRITORIAL COHESION- ARTICLE 24 (1) CPR AND ARTICLE 7(2)(A) ETC REGULATION**

**1.1 Strategy for the cooperation programme's contribution to the Union strategy for smart, sustainable and inclusive growth and to the achievement of economic, social and territorial cohesion**

- Description of the cooperation programme's strategy to contribute to the delivery of the Union strategy for smart, sustainable and inclusive growth and to the achievement of economic, social and territorial cohesion.

*The strategy of the cooperation programme for contributing to the Union strategy for smart, sustainable and inclusive growth , outlining:*

- *An analysis of the situation of the programme area as a whole in terms of the needs, addressing where appropriate, missing links in cross-border infrastructure;*
- *How the cooperation programme will address these needs and challenges and thereby contribute to the delivery of the Union strategy for smart, sustainable and inclusive growth, where appropriate with reference to existing national, regional, cross-border/transnational/macro-regional/sea-basin strategies coherent with the Union strategy for smart, sustainable and inclusive growth, and the ex-ante evaluation;*

*The cooperation programme's strategy shall take account of the Common Strategic Framework, and the relevant elements of the Commission position paper for the countries involved. Where there have been changes in the programme geography, a justification in terms of the added value of these changes could be added. Where Member States request the inclusion of additional areas to the programme area, the reasons and justification for this request need to be provided.*

*For outermost regions' programmes combining cross-border and transnational allocations (including the additional allowance of Article 4 (2) ETC Regulation)<sup>1</sup>, a justification as to how this combination increases the efficiency of programme implementation has to be provided. The specifics for the cross-border and the transnational allocation have to be presented separately throughout the programme.*

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<sup>1</sup> The possibility for this combination was provisionally agreed in trilogues, but no formal agreement yet.

- Justification for the choice of thematic objectives and corresponding investment priorities, having regard to the Common Strategic Framework, based on an analysis of the situation of the programme area as a whole in terms of needs and the strategy chosen in response, addressing, where appropriate, the missing links in cross-border infrastructure, taking into account the ex-ante evaluation, and with reference to, existing national, regional, cross-border/transnational/macro-regional or sea-basin strategies coherent with the Union strategy for smart, sustainable and inclusive growth, where relevant (table).

**Table 1: A synthetic overview of the justification for the selection of thematic objectives and investment priorities**

Selected thematic objective	Selected investment priority	Justification for selection [a maximum of x characters]
		<p><i>Examples:</i></p> <p>1) Need to increase participation (e.g. of older workers, vulnerable groups, youth) in the programme area</p> <p>2) Study for programme area setting out targets from baseline of x in 2010 to a target of y by 2020</p> <p>3) Severe bottlenecks in cross-border transport infrastructure due to insufficient intermodal links between rail, road, air and water transport</p> <p>4) Targets set out in the Action Plan for macro-regional and sea-basin strategies</p> <p>5) Need to improve the quality of integration of cross-border labour markets, including cross-border mobility</p> <p>6) Low efficiency of the cooperation between public administration</p>

## 1.2 Justification of the financial allocation

The justification of the financial allocation (i.e. the Union support) to each thematic objective and, where appropriate, investment priority, in accordance with the thematic concentration requirements, taking into account the ex-ante evaluation<sup>2</sup>.

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<sup>2</sup> The possibility to implement the INTERACT and ESPON programmes under a single priority axis (in addition to the one on technical assistance) covering one thematic objective and investment priority was provisionally agreed in trilogues, but not formal agreement yet. A detailed justification for different thematic objectives/investment priorities would in that case not be required.

*The justification is to be set out with reference to, where appropriate:*

- need to ensure compliance with EU acquis;*
- the funding priorities, with reference to the Commission services country position paper;*
- substantial complementary investments from other public or private sources;*
- etc.*

*The justification should be presented in percentage and qualitative terms (e.g. approximately 1/3 of the ERDF allocation is allocated towards thematic objective 1, because..."), based on the relative weight of the allocation to a given thematic objective. It should be brief and proportionate, reflecting the total amount of programme resources.*

**Table 2: Overview of the programme investment strategy**

*The purpose of this section is to demonstrate in a synthetic manner the consistency between the needs identified, the thematic objectives and the investment priorities selected, as well as the specific objectives and the financial allocation proposed. It also provides an overview of the contribution of the cooperation programme to the Union strategy for smart, sustainable and inclusive growth. For outermost regions' programmes combining cross-border and transnational allocations (including the additional allowance of Article 4 (2) ETC Regulation), the table below will indicate the investment strategy separately for each of them.<sup>3</sup>*

*This table is generated automatically by the SFC based on information inserted under other sections of the cooperation programme.*

Priority axis	Thematic objective	Investment priorities	Specific objectives corresponding to the investment priorities	Result indicators corresponding to the specific objective  [input from result indicator tables]	ERDF support) - EUR	Share of the total Union support to the operational programme (by Fund) <sup>4</sup>		
						ERDF	ENI (where applicable)	IPA (where applicable)
1	1	1.1	1		€1,000,000,000	%		
		1.1	2					
		1.2	3					
2	1	1.1	5		€1,000,000,000			

<sup>3</sup> The possibility for this combination was provisionally agreed in trilogues, but no formal agreement yet.

<sup>4</sup> Presentation of amounts transferred from ENI and IPA depends on management option chosen, cfr. fiche no. 28 on Elements related to proposed integration of allocations under external financing instruments into ETC programmes.

	3	3.1	6					
TA	NA	NA	7		€500,000,000			

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## **SECTION 2. DESCRIPTION OF THE PRIORITY AXES - ARTICLE 7(2) (B) AND (C) ETC REGULATION**

### **Section 2.A A description of the priority axes other than technical assistance- Article 7(2) (b) ETC Regulation**

*The description of the priority axis has to be provided for each priority axis and is, where indicated, broken down by investment priority. For each investment priority the corresponding specific objectives have to be set out, Article 7 (2) (b) (i) ETC Regulation. INTERACT and ESPON programmes have the possibility choose only one thematic objective and investment priority and may be implemented under a single thematic priority axis<sup>5</sup>. For programmes involving outermost regions combining cross-border and transnational allocations, information required has to be presented separately for each allocation.<sup>6</sup>*

#### **PRIORITY AXIS 1: (title)**

#### **2.A.0. Where applicable, a justification for the establishment of a priority axis covering more than one thematic objective - Article 7 (1) ETC Regulation**

*As a general rule, programmes should set out priority axes covering only one thematic objective. The approach to combine investment priorities from different thematic objectives should only be used "where appropriate and in order to increase impact and effectiveness in a thematically coherent integrated approach (...) in duly justified cases".*

*Therefore, this section is required only in case the cooperation programme uses the possibility provided by Article 7 (1) ETC Regulation to set up a priority axis covering more than one thematic objective. Where this option is not used, this section is not filled in.*

*The aim of this section is to explain how the chosen set-up of the priority axis contributes to an increase in the impact and the effectiveness of cohesion policy and why a simpler set-up of an axis or axes covering investment priorities from a single thematic objective would constitute a less effective choice. This section should justify how this will lead to the maximum contribution of the investment priorities concerned to the priority axis.*

#### **INVESTMENT PRIORITY 1 of priority axis 1: (title) [Article 7 (2) (b) (i) ETC Regulation]**

#### **2.A.1. Specific objective(s) corresponding to the investment priority and expected results - Article 7 (2) (b) (i)-(ii) ETC Regulation**

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<sup>5</sup> The possibility to implement the INTERACT and ESPON programmes under a single priority axis (in addition to the one on technical assistance) covering one thematic objective and investment priority was provisionally agreed in trilogues, but not formal agreement yet.

<sup>6</sup> The possibility for this combination was provisionally agreed in trilogues, but no formal agreement yet.

**SPECIFIC OBJECTIVE 1:** *(specific objective as defined in the cooperation programme)*

- The results, which the Member States (and third countries) participating in the cooperation programme seek to achieve with the contribution of EU support, with reference to a reference situation in the programme area, where necessary to complement the analysis in section 2.

*The aim of this section is to specify the specific objective linked to a particular investment priority and to outline the results sought.*

*The specific objective must be consistent with the investment priority in question, defining it as necessary to target the particular development needs of the programme area. The specific objective cannot be broader than the investment priority in question. The number of specific objectives per investment priority should be limited as far as possible, to facilitate the monitoring of progress and avoid the fragmentation of programmes. However, there is no formal limitation in this respect.*

*The specific objective sought is meaningful only if there is an understanding of the reference situation i.e. what the situation is at the beginning of the programming period and what it should be like at the end of the programming period. Therefore, where section 2 is not sufficiently explicit on the development needs pertinent to the specific objective, this section may be used to outline the situation at the start of the programming period, including the challenges to be addressed, in more detail.*

*"Results" in general refer to the changes sought (in the reference situation) in view of the specific objective to be achieved. "Result indicators" are used to capture the measureable dimension(s) of the result – to facilitate the assessment of whether progress has been made towards the achievement of the result and whether a change has taken place in the direction desired. Result indicators measure only some of the relevant dimensions of the result. Depending on the indicator, external factors part from Union intervention may to a lesser or higher degree influence the results reported and the attainment of the specific objectives and targets.*



**Table 3: Programme specific result indicators (by specific objective) - Article 7.2 (b)(ii) ETC Regulation**

*One (if possible) and no more than two result indicators should be used for each specific objective. The need for more indicators should be exceptional.*

ID	Indicator	Measurement Unit	Baseline Value	Baseline Year	Target Value <sup>7</sup> (2022)	Source of Data	Frequency of reporting
	<i>Programme Specific Result Indicator S.1, with quantitative target</i>  <i>e.g. cross-border labour markets, number of cross-border workers</i>	<i>number of persons regularly crossing the border to go to work</i>	20,000	2012	<i>Increase by 10-15%</i>	<i>statistical data</i>	<i>Once a year..</i>
	<i>Programme Specific Result Indicator S.2 with a qualitative target</i>  <i>e.g. Perception of quality of accessibility of cross-border area</i>	<i>Accessibility perception by population, expressed on a scale from 1 to – 10, 1 being very well accessible</i>	6	2013	2-3	Survey	Every two years

## **2.A.2. Actions to be supported under the investment priority (by investment priority)**

### **2.A.2.1 A description of the type and examples of actions to be financed and their expected contribution to the corresponding specific objectives, including, where appropriate - Article 7 (2) (b) (iii) ETC Regulation**

- the identification of the main target groups;
- specific territories targeted;
- types of beneficiaries;
- for INTERACT, and ESPON: Definition of beneficiary or beneficiaries.

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<sup>7</sup> Target values can be qualitative or quantitative.

*This description should provide an overview of the types of interventions planned to support, complemented by more concrete examples, as appropriate. In particular it should explain how types of actions planned contribute to specific objectives e.g. through targeting of specific target groups or territories, focus on particular themes or issues etc. Therefore this section should provide a clear understanding of how the objectives will be pursued and the results attained in practice, with the types of actions planned.*

*Specific arrangements in relation to beneficiaries for some of the interregional cooperation programmes (for example in relation to the INTERACT points) should be indicated here.*

*Note that the choice of output indicators and categories of intervention must be consistent with this description.*

*Where appropriate, this description should also include steps to be taken to take into account the principles of equality between men and women, non-discrimination and sustainable development.*

*NB: Where appropriate, for cross-border cooperation programmes, this description should include an indication whether the entire priority axis is dedicated solely to community-led local development in the meaning of Article 28 of the CPR (which allows an increase in the EU co-financing rate by 10% as set out in Article 110 (5) of the CPR).*

#### **2.A.2.2. The guiding principles for the selection of operations - Article 7 (2) (b) (iii) ETC Regulation**

*This section should include a brief description of:*

- The principles applied to ensure the selection of quality operations contributing to the delivery of the specific objectives and achievement of the result. This description is required for each investment priority, but where it is the same for several investment priorities, a cross-reference may be used to avoid repetition.*
- For ESPON and INTERACT, the granting procedure may be specified.*

### **2.A.2.3 The planned use of financial instruments (if relevant) - Article 7 (2) (b) (iii) ETC Regulation**

*Where it is envisaged to use financial instruments, this section should include a description of the planned financial instruments. It should outline the planned scope for the use of financial instruments and the intentions of the programme in this regard. As financial instruments can be set-up in mid-period, and the ex-ante assessment required for each instrument is not necessarily completed at the time of submission of the cooperation programme, the description should be clear where the use of financial instruments is definite (e.g. has been already subject to ex-ante assessment and instrument is being set up) and where it is under consideration or planned.*

*NB: Where appropriate, this section should indicate that the entire priority axis will be implemented solely:*

- through financial instruments within the meaning of Article 32 CPR (which allows an increase in the EU co-financing rate of the EU co-financing rate by 10% as set out in Article 110 (5) of the CPR), or*
- through financial instruments set up at Union level and referred to in Article 33(1)a CPR (which allows increasing the EU co-financing rate up to 100%).*

### **2.A.2.4 The planned use of major projects (if relevant) - Article 7 (2) (e<sup>8</sup>) ETC Regulation**

*A description of how the major projects to be supported will contribute to the specific objectives corresponding to this investment priority. Where no major projects are planned, this should be indicated here.*

### **2.A.2.5 Common and specific output indicators, including the quantified target value (by investment priority) (Table 4) - Article 7 (2) (b) (iv) ETC Regulation**

*Output indicators are required for each investment priority. As outputs are linked to the types of actions supported, the choice of output indicators should be consistent with the description of the types of actions to be supported under the investment priority. The indicators chosen should capture a major share of the interventions supported under the investment priority and thus enable an assessment of progress in implementation.*

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<sup>8</sup> Not applicable to INTERACT and ESPON.

**Table 4: Common and programme specific output indicators (by investment priority)**

<b>ID</b>	<b>Indicator (<i>name of indicator</i>)</b>	<b>Measurement unit</b>	<b>Target value (2022)</b>	<b>Source of data</b>
			(values)	

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**2.A.3. Performance framework (by priority axis) - Article 7 (2) (b) (v) ETC Regulation****An identification of implementation steps and financial and output indicators to act as milestones and targets for the performance framework in accordance with Article 19(1) CPR and Annex (xx) (Table 5) – by priority axis**

*Specific guidance will be available of the set-up of the performance framework and the use of different types of indicators for this purpose.*

*The indicators used for the performance framework are in most cases likely to be a sub-set of the result and output indicators defined for the priority axis, possibly at an aggregate level (if the same indicator is used for multiple investment priorities within the priority axis). The exception to this is the use of "key implementation steps", which are not part of the usual indicator system and financial indicators.*

*Key implementation steps indicate progress in the implementation processes, e.g. preparation of major projects, launch of tendering procedures or specific calls for proposals for key operations, etc. Such key implementation steps can be used as milestones in circumstances where the early stage of implementation does not allow the use of output or result indicators. In such cases, measurement units are not always used, hence measurement units are listed as "where appropriate".*

*Annex x of CPR on the performance framework requires the indicators used in the performance framework to be "closely linked" to the policy interventions supported. They are required to be realistic, achievable and relevant, capturing essential information on the progress of a priority. Therefore the indicators and implementation steps chosen should be representative of the priority axes i.e. reflect the implementation, outputs and, where appropriate, results of the majority of interventions undertaken under that priority axis. The last column of the performance framework table provides a possibility to explain this, where this is not evident from the description of the priority axes.*

**Table 5: The performance framework of the priority axis**

<b>Implementation step, financial, output or result indicator</b>	<b>Measurement unit, where appropriate</b>	<b>Milestone for 2018</b>	<b>Final target (2022)</b>	<b>Source of data</b>	<b>Explanation of the relevance of the indicator, where appropriate</b>

*In addition qualitative information on the set-up of the performance framework may be added.*

## 2.A.4. Categories of intervention (by priority axis) - Article 7 (2) (b) (vii) ETC Regulation

Categories of intervention corresponding to the content of the priority axis, based on a nomenclature adopted by the Commission, and an indicative breakdown of the Union support (Tables 6-10)

*The categories of intervention are based on a nomenclature adopted by the Commission, which includes 7 dimensions relevant for the ERDF.*

*The first 3 dimensions correspond to the first three used for the period 2007-2013 and set out in Annex II of the Commission regulation 1828/2006, albeit changes in certain categories and codes will be made.*

*An additional dimension covers "territorial delivery mechanisms" allowing the analysis of the use of community-led local development, ITIs and integrated approaches to sustainable urban development.*

*Another dimension aims to track the allocation of Union support to each thematic objective (where priority axes cover multiple thematic objectives) and thus to the Union strategy for smart, sustainable and inclusive growth.*

*In accordance with Article 7 (11) ETC Regulation, this information is not subject to the Commission decision approving the cooperation programme, but remains under the responsibility of the participating Member States.*

**Tables 6-10: Categories of intervention**

Table 6: Dimension 1 Intervention field		Table 7: Dimension 2 Form of finance		Table 8: Dimension 3 Territory		Table 9: Dimension 6 Territorial delivery mechanism		Table 10: Dimension 8: Thematic objective	
Code	€ amount	Code	€ amount	Code	€ amount	Code	€ amount	Code	€ amount

*For the remaining dimensions of categorisation, data is requested for information purposes through electronic data exchange system during implementation.*

**2.A.5. A summary of the planned use of technical assistance including, where necessary, actions to reinforce the administrative capacity of authorities involved in the management and control of the programmes and beneficiaries and, where necessary, actions for the enhancement of the administrative capacity of relevant partners to participate in the implementation of programmes (by priority axis) - Article 7 (2) (b) (vi) ETC Regulation**

*This section should be included in the description of the priority axis, where appropriate, to identify specific gaps in the administrative capacity of concrete authorities or specific beneficiaries who implement this priority axis. It should set out specific actions to be supported from technical assistance to reinforce the administrative capacity of authorities and beneficiaries to ensure an effective implementation of the priority axis as well as the level of the available resources. Therefore, this section is dedicated to the actions which are specific and limited to improving the implementation capacity related to a single priority axis.*

*In ETC context: for example specific capacity-building measures for the implementation of cross-border infrastructure projects.*

*Where the use of technical assistance for the purpose of developing the administrative capacity of authorities and beneficiaries does not involve any specific actions linked to the priority axis concerned, this section does not to be filled in.*

*This section should not overlap in content with the description of the priority axis for technical assistance;.*

## **Section 2.B. A description of the priority axis for technical assistance (Article 7 2 (c) ETC Regulation )**

*The following information should be provided and, where indicated, broken down by specific objective. There are no corresponding thematic objectives or investment priorities for technical assistance.*

**PRIORITY AXIS: (TITLE)**

### **2.B.1. Specific objectives and expected results (Article 7 (2) (c) (i)-(ii) ETC Regulation)**

**SPECIFIC OBJECTIVE:** *(specific objective as defined in the programme)*

- The results which the programme seeks to achieve with EU support, with reference to the baseline situation in the programme area, where necessary to complement the analysis in section 2.

*The description of the expected results is required only where the Union support to the priority axis or axes for technical assistance exceeds EUR 15 million.*

## 2.B.2. The list of result indicators (only where the Union support to technical assistance exceeds EUR 15 million)

**Table 11: Programme specific result indicators (by specific objective) - Article 7 (2) (c) (ii) ETC Regulation**

ID	Indicator	Measurement Unit	Baseline Value	Baseline Year	Target Value <sup>9</sup> (2022)	Source of Data	Frequency of reporting

## 2.B.3. Actions to be supported and their expected contribution to the specific objectives (Article 7 (2) (c) (iii) ETC Regulation)

### 3.B.3.1. A description of actions to be supported and their expected contribution to the specific objectives (Article 7 (2) (c) (iii) ETC Regulation)

*This section should include a description of actions to be supported and describe the link between the outputs generated by these actions and the specific objectives/ results sought.*

### 2.B.3.2 Output indicators expected to contribute to results (Table 13) (Article 7(2) (c) (iv) ETC Regulation)

**Table 12: Output indicators**

ID	Indicator (name of indicator)	Measurement unit	Target value (2022) <sup>10</sup> (optional)	Source of data
			(values)	

<sup>9</sup> The target values can be qualitative or quantitative.

<sup>10</sup> Target values for output indicators under technical assistance are optional.



**2.B.4. Categories of intervention Article 7 (2) (c) (v) ETC Regulation**

**The corresponding categories of intervention based on a nomenclature adopted by the Commission, and an indicative breakdown of the Union support**

**Tables 13-15: Categories of intervention**

Table 13: Dimension 1 Intervention field		Table 14: Dimension 2 Form of finance		Table 15: Dimension 3 Territory	
Code	€ amount	Code	€ amount	Code	€ amount

*For the remaining dimensions of categorisation data is requested for information purposes through electronic data exchange system during implementation*

**SECTION 3. THE FINANCING PLAN OF THE COOPERATION PROGRAMME WITHOUT ANY DIVISION BY PARTICIPATING MEMBER STATES - ARTICLE 7 (2) (D) ETC REGULATION**

**3.1. A table specifying for each year, in accordance with Articles 53, 110 and 111 of the CPR, the amount of the total financial appropriation envisaged for the support from the ERDF (EUR) - Article 7 2 (D) (i) ETC Regulation<sup>11</sup>**

**Table 16**

	2014	2015	2016	2017	2018	2019	2020	Total
<i>ERDF</i>								
<i>IPA amounts (where applicable)</i>								
<i>ENI amounts (where applicable)</i>								
<i>Total</i>								

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<sup>11</sup> Where outermost regions combine cbc and transnational allocations in one programmes, the respective allocations need to be presented separately.

**3.2.A Financial plan of the cooperation programme specifying, for the whole programming period, for the cooperation programme and for each priority axis, the amount of the total financial appropriation of the support from the ERDF and the national co-financing. (EUR) (Table 17) (Article 7 (2)(d) (ii) ETC Regulation)**

- 1. The financial table should set out the financial plan of the cooperation programme by priority axis. Where outermost regions' programmes combine cross-border and transnational allocations, separate priority axes need to be set out for each of these.*
- 2. The financial table shall show for information purposes, any contribution from third countries participating in the cooperation programme (other than contributions from IPA and ENI, e.g. NO, CH)*
- 3. The EIB contribution should be presented at the level of the priority axis.*

**Table 17<sup>12</sup>**

	Fund	Basis for the calculation of the Union support (Total eligible cost or public eligible cost)	Union support (a)	National counterpart (b) = (c) + (d))	Indicative breakdown of the national counterpart		Total funding (e) = (a) + (b) (2)	Co-financing rate (f) = (a)/(e)	For information	
					National funding (c)	Public funding (1) (d)			Contributions from third countries	EIB contributions
<i>Priority axis 1</i>	ERDF (possibly incl. amounts transferred from IPA and ENI) <sup>13</sup>									
	IPA									
	ENI									
<i>Priority axis N</i>	ERDF (possibly incl. amounts transferred from IPA and ENI)									
	IPA									
	ENI									
Total	ERDF									
	IPA									
	ENI									
Total	Total all Funds									

(1) To be completed only when priority axes are expressed in total costs.

(2) This rate may be rounded to the nearest whole number in the table. The precise rate used to reimburse payments is the ratio (f).

<sup>12</sup> Special allocation for outermost regions pursuant to Article 4 (2) ETC Regulation needs to be reflected in a separate priority axis given the different co-financing rate.

<sup>13</sup> Presentation of amounts transferred from ENI and IPA depends on management option chosen, cfr. fiche no. 28 on Elements related to proposed integration of allocations under external financing instruments into ETC programmes.

### 3.2.B. Breakdown of the financial plan of the cooperation programme by priority axis, and thematic objective (Table 19) - Article 7 (2) (d) (ii) ETC Regulation

*This breakdown is required in order to fulfil the requirement set out under (Article 7(2) (d) (ii) to specify for priority axes, which combine investment priorities from different thematic objectives, the amount of total financial appropriation and the national co-financing for each of the corresponding thematic objectives. Where each priority axis corresponds to a single thematic objective, this table will not require a breakdown below the level of a priority axis.*

**Table 18**

Priority axis	Thematic objective	Union support	National counterpart	Total funding
Priority axis N	Thematic objective 1			
	Thematic objective 2			
<b>TOTAL</b>				

**Table 19: The indicative amount of support to be used for climate change objectives (Article 24 (5) CPR)**

*This table is generated automatically by SFC based on categorisation tables included under each of the priority axes.*

*The information provided in this table is based on uniform conditions on the implementation of a methodology for each of the ESI Funds adopted by the Commission based on Article 8 of the CPR.*

Priority axis	The indicative amount of support to be used for climate change objectives (EUR)	Share of the total allocation to the cooperation programme (%)
<b>1.</b>		
<b>Total</b>		

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#### **SECTION 4. INTEGRATED APPROACH TO TERRITORIAL DEVELOPMENT - ARTICLE 7(3) ETC REGULATION<sup>14</sup>**

**A description, taking into account the content and objectives of the cooperation programme, of the integrated approach to territorial development, including in respect of areas referred to in Article 174 (3) TFEU, having regard to the Partnership Agreements of the participating Member States, and showing how it contributes to the accomplishment of the programme objectives and expected results**

*A description of the approach to territorial development outlining:*

- *The main territorial development needs and bottlenecks to be addressed, and main territorial development potentials, with reference to section 2, where appropriate, and the means to achieve an integrated approach.*
- *The contribution of the territorial approach to the specific objectives and expected results of the cooperation programme.*

##### **4.1. Where appropriate, for cross-border cooperation programmes, the approach to the use of community-led local development instruments and the principles for identifying the areas where it will be implemented**

*A description outlining:*

- *Where a cross-border cooperation programme plans to use the community-led local development approach, a description of:*
  - *the principles for the identification of the areas in which community led local development will be implemented;*
  - *the principles for the selection, approval and funding of community-led local development strategies and local development groups under Article 29(2-5) of Regulation (EU) No [CPR].*

*As the use of community-led local development is optional, filling in this section is not mandatory, where no community-led local development is planned under the cooperation programme.*

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<sup>14</sup> Information required to be adapted to URBACT, INTERACT and ESPON.

**4.2. Where appropriate, the principles for identifying the urban areas where integrated actions for sustainable urban development are to be implemented and the indicative allocation of the ERDF support for these actions, Article 7 (3) (b) ETC Regulation**

*Information on:*

- *The approach to sustainable urban development to tackle economic, environmental, climate, demographic and social challenges affecting urban areas, taking into account the need to promote urban rural linkages, including the principles for identifying the urban areas (for example joint characteristics of "twin cities" in a cross-border areas).*
- *The indicative amount of the ERDF support for integrated actions for sustainable urban development (Table 20).*
- *In addition other aspects related to the approach to sustainable integrated urban development may be outlined (where appropriate, the use of ITIs, or other specific implementation arrangement such as for example the use of EGTCs and the extent of the involvement of urban authorities in the management of these actions)*

*Not all cooperation programmes include sustainable urban development actions, therefore the filling in of this section is not mandatory, where no such actions are planned.*

**Table 20: The indicative allocation of the ERDF support for integrated actions for sustainable urban development**

	<b>Resources for integrated actions for sustainable urban development</b>
ERDF	

**4.3. Where appropriate, the approach to the use of Integrated Territorial Investment (ITI) (as defined in Article [99] of the Common Provisions Regulation) other than in cases covered by 5.2 and their indicative financial allocation from each priority axis**



*An indication of whether the programme will apply the approach outlined in Article [99] of the Common Provisions Regulation to other areas in addition to sustainable urban development referred to in point 5.2 and where relevant;*

- *Whether ITIs will constitute a significant or a widely used implementation tool for the cooperation programme;*
- *The areas where ITIs will be used (where this is known) or types of areas, if the areas are to be selected, specifying how and by when the areas covered by ITIs will be decided, where relevant*
- *an indicative financial allocation to ITI other than those mentioned under point 4.2 (table 21);*
- *the arrangements for the management and implementation of the ITI , such as the use of EGTCs or other joint legal bodies taking account of Art. 10 ETC Regulation, including where appropriate the coordination between the managing authorities of the programmes contributing financially to the implementation of an ITI.*

*The use of ITIs is optional. Therefore the filling in of this section is not mandatory, where no ITIs will be used to implement the cooperation programme.*

**Table 21: An indicative financial allocation to ITI other than those mentioned under point 5.2**

Priority	Indicative financial allocation (Union support) (EUR)
Priority axis 1	
Priority axis 2	
Total:	

- 4.4. Where Member States and regions participate in macro-regional and sea basin strategies, the contribution of planned interventions towards such strategies, subject to the needs of the programme area as identified by the relevant Member States and taking into account, where applicable, strategically important projects identified in the respective strategies.**

- 4.4.1. *The mechanisms to ensure coordination with macro-regional and sea-basin strategies (where appropriate)***

*As not all cooperation programmes are covered by macro-regional or sea-basin strategies, this section may be left unfilled. However, where the programme area is covered, this section should be filled in. Where the strategy is not relevant for a particular programme, it should also be explained in this section.*

*This section should set out the coordination mechanisms established to link up to the implementation of macro-regional and sea-basin strategies. Where appropriate, the Managing Authority should ensure that National Contact Points and Priority Areas coordinators are involved in the planning and the implementation of the programmes.*

***4.4.2. The contribution of the cooperation programme to the planned interventions under the macro-regional and sea basin strategies, taking into account, where applicable, strategically important projects identified in the respective strategies***

*Where appropriate, a description, of how the macro regional and sea basin strategies have been taken into account in the definition of specific objectives and elaboration of types of actions to be supported. Reference could be made to strategically important projects agreed in the context of macro-regional and sea-basin strategies where a cooperation programme will implement one of these.*

*As not all cooperation programmes are covered by macro-regional or sea-basin strategies, hence this section may be left unfilled. However, where the programme area is covered, this section should be filled in.*

## SECTION 5. IMPLEMENTING PROVISIONS FOR THE COOPERATION PROGRAMME - ARTICLE 7 (4) ETC REGULATION

### 5.1 Identification of the relevant authorities and bodies -Article 7 (4) ETC Regulation

**Table 22: Identification of and contact details for the relevant authorities and bodies<sup>15</sup>**

Authority/body	Name of the authority/body	Head of the authority/body
Managing authority		
Certifying authority, where applicable		
Audit authority		

The body to which payments will be made by the Commission is:

☐ the managing authority

☐ the certifying authority

Authority/body	Name of the authority/body	Head of the authority/body
Body or bodies designated to carry out control tasks		
Body or bodies designated to be responsible for carrying out audit tasks		

#### 5.1.2 Procedure for setting up the joint secretariat

*This section should explain the process for the establishment of the joint secretariat (e.g. information on planned location, host institution where applicable, planned procedure for recruitment of staff etc.). Where arrangements are already in place at the time of programme submission (for example because implementation arrangements are kept from the 2007-2013 programming period) these should be indicated.*

<sup>15</sup> In accordance with Article 7 (11) ETC Regulation, the information on the identification of the managing authority, the certifying authority, where appropriate, and the audit authority is not subject to the Commission decision approving the cooperation programme, but remain under the responsibility of the participating Member States.

### **5.1.3 A summary description of the management and control arrangements**

*This section should briefly set out the joint implementation structure and the division of tasks between the different bodies involved in programme implementation, in particular in relation to the tasks attributed to the joint secretariat (cf. Article 22 (2) ETC Regulation). This also includes information on the organisation of the assessment and selection of operations and the procedure for the signature of the document setting out the conditions of support (“grant offer letter”, “subsidy contract”).*

*This section should also set out the arrangements for management verifications and related quality controls to ensure comparable standards across the programme area. In case the managing authority carries out the verifications itself or where this task is attributed to the secretariat, the managing authority should also ensure the necessary quality control (e.g. by providing the necessary templates). In case the management verifications are carried out through designated controllers in different Member States, steps taken to ensure the necessary coordination and quality control of the verifications done should be set out. It should also be indicated if the designated controllers are the same bodies as those responsible for carrying out management verifications for operational programmes under the Investment for Growth and Jobs Goal.*

*In relation to the organisation of audits, this section should set out how coordination among the members of the group of auditors will be organised if audits are not carried out solely by the audit authority. Should the tasks of the systems audits and/or the audits of operations be externalised to one or more external bodies, mechanisms for the review to ensure the quality of the work should be indicated.*

### **5.1.4 The apportionment of liabilities among the participating Member States in case of financial corrections imposed by the managing authority or the Commission**

*Article 25 ETC Regulation already contains rules in relation to recoveries. This section should set out in a complementary manner how amounts lost to the programme budget because of financial corrections are shared out among Member States for example in cases where a financial correction by the Commission is made at a stage where the reduction in the programme budget would affect the amounts already allocated to operations (e.g. where a large share or 100% of the programme budget has already been allocated) or where the irregularity concerns a systemic weakness of the implementation system for which Member States bear joint responsibility. For example, the agreement could be to share liability equally between Member States or by following the financial allocation key of funds. The apportionment of liabilities should also include arrangements in relation to third countries.*

### **5.1.5 Use of the Euro - Art. 26 ETC Regulation**

Where applicable, the method chosen for the conversion of expenditure incurred in another currency than the Euro

*Art. 26 ETC Regulation provides for three options for when expenditure incurred in a currency other than the Euro can be converted into Euro, in case of participation of regions from countries that have not adopted the Euro. The option chosen should be indicated in the programme.*

## **5.2. Involvement of partners (Article 23(2) CPR and Article 7 (4) (d) ETC Regulation)**

### **5.2.1. Role of the relevant partners in the preparation, implementation, monitoring and evaluation of the cooperation programme.**

*1) A short summary of the process of the preparation of the cooperation programme, with a specific focus on partnership, including:*

- *the authority which has coordinated the preparation of the OP and the public institutions directly involved in this exercise (such as, for example, the ministries);*
- *a description of the involvement of the partners referred to in Art. 5 CPR in the preparation of the cooperation programme. This description should include:*
  - o how partners have been selected;*
  - o the list of the partners involved (cf. Annex 9.3), possibly including EGTCs or other joint legal bodies operating in the programme area*
  - o the actions taken to facilitate a wide involvement and an active participation of the partners, including in terms of accessibility;*
  - o the main added value of the partnership in the preparation of the cooperation programme, in particular instances where the strategic choices have been significantly influenced by partners.*
  - o the main results of the consultation with partners, including significant concerns, comments and recommendations raised by multiple partners.*

*2) A description of how the relevant partners referred in Article 5 will be involved in the implementation, monitoring and evaluation of the cooperation programme.*

*In accordance with Article 7 (11) ETC Regulation, this information is not subject to the Commission decision approving the cooperation programme, but remains under the responsibility of the participating Member States.*

## SECTION 6. COORDINATION - ARTICLE 7(5) (A) ETC REGULATION<sup>16</sup>

The mechanisms that ensure an effective coordination between the Funds, the EAFRD, the EMFF and other Union and national funding instruments, including the coordination and possible combination with CEF, ENI, EDF and IPA and with the EIB taking into account the provisions laid down in the CSF as set out in Annex I of the CPR. Where Member States and third countries participate in cooperation programmes that include the use of ERDF appropriations for outermost regions and resources from the EDF, coordination mechanisms at the appropriate level to facilitate effective coordination in the use of these resources.

*A description how coordination will be ensured:*

- *with the other ESI Funds (ERDF, ESF, Cohesion Fund, EAFRD, EMFF), particularly in relation to programmes under the Investment for Growth and Jobs Goal;*
- *with other Union instruments (Horizon 2020, LIFE +, the Connecting Europe Facility, COSME, Erasmus for All, Asylum and Migration Fund, Programme for Social Change and Innovation etc.);*
- *with CEF, ENI, IPA and EDF. The establishment of coordination mechanisms is a particular requirement for cooperation involving outermost regions when the use of resources from the EDF are envisaged.*
- *with relevant national funding instruments that contribute to the same or similar objectives as the cooperation programme or complement its interventions;*
- *with the EIB.*

*This should include:*

- *An identification of the areas where support under the cooperation programme can be used in a complementary manner with the funding sources listed above to achieve the thematic objectives selected;*
- *An explanation of how synergies and complementarities will be exploited to ensure effectiveness, including e.g. by combining support from different instruments to support individual operations;*
- *A description of coordination mechanisms for each of the relevant funding sources listed above identifying the bodies responsible for coordination in these areas and outlining the structures or arrangements (e.g. committees, consultation procedures) used for this purpose.*

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<sup>16</sup> Information required to be adapted to URBACT, INTERACT and ESPON.

*In accordance with Article 7 (11) ETC Regulation, this information is not subject to the Commission decision approving the cooperation programme, but remains under the responsibility of the participating Member States.*

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## **SECTION 7. REDUCTION OF THE ADMINISTRATIVE BURDEN FOR BENEFICIARIES - ARTICLE 7 (5) (B) ETC REGULATION<sup>17</sup>**

**A summary of the assessment of the administrative burden for beneficiaries and, where necessary, the actions planned accompanied by an indicative timeframe to reduce administrative burden**

*A summary assessment of the administrative burden and actions to planned to achieve a reduction including:*

- *An assessment of the administrative burden of beneficiaries, including the identification of main sources of administrative burden in the period 2007-2013, the main actions already taken to reduce that burden for the period 2014-2020, and potential scope for further reduction, referring to statistical data, and results of evaluations and studies, where possible;*
- *Main (not all – only a summary is required) actions planned to achieve a reduction in administrative burden with an indicative timeframe (e.g. end date) including the use of simplified costs, where appropriate.*

*In accordance with Article 7 (11) ETC Regulation, this information is not subject to the Commission decision approving the cooperation programme, but remains under the responsibility of the participating Member States.*

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<sup>17</sup> Not required for INTERACT and ESPON.



## SECTION 8. HORIZONTAL PRINCIPLES - ARTICLE 7(3) ETC REGULATION

### 8.1. Sustainable development<sup>18</sup>

A description of specific actions to take into account environmental protection requirements, resource efficiency, climate change mitigation and adaptation, disaster resilience and risk prevention and management, in the selection of operations.

*A description of how the aspects listed above are taken into account in project selection, with reference to particular priority axes, where appropriate.*

*This section is subject to the duly justified assessment of the participating Member States of the relevance of the objectives to the content and objectives of the programme.*

*If the Member States consider that the horizontal principle is not relevant for the cooperation programme concerned, this section should provide a justification for such an assessment.*

*In accordance with Article 7 (11) ETC Regulation, this information is not subject to the Commission decision approving the cooperation programme, but remains under the responsibility of the participating Member States.*

### 8.2. Equal opportunities and non-discrimination<sup>19</sup>

A description of the specific actions to promote equal opportunities and prevent any discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation during the preparation, design and implementation of the cooperation programme and in particular in relation to access to funding taking account of the needs of the various target groups at risk of such discrimination and in particular the requirements of ensuring accessibility for persons with disability.

*A description covering, but not limited to:*

- *Identification of particular targets groups, which may have a reduced access to support or are at risk of discrimination and identification of the measures to mitigate these risks;*

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<sup>18</sup> Not applicable to URBACT, INTERACT and ESPON.

<sup>19</sup> Not applicable to URBACT, INTERACT and ESPON

- *Any initiatives aimed at mainstreaming these principles in project selection and implementation e.g. uniform requirements for accessibility for new or reconstructed public buildings.*
- *Any specific monitoring and evaluation measures envisaged to ensure the follow –up of the implementation of these principles and how these results of monitoring and evaluation will be taken into account.*
- *Where appropriate, specific actions to be taken to promote equal opportunities and prevent discrimination with reference to the specific investment priority*

*This section is subject to the duly justified assessment of the participating Member States of the relevance of the objectives to the content and objectives of the programme.*

*If the Member States consider that the horizontal principle is not relevant for the cooperation programme concerned, this section should provide a justification for such an assessment.*

*In accordance with Article 7 (11) ETC Regulation, this information is not subject to the Commission decision approving the cooperation programme, but remains under the responsibility of the participating Member States.*

### **8.3. Equality between men and women<sup>20</sup>**

A description of the contribution to the promotion of equality between men and women and, where appropriate, the arrangements to ensure the integration of the gender perspective at cooperation programme and operation level.

*A description covering, but not limited to:*

- *The contribution of the cooperation programme to the promotion of equality between men and women, with reference to specific challenges faced in this area, as appropriate;*
- *The actions planned to ensure the integration of the gender perspective at operational level including any initiatives aimed at mainstreaming this principle in project selection and implementation.*
- *Any specific monitoring and evaluation measures envisaged to ensure the follow-up of the implementation of this principle and how these results of monitoring and evaluation will be taken into account.*

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<sup>20</sup> Not applicable to URBACT, INTERACT and ESPON.

- *Where appropriate, specific actions to be taken to promote gender equality with reference to the specific investment priority.*

*If the Member State considers that the horizontal principle is not relevant for the cooperation programme concerned, this section should provide a justification for such an assessment.*

*In accordance with Article 7 (11) ETC Regulation, this information is not subject to the Commission decision approving the cooperation programme, but remains under the responsibility of the participating Member States.*

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## SECTION 9. SEPARATE ELEMENTS - PRESENTED AS ANNEXES IN PRINTED DOCUMENT VERSION

### 9.1 A list of major projects for which the implementation is planned during the programming period (Article 7 (2) (e) ETC Regulation)

*In accordance with Article 7 (11) ETC Regulation this information is not subject to the Commission decision approving the cooperation programme but remains under the responsibility of the participating Member States.*

**Table 23: A list of major projects (not applicable to INTERACT and ESPON)**

Title	Planned time of notification/submission of the major project application to the Commission (year, quarter)	Planned start of implementation (year, quarter)	Planned completion date of implementation (year quarter)	Investment priority	Priority axis

### 9.2. The performance framework of the cooperation programme

*The summary table is generated automatically by the SFC based on the tables outlined by priority axis.*

**Table 24: The performance framework of the cooperation programme**

Priority axis	Implementation step, financial, output or result indicator	Measurement unit, where appropriate	Milestone for 2018	Final target (2022)

### 9.3 List of relevant partners involved in the preparation of the cooperation programme

*This list will complement the description of partnership arrangements and the involvement of partners outlined in section 5.2.*

*In accordance with Article 7 (11) ETC Regulation, this information is not subject to the Commission decision approving the cooperation programme, but remains under the responsibility of the participating Member States.*

**9.4 Applicable programme implementation conditions governing the financial management, programming, monitoring, evaluation and control of the participation of third countries in transnational and interregional programmes through a contribution of ENI and IPA resources, Art. 24 bis ETC Regulation**

*Where a transnational or interregional programme benefits from ENI and/or IPA resources, this section should set out the respective implementation conditions for the financial management, programming, monitoring, evaluation and control. These implementation conditions have to be consistent with EU cohesion policy rules.*

*The applicable conditions should largely correspond to the rules applicable to the ERDF part of the programme, except where specific arrangements are necessary (for example concerning arrangements for public procurement or management verifications).*

**ANNEXES (uploaded to SFC 2014 as separate files)**

- Draft report of the ex-ante evaluation, with an executive summary (mandatory) (Article 48 (2) CPR).
- Confirmation of agreement in writing to the contents of the cooperation programme, Article 7 (8) ETC Regulation.

*All countries participating in the programme have to confirm in writing their agreement to the contents of the programme. The agreement will also include the commitment to provide the co-financing necessary to implement the cooperation programme and, where applicable, the commitment for the financial contribution of the third countries or territories. The model of a pre-agreement provided by the Commission may be useful in this respect. In the case of cooperation programmes of outermost regions, the agreement to the contents of the cooperation programme and the possible contribution of the third countries can be expressed in the formally approved minutes of consultations meetings with the third countries or the deliberations of the regional cooperation organisations.*

- A citizens' summary of the cooperation programme (as appropriate)

*A citizens' summary is an optional element. The Member States are not obliged to submit it to the Commission and it is not covered by the Commission decision approving the cooperation programme. It can be used to outline, in the format chosen by the Member States, the objectives and the content of the cooperation programme, including the intervention logic, as appropriate, for the purposes of consultation and communication.*

*Where necessary, this section can also outline the content of each individual priority axis.*

*The format proposed (upload to the SFC 2014 as a separate file, no structured data) enables the Member States to use the structure and the formatting it considers most appropriate for communication purposes. It also entails no restrictions on the number of characters used.*

*NB: This document complements the mandatory elements of the cooperation programme. It does not replace any of the elements for which format requirements have been outlined in the model to be adopted by way of implementing acts. All data required in a structured format must be submitted to comply with the requirements of Article 7 ETC.*

*In the case of inconsistencies between the structured data submitted (i.e. the formal content of the cooperation programme) and the citizens summary (not part of the formal content of the cooperation programme under Article 7 ETC), the structured data submitted in the required format shall prevail.*