

# CENTRAL EUROPE PROGRAMME 2007-2013



Lead Applicant Briefings  
February 2009

A map of Central Europe is shown in the background, with the region highlighted in white and outlined in black. The rest of the map is in shades of green and blue.

## SUCCESS FACTORS FOR PROJECT DEVELOPMENT: Focus on Activities and Partnership

# OVERVIEW



- Key success factors for project development -  
Assessment criteria
- Expected project characteristics



# TECHNICAL AND FINANCIAL ASSESSMENT CRITERIA



1. Relevance (what for?)
2. Implementation and Methodology (how?)
3. Quality of the outputs and Sustainability of the expected results (what?)
4. Partnership technical and operational capacity (who?)
5. Budget and cost effectiveness (how much?)



# RELEVANCE: ASSESSMENT CRITERIA (1/2)



- How relevant is the proposal to the **overall programme goals and objectives?**
- How relevant to the **need and constraints of the target regions and Areas of Intervention** is the proposal?



# RELEVANCE: ASSESSMENT CRITERIA (2/2)



- How clearly defined are the **target groups** and **indirect beneficiaries** of the project results ?
- Does the proposal contribute to **Lisbon** and/or **Gothenburg** goals and how relevant is it to other **EU** and **national policies**?
- Does the proposal contain **specific added value** in terms of **innovation**?




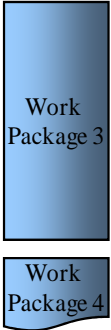
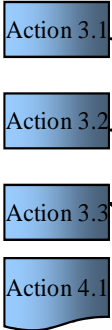
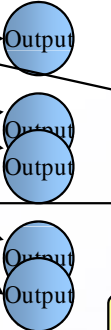
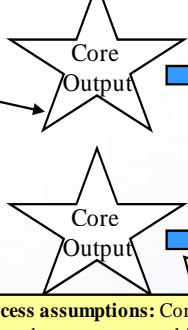
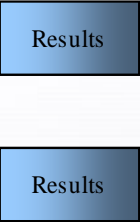
# IMPLEMENTATION & METHODOLOGY: ASSESSMENT CRITERIA



- Is the Project design (proposed methodology) appropriate?
- Are the work plan and timetable realistic, coherent and transparent? (When applicable: coherence and feasibility of the preparation of pre-investments; coherence and feasibility of the preparation of investments)
- Are management and coordination structures efficient and transparent?



# WORK BREAKDOWN STRUCTURE

						
	<b>WORK PLAN</b>	<b>WORK PACKAGES</b>	<b>ACTIONS</b>	<b>OUTPUTS</b>	<b>CORE OUTPUTS</b>	<b>RESULTS</b>
<b>DEFINITION</b>	Outlines the work planned within the framework of your project.	Logical groupings of work. WP0 through WP2 are defined by the programme. WP3 to WP6 are defined by the project.	Logical sequences along a time line.	Tangible products such as manuals, conferences, IT tools, etc.	Major outputs of your project. Typically result oriented.	Immediate effects of Core Outputs.
<b>QUANTITY</b>	1	3 to 6 (+1 for preparation)	WP1 and WP2 (max. 4 actions) WP3 – WP6 (max. 6 actions)	1 to 20 per Action recommended	at least 1 per self defined work package	1 to several per Core Output
<b>TIMING</b>	corresponds to the duration of the project (with the exception of project preparation)	duration with defined starting and endpoint	duration with defined starting and endpoint	availability at a specified point in time	availability at a specified point in time	availability at a specified point in time

**Process assumptions:** Core Outputs are used by someone to achieve results



## WORK PACKAGE - ACTION - OUTPUTS - CORE OUTPUTS

WP: WP0: Pre-defined, WP1, WP2: Pre-defined & compulsory

- WP3-WP6: self-defined by project

Actions:

- WP1-2: up to 4 actions
- WP3-6: up to 6 actions

Outputs:

- 1-20 per action
- Tangible deliverables (studies, seminars, folders, etc.)

Core Outputs and their results:

- 0-4 per action (at least 1 per work package)
- Major outputs produced by project
- Have to correspond to „Types of Action“



# IMPLEMENTATION & METHODOLOGY: TYPE OF ACTION



Type of Action	Standard Core Output Indicators
Joint transnational strategy and action plan	<ul style="list-style-type: none"> <li>• No. of strategies/policy documents developed/ improved</li> <li>• No. of strategies/policy documents implemented/adopted</li> </ul>
Transnational tool development	<ul style="list-style-type: none"> <li>• No. of new tools developed</li> <li>• No. of new tools implemented</li> <li>• No. of trainings for new tools prepared or implemented</li> </ul>
Joint management establishment	<ul style="list-style-type: none"> <li>• No. of permanent cooperations established</li> <li>• No. of permanent management structures established</li> </ul>
Investment preparation	<ul style="list-style-type: none"> <li>• Volume of investment prepared</li> <li>• No. of jobs to be created through these investments</li> <li>• Volume of private/public funds leveraged</li> </ul>
Pilot Actions including investments	<ul style="list-style-type: none"> <li>• No. of Pilot Actions implemented (including No. of investments realized)</li> <li>• Volume of investment realised through Pilot Actions</li> <li>• No. of jobs created through Pilot Actions</li> </ul>

# IMPLEMENTATION & METHODOLOGY: PATHWAYS TO INVESTMENT



Pre-investment refers to the preparation of investments (Type of Action “Investments Preparation”) later to be funded through complementary sources.

Pilot investments (Type of Action: “Pilot Action”) demonstrate the viability and effectiveness of an investment in order to pave the way for subsequent investments at a larger scale. The results of the pilot investment should be transferable and the transfer of results should form part of the project.

Both pre-investments and pilots have to show a clear transnational added value.



# OUTPUTS & RESULTS: ASSESSMENT CRITERIA



- Are Core outputs clearly defined and assumptions on the use of outputs (target groups, process assumptions) realistic?
- Are the expected results of the proposed action sustainable at institutional and financial level?
- Are outputs and results transferable, replicable and useful beyond the partnership and the transnational boundaries?
- Are the Communication and knowledge management strategies clearly defined and effective?



# OUTPUTS & RESULTS: CORE OUTPUTS



- ... provide the basis to communicate project achievements
- ... should be supported by several sequential outputs.
- ... are directly used by their target groups in order to achieve the intended results.
- ... must be clearly related to one Type of Action

It is not important to have a high number of CORE outputs, It is much better to have a few provided that they are meaningful.



# OUTPUTS & RESULTS: SUSTAINABILITY OF RESULTS



A distinction between the following 3 dimensions of sustainability has to be made:

**Financial sustainability** - Financing follow up activities, sources of revenue for covering all future operating and maintenance costs;

**Institutional sustainability** - Which structures will allow, and how, the results of the project to continue to be in place after the end of the action? Address issues about the local "ownership" of project outputs;

**Political sustainability** - What structural impact will the project have? - e.g. will it lead to improved legislation, codes of conduct, methods.

# PARTNERSHIP: Location of partners (1/2)



Partners can also be located within the EU but outside the CENTRAL EUROPE programme area (20%):

- EU partners outside the CENTRAL EUROPE cannot get more than 20% of the ERDF project budget;
- EU partners located outside the EU CENTRAL EUROPE area cannot be Lead Partner;
- Their activities are for the benefit of the regions of the EU CENTRAL EUROPE area;
- Their involvement is considered as exceptional and must be clearly justified.



# PARTNERSHIP: Location of partners (2/2)



Partners can:

- Also be located in Third Countries;
- They do not benefit of ERDF contribution;
- Partners located in ENPI or IPA Countries could benefit of funds made available by the ENPI or IPA national programmes.



# PARTNERSHIP: Location of activities (1/2)



## General principles:

A) Activities must be implemented within the EU CENTRAL EUROPE area.

- Expenditure is ERDF co-financed.
- Exception: management/coordination activities performed by Assimilated Partners can be financed.

B) Activities can be implemented in EU but outside the EU CENTRAL EUROPE area (up to 20% of the total ERDF project contribution).

- Expenditure is ERDF co-financed.
- Activities are for the benefit of regions of the EU CENTRAL EUROPE area.

# PARTNERSHIP: Location of activities (2/2)



- C) Activities can be implemented in Third Countries but for the benefit of the regions of the EU CENTRAL EUROPE area.
- Expenditure is ERDF co-financed on condition that is spent under the responsibility of a EU CENTRAL EUROPE partner or assimilated to it.
  - Expenditure is up to 10% of the total ERDF project contribution.



# PARTNERSHIP: ASSESSMENT CRITERIA



- Does the Lead Applicant have sufficient experience of project management?
- Does the partnership have sufficient technical expertise (notably knowledge of the issues to be addressed)?
- Is the proposed partnership appropriate and relevant to the issues to be addressed?



# PARTNERSHIP: CHARACTERISTICS



Partners should...

... be relevant bodies actually competent for the development, implementation and dissemination.

.... be involved in the project in a balanced way and be able to credibly outline benefits derived from the partnership and transnational cooperation.

As a general rule, the bigger the number of partners, the more complex it is to manage the project.

Therefore, only partners necessary to achieve the project objectives should be brought on board.

Even if larger partnerships will not be excluded, the recommended maximum number of partners is from 8 up to 12 (according to the type of action).

# EXPECTED PROJECT CHARACTERISTICS (1/2)



- Transnational thematic focus and partnership
- Coherent approach
- Effective management (including communication strategy, knowledge creation and transfer)
- Strive for concrete and **visible outputs and results and actual implementation**
- Clear added value



# EXPECTED PROJECT CHARACTERISTICS (2/2)



## CENTRAL EUROPE will not support:

- Projects not addressing an issue of transnational relevance or that can be funded under one single cross-border programme
- Pure research and technology development without clear links to other actors
- Mere continuation of past co-operation project without clear added value
- Mere networking and exchange of experience
- Project fundable under other Structural Funds programmes

# SOURCES OF INFORMATION



- Operational Programme (OP)
- Application Manual 2<sup>nd</sup> Call
- Instructions for Applicants:  
How to complete the AF
- FAQs on the Programme web  
site

and  
Implementation Manual  
Audit and Control Guidelines



# CONTACT/UPDATES



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