

The Intermediate evaluation of the Interregional Cooperation Programme INTERREG IVC

Part B – Annex Report

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operation

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The present final report follows the general method as set out in the “Inception Report” (submitted to the programme in May 2010) and draws on the subsequently elaborated “Intermediate Report” (submitted in June 2010), the “Draft Final Report” (submitted in September 2010) and a report covering the completed case study analyses on 10 selected INTERREG IVC projects (submitted in October 2010).

This final report was mainly drafted by the Study Coordinator Dr. Thomas Stumm, while drawing on important contributions coming from the two other members of the Core Evaluation Team (esp. for Chapters 1 & 3).

Panteia BV would also like to devote a special word of thanks to all those who actively contributed to make this challenging evaluation succeed despite its tight time schedule. These are:

- the representatives of the Member States and Third Countries forming part of the programme Monitoring Committee,
- the representatives of the European Commission (i.e. Territorial Co-operation Unit), the Committee of the Regions and of the European Parliament,
- the representative of the Managing Authority,
- the staff members of the Joint Technical Secretariat,
- the persons working in the National Contact Points and the four Information Points,
- the many Lead Partners and partners of INTERREG IVC projects across Europe,
- the representatives of EU-wide regional organisations and networks.

The authors of this report would finally like to express our personal gratitude to Michel Lamblin (Programme Director), Erwin Siweris (Deputy Programme Director) and to Nicolas Singer (Senior Project Officer) for their helpful, flexible, dedicated and on-going guidance which they provided throughout the entire implementation of this challenging project.

This Part B of the report comprises the annexes of the technical report (Part A)

Zoetermeer, the Netherlands, November 2010





Annexes relating to Chapter 1

Annex 1.1: Persons with whom structured direct interviews were realised				
No.	Interviewee name	Position	Type of interview	Date of interview
1	Mr. Michel Lamblin	Programme Director INTERREG IVC	Face-to-face	12.07.2010
2	Mr. Erwin Siweris	Deputy Programme Director	Face-to-face	12.07.2010, 17.07. 2010
3	Mr. Nicholas Singer	Senior Project Officer INTERREG IVC Joint Technical Secretariat	Face-to-face	12.07.2010, 16.07.2010
4	Mr. Chrisatian Sauber	Director Eurada	Telephonic	15.07.2010
5	Mr. Christian Gso-dam	Head of Unit Media, Communication, Associations EU Committee of the Regions	Face-to-face	13.07.2010
6	Mr. Jean-Marc Venineaux	European Commission DG Regional Policy Territorial Cooperation Unit	Face-to-face	13.07.2010
7	Maxi Nachtigall	Project Adviser INTERREG IVC Information Point North	Phone interview	19.07.2010
8	Thorsten KOH-LISCH	Information Point Coordinator & Project Adviser INTERREG IVC Information Point East	Phone interview	20.07.2010
9	Kelly ZIEL-NIEWSKI	Communication and Project Adviser INTERREG IVC – Info Point South	Phone interview	21.07.2010
10	Akos SZABO	Communication and Project Adviser INTERREG IVC JTS – Information Point West	Phone interview	21.07.2010
11	Ms. Julie Gourden	Director- Responsible for cohesion policy, interregional cooperation and follow-up of the Atlantic Arc Commission Conference of Peripheral and Maritime Regions (CRPM)	Phone interview	22.07.2010
12	Mr. Jens Gabbe	Secretary General Association of European Border Regions (AEBR),	Phone interview	29.07.2010
13	Mr. Jan Olbrycht	European Parliament	Phone interview	02.08.2010
14	Mr. Bernardo Rodriogues	Policy Officer EUROCITIES Governance and International Cooperation	Phone interview	02.08.2010
15	Mrs. Estelle DELANGLE	Policy Coordinator Committee "Economy and Regional Development" (1) Assembly of European Regions (AER)	Phone interview	04.08.2010
16	Mr. Thomas SPRIET	Managing Authority INTERREG IVC	Phone interview	10.08.2010
17	Mr. Martín Guillermo Ramírez	Secretary General Association of European Border Regions (AEBR)	Written contribution	



Annex 1.2 Case Study Sample						
Project acronym (project title)	General principles for selection (main criteria)			Additional criteria considered		
	Priority & sub-theme	Type of project	Level of intensity (only RIP)	Funding volume (total budget)	Lead Partner (country)	Approved under 1st or 2nd call
Priority 1: Innovation and the knowledge economy						
CLIQ (Creating Local Innovation through a Quadruple Helix)	1. Innovation, research and technology development	RIP	Low	low € 1.951.637	FIN	1st call
CeRamICa (Ceramics and CRafts Industries' Increased Cooperation)	2. Entrepreneurship and SMEs	RIP	Low	low € 2.117.734	HU	1st call
B3 Regions (Regions for Better Broadband connection)	3. The information society	CP & FTP	-	high € 3.495.380	IT	1st call
Brain Flow (Brain Flow and Knowledge Transfer fostering Innovation in Border Regions)	4. Employment, human capital and education	RIP	High (mini-programme)	High € 3.5 million	DE	2nd call
Priority 2: Environment and risk prevention						
PRoMPT (Proactive Human Response to Wildfires Breakout: Measure and Prepare for it)	5. Natural and technological risks	RIP	Low	low € 1.517.423	GR	1st call
WATER CoRe (Water scarcity and droughts; coordinated actions in European regions)	6. Water management	RIP	Low	Low € 2,547,859 million	DE	2nd call
C2CN (Cradle to Cradle Network)	7. Waste prevention and management	CP & FTP	-	Low € 2.5 million	NL	2nd call
CITEAIR II (Common Information to European Air)	8. Biodiversity and preservation of natural heritage	RIP	Low	low € 1.986.697	FR	1st call
POWER (POWER)	9. Energy and sustainable transport	RIP	High (mini-programme)	very high € 5.789.856	UK	1st call



**Annex 1.3:
Response rates for the three web-surveys**

Survey	Response	Specialities																												
Survey I – Monitoring Committee (total sample is 126)	<ul style="list-style-type: none"> ▪ 39 members completed the questionnaire (31%) ▪ 28 surveys are still open and are not yet completed 	Austria (2) Belgium (2) Belgium (Flanders) Bulgaria Cyprus Denmark Estonia (3) France (3) Germany (2) Greece Hungary (2) Italy (2) Lithuania (2) Luxembourg Malta The Netherlands (2) Norway (2) Poland (2) Portugal(2) Romania Slovak Republic Sweden (3) Switzerland (2) United Kingdom (4) Joint Technical Secretariat (4) Managing Authority																												
Survey II – National Contact Points (total sample is 71 persons)	<ul style="list-style-type: none"> ▪ 19 questionnaires are completed (27%) ▪ 0 questionnaires are still open and are not yet completed 	<table border="0"> <tr><td>Austria</td><td style="text-align: right;">1</td></tr> <tr><td>Belgium</td><td style="text-align: right;">1</td></tr> <tr><td>Bulgaria</td><td style="text-align: right;">2</td></tr> <tr><td>Czech Republic</td><td style="text-align: right;">1</td></tr> <tr><td>Finland</td><td style="text-align: right;">1</td></tr> <tr><td>France</td><td style="text-align: right;">1</td></tr> <tr><td>Ireland</td><td style="text-align: right;">2</td></tr> <tr><td>Italy</td><td style="text-align: right;">1</td></tr> <tr><td>Netherlands</td><td style="text-align: right;">2</td></tr> <tr><td>Portugal</td><td style="text-align: right;">1</td></tr> <tr><td>Slovakia</td><td style="text-align: right;">1</td></tr> <tr><td>Slovenia</td><td style="text-align: right;">1</td></tr> <tr><td>Spain</td><td style="text-align: right;">2</td></tr> <tr><td>Sweden</td><td style="text-align: right;">1</td></tr> </table>	Austria	1	Belgium	1	Bulgaria	2	Czech Republic	1	Finland	1	France	1	Ireland	2	Italy	1	Netherlands	2	Portugal	1	Slovakia	1	Slovenia	1	Spain	2	Sweden	1
Austria	1																													
Belgium	1																													
Bulgaria	2																													
Czech Republic	1																													
Finland	1																													
France	1																													
Ireland	2																													
Italy	1																													
Netherlands	2																													
Portugal	1																													
Slovakia	1																													
Slovenia	1																													
Spain	2																													
Sweden	1																													
Survey III – Lead Partners (total sample 115 persons)	<ul style="list-style-type: none"> ▪ 91 questionnaires are completed (79%) ▪ 12 questionnaires are still open and are not yet completed. 																													





Annexes relating to Chapter 2

Annex 2.1: Impacts of the recent economic & financial crisis on territorial authorities – emerging trends

The main point of concern is the difficulty to access investment resources from loans. Given the crucial role of public borrowing for sustaining economic development and infrastructure investments, this might result in a long-term local development slowdown for a large proportion of Europe's population.

Decreasing budget income. The actual impact varies by country, depending on the particular "mix" of income sources upon which the authorities depend. In most countries (63 %) own-source tax revenues have significantly decreased and so have government transfers and grants (56 %). Other types of sources affected include local fees and charges (44 %) and shared tax (38 %).

Decrease in capital expenditure is especially notable in the new EU-Member States (Slovakia, Slovenia, Estonia, Latvia, Bulgaria), while an increase in capital expenditure is observed in Western European and Scandinavian countries (Denmark, Norway, Austria, Germany, Netherlands and Switzerland) which might be the result of anti-crisis measures and programmes.

Reduced local/regional budgets or zero budget growth. Budget planning for 2010, as assessed by population data, reveals that a reduced or zero growth budget represent respectively 49 % and 26 % of the population covered by this survey (i.e. 75 % together). Only 16 % plan an increase in line with the inflation and only 8 % plan real growth.

A significant increase in demand for social services due to the crisis. 80 % of Europe's population experience a situation where their local and regional authorities are challenged by their citizens to adapt the volume and range of public services provided (i.e. social services & social assistance, such as social and welfare allowances, housing support, support for unemployed and homeless persons, financial or debt advisory services, energy efficiency advisory services, mental health services, but also business support services).

Decreasing demand mainly for administrative and technical services and services requiring extra payments. The population affected by cutbacks in services in 2009 reaches as much as 141 million (33 %) of the 428 million Europeans covered by the responding associations. The cutbacks at this stage threaten mainly less essential services, such as education, sports, heritage but also maintenance and development of local infrastructure.

Source: CEMR 2009a and CEMR 2009b



Annex 2.2:
Review of the Priority 1 sub-theme assessments - main findings from the literature review

Innovation, research & technology development

The topical assessment realised for the INTERREG IVC programme on this sub-theme indicates features about the territorial distribution of R&D/innovation potentials across the EU and highlights that research collaboration and knowledge transfer between public research organisations and industry is still sub-optimal.

More recent sources show a higher analytical depth and provide – on grounds of the “Regional Innovation Performance Index” (RIPI) – a territorially more differentiated picture for the EU 27 Member States and at the level of their regions.¹ In addition, they also emphasise much stronger the importance of “soft” factors for innovation (e.g. creativity and its regional dimension) and of business-related differences (e.g. enterprise size-specific & sector-specific role of innovation).²

Important medium-term policy strategies highlight the importance of regional clusters of competition and innovation in Europe (i.e. EU Territorial Agenda)³ and of strengthening knowledge and innovation as drivers of future growth (i.e. Europe 2020 Strategy).⁴ The latter also emphasises in its section on “sustainable growth – promoting a more resource efficient, greener and more competitive economy” the EU’s leading role in the market for green technologies as a means of ensuring resource efficiency, which should be maintained against emerging key competitors, notably China and North America.

Entrepreneurship & SMEs

The topical assessment made for the INTERREG IVC programme highlights the unfavourable entrepreneurial climate in Europe if compared to major world-wide competitors (i.e. United States and Japan) and stresses the importance of entrepreneurship and of SMEs in the innovation process.

Recent analyses and sources generally confirm the importance of entrepreneurship and the persisting obstacles for starting a business in the EU Single Market⁵ as well as the key role played by SMEs in the EU economy and in the field of innovation.⁶ With respect to the latter aspect, however, some of these sources provide a more nuanced and differentiated picture which tends to bias the programme analysis to some extent. The sixth progress report on economic & social cohesion refers to studies which highlight that large firms invest more in R&D and do more in-house innovation, while SMEs have less access to finance and tend to innovate less and outsource their innovation needs. Moreover the report suggests that especially innovative new firms (start-ups) are the key to innovation, as they can conquer a niche market and grow rapidly (the so-called gazelles). Finally, also the important role of regional policies for encouraging knowledge spill-over from new foreign firms (i.e. foreign direct investment) towards other companies locating in a region is highlighted.

The current financial and economic crisis clearly highlighted that SMEs are particularly vulnerable (due to their heavy dependence on bank credits and limited recourse to financial markets), but act with great responsibility towards their employees even if companies have to face hard times (SMEs are – contrary to larger enterprises – still reluctant to lay off employees).⁷ Moreover, the Europe 2020 Strategy considers that the business environment needs to be improved, notably for SMEs, and that the development of a strong and sustainable industrial base needs to be supported for being able to compete globally (“An industrial policy for the globalisation era”).⁸

¹ CEC (2007a), Fourth report on economic & social cohesion.

² CEC (2009c), Sixth progress report on economic & social cohesion.

³ Council of the European Union, German Presidency (2007).

⁴ CEC (2010a), Europe 2020 Strategy.

⁵ CEC (2009c), Sixth progress report on economic & social cohesion. CEC (2010a), Europe 2020 Strategy.

⁶ AER (2009). CEC (2009c), Sixth progress report on economic & social cohesion.

⁷ AER (2009).

⁸ CEC (2010a), Europe 2020 Strategy.



The information society

The topical assessment realised for the INTERREG IVC programme on this sub-theme highlights that the access to ICT is an important driver for the knowledge economy and briefly pin-points the various patterns of ICT penetration rates in the EU (i.e. across Member States & regions).

Recent analyses confirm the general issues raised by the INTERREG IVC programme assessment, but they provide more recent data and also a territorially more differentiated view for the EU27. A significant "digital gap" can be observed between the less well endowed cohesion countries and other Member States which is even further widening, as the better endowed Member States are increasing rates of connection most rapidly. Also within countries, disparities remain equally large, notably between rural and urban areas and a slow development of broadband in the less densely populated areas can be observed.⁹

Medium-term policy strategies therefore ask for an unhampered and socially fair access to ICTs in all regions and a removal of barriers to accessibility (i.e. EU Territorial Agenda),¹⁰ which also entails an adaptation of EU and national legislation to the digital era for overcoming the still existing fragmentation of on-line content and access for consumers and companies (i.e. Europe 2020 Strategy and the flagship initiative "A digital agenda for Europe").¹¹

Employment, human capital & education

The topical assessment realised for the INTERREG IVC programme on this sub-theme highlights the employment situation across Europe in relation to the Lisbon targets (i.e. 70% employment by 2010) and stresses that Europe needs to invest in human capital and education to increase the productivity and competitiveness of the knowledge economy.

Recent analyses which refer to the situation prior to the current crisis show a positive trend in employment development between 2000 and 2005 (i.e. converging employment rates in the EU) and provide a territorially more differentiated picture of this general trend and the still existing disparities.¹² The DG REGIO's medium-term forecast of 2008/2009 for regional employment and unemployment rates up to the year 2020 seem however to be over-optimistic,¹³ if one considers the results of the first post-crisis analysis realised by DG REGIO in the same year.¹⁴ According to this analysis, unemployment rates (...) are now increasing dramatically in Spain, Ireland and the three Baltic States, expected to reach between 11 and 17% in 2009, more than double the rate in 2007. These five Member States are also forecast to suffer economic contractions, bringing to an end a period of sustained growth. It is therefore to fear that the regional disparities in employment/unemployment rates will drastically increase in the near future and – as a response to the crisis – that activities for developing the labour market and related services are strategic aspect in many regional recovery plans¹⁵ (i.e. local & regional employment development initiatives).

The development of human capital and education are particularly important issues in this respect and also in relation to the EU's future competitiveness, as most analyses of the pre- and post-crisis situation observe here a major structural deficit of EU-wide relevance which is particularly evident and accentuated in the lagging EU-regions.¹⁶ At the international level, the EU27 currently scores low in terms of higher education and would need by 2020 need ever more knowledge workers to attract and

⁹ CEC (2007a), Fourth report on economic & social cohesion.

¹⁰ Council of the European Union, German Presidency (2007).

¹¹ CEC (2010a), Europe 2020 Strategy.

¹² CEC (2007a), Fourth report on economic & social cohesion. CEC (2008a), Fifth progress report on economic & social cohesion.

¹³ CEC (2009a), Regions2020 – Globalisation challenges.

¹⁴ CEC (2009c), Sixth progress report on economic & social cohesion.

¹⁵ AER (2009).

¹⁶ CEC (2007a), Fourth report on economic & social cohesion. CEC (2008), Fifth progress report on economic & social cohesion. CEC (2009c), Sixth progress report on economic & social cohesion. CEC (2010a), Europe 2020 Strategy.



retain growing share of global R&D expenditure and facilitate the shift to higher value added economic activities for accomplishing the goal of being a strong knowledge-based economy.¹⁷ This is also why the Europe 2020 Strategy puts major emphasis on "inclusive growth", which is to be achieved by empowering people through high levels of employment, investing in skills, fighting poverty and modernising labour markets, training and social protection systems so as to help people anticipate and manage change, and build a cohesive society. Three of the seven flagship initiatives therefore focus on such issues to catalyse progress in this respect (i.e. "Youth on the move", "An agenda for new skills and jobs", "European platform against poverty").¹⁸

¹⁷ CEC (2009a), Regions2020 – Globalisation challenges.

¹⁸ CEC (2010a), Europe 2020 Strategy.



**Annex 2.3:
Review of the Priority 2 sub-theme assessments - main findings from the literature review**

Natural & technological risks

The topical assessment realised for the INTERREG IVC programme on this sub-theme is nearly identical with the ones made in more recent literature sources examined and also reflects well the focus of the territorial development priorities as set out by the medium-term EU-Territorial Agenda.¹⁹ Seen as such, the observed trend is that natural risks – mostly due to climate change – and man-made risks represent a permanent challenge also for territorial development.

Water management

While the topical assessment realised for the INTERREG IVC programme on this sub-theme introduces only briefly the issue at stake and highlights the importance of the EU Water Framework Directive, the more recent literature examined provides a more elaborated and also territorially more differentiated view on this matter.²⁰ However, the focus adopted by the topical assessment is generally in line with the main challenges and problems ahead.

Waste prevention & management; Biodiversity & preservation of natural heritage

The topical assessments realised for the INTERREG IVC programme on these sub-themes are nearly identical with the ones made in the literature sources examined, although the latter provide a (territorially) more elaborated diagnosis.²¹ The overall focus adopted by the topical assessments is, however, generally in line with the main challenges and problems ahead.

Energy & sustainable transport

The topical assessment realised for the INTERREG IVC programme on this sub-theme is largely identical with the one made in the literature sources examined and also reflects well the focus of the territorial development priorities as set out by the medium-term EU-Territorial Agenda.²² An interesting point raised through a prospective view adopted in the Europe 2020 Strategy highlights also the economic benefits associated to a further integration of the EU-energy market and to a stronger use of renewable energy sources. Due to this, it focuses one of its flagship initiatives on helping to decouple economic growth from the use of resources and to support the shift towards a low carbon economy, mainly by increasing the use of renewable energy sources, modernising the transport sector and promoting energy efficiency ("Resource efficient Europe").²³

¹⁹ CEC (2007a), Fourth report on economic & social cohesion. Council of the European Union, German Presidency (2007).

²⁰ EEA (2005). CEC (2007a), Fourth report on economic & social cohesion.

²¹ CEC (2007a), Fourth report on economic & social cohesion. EEA (2005).

²² EEA (2005). Council of the European Union, German Presidency (2007).

²³ CEC (2010a), Europe 2020 Strategy.



Cultural heritage & landscape

The topical assessment realised for the INTERREG IVC programme on this sub-theme is relatively superficial and does not identify the associated territorial problems / challenges and development perspectives in particular at a regional/local level.

The more recent literature sources examined provide a much deeper and also more profound analysis of these issues,²⁴ which also allow identifying policy-relevant problems and challenges for

- the topic cultural heritage (i.e. Europe's cultural heritage is under attack from various sources & dimensions; need to achieve a high level of cultural heritage development to ensure that this legacy is protected in particular through our technology, creativity and foresight; Europe's cultural legacy as a very dynamic trigger of economic activities and jobs, reinforcing the social and territorial cohesion of the EU);
- the topic landscape (i.e. land use leading to unprecedented changes in landscapes, ecosystems and the environment; many environmental problems are rooted in the use of land as it leads to climate change, biodiversity loss and the pollution of water, soils and air; drivers of uptake for urban & other artificial land development; territorial focus of important artificial land uptakes).

A better consideration of these problems and challenges in the current INTERREG IVC programme is desirable and would also allow a more targeted development of related project proposals so as to better meet the medium-term territorial development priorities as set out by the EU-Territorial Agenda.²⁵

²⁴ CEC (2007b). CEC (2009d). EEA (2010).

²⁵ EEA (2005). Council of the European Union, German Presidency (2007).



Annex 2.4: Objectives of the INTERREG IVC programme

Overall objective:

To improve, by means of interregional cooperation, the effectiveness of regional development policies in the areas of innovation, the knowledge economy, the environment and risk prevention as well as to contribute to economic modernisation and increased competitiveness of Europe.

Specific thematic objectives:

1. To improve regional and local policies in the field of innovation and the knowledge economy, more specifically focusing on regional capacities for research and technology development, support to entrepreneurship and SMEs, support to business development and innovation initiatives, promotion of the use of ICTs and support to employment, human capital and education.
2. To improve regional and local policies in the field of environment and risk prevention, more specifically focusing on prevention and management of natural and technological risks, water and coastal management, waste prevention and management, biodiversity and preservation of natural heritage, energy efficiency and renewable energies, clean and sustainable public transport, cultural heritage.

Specific horizontal objectives:

3. To enable actors at regional and local level from different countries across the EU to exchange their experiences and knowledge.
4. To match regions less experienced in a specific policy field with regions with more experience in that field, with the aim of jointly improving the capacities and knowledge of regional and local stakeholders.
5. To ensure that the good practices identified within interregional cooperation projects are made available to other regional and local actors and are transferred into regional policies in particular into EU Structural Funds mainstream programmes.

Operational objectives, Priority 1:

1. Improving the capacity of regions for strengthening research, technology and innovation;
2. Promoting and enabling entrepreneurship and the development of new business initiatives in all sectors of relevance to regional economies, in particular those that are knowledge-based and innovative;
3. Facilitating businesses, and in particular SMEs, to develop and grow in a more sustainable and innovative way through the transfer of specific services and the creation of shared facilities;
4. Helping to restructure regions most heavily dependent on traditional industries, including renewal of industrial zones for new business;
5. Promoting the use of new information and communication technologies by businesses, public services and the general public, especially in rural areas;
6. Improving regional policies for employment, skills development, training and education;
7. Creating the necessary framework conditions for regional economies to adapt to major socio-economic changes, notably globalisation and demographic change.

Operational objectives, Priority 2:

1. Developing plans and measures to prevent and cope with natural and technological risks;
2. Promoting the enhancement of sustainable water management activities;
3. Promoting the development of sustainable Waste prevention and management activities and the movement to a recycling society;
4. Promoting the development of actions linked to biodiversity and the preservation of natural heritage, especially in NATURA 2000 sites and promoting the development of sustainable coastal management activities;
5. Stimulating energy efficiency and the development of renewable energies as well as better coordinated efficient energy management systems and promoting sustainable transport;
6. Enhancing the attractiveness of the territory in support of socio-economic development and sustainable tourism by protecting the cultural heritage and landscape.



Annex 2.5:
Extracts of Articles 3 and 174 in the Lisbon Treaty

Article 3

1. The Union's aim is to promote peace, its values and the well-being of its peoples.
2. The Union (...).
3. The Union shall establish an internal market. It shall work for the sustainable development of Europe based on balanced economic growth and price stability, a highly competitive social market economy, aiming at full employment and social progress, and a high level of protection and improvement of the quality of the environment. It shall promote scientific and technological advance. It shall combat social exclusion and discrimination, and shall promote social justice and protection, equality between women and men, solidarity between generations and protection of the rights of the child. It shall promote economic, social and territorial cohesion, and solidarity among Member States. It shall respect its rich cultural and linguistic diversity, and shall ensure that Europe's cultural heritage is safeguarded and enhanced.
4. The Union (...).
5. In its relations with the wider world, the Union (...).
6. The Union shall pursue its objectives by appropriate means commensurate with the competences which are conferred upon it in the Treaties.

Article 174

In order to promote its overall harmonious development, the Union shall develop and pursue its actions leading to the strengthening of its economic, social and territorial cohesion. In particular, the Union shall aim at reducing disparities between the levels of development of the various regions and the backwardness of the least favoured regions. Among the regions concerned, particular attention shall be paid to rural areas, areas affected by industrial transition, and regions which suffer from severe and permanent natural or demographic handicaps such as the northernmost regions with very low population density and island, cross-border and mountain regions.

Annex 2.6:
"Pros" and "cons" associated to the EU-funding separation for inter-regional co-operation during the period 2007-2013

Potential added value of co-operation under Article 37-6b:

It allows bilateral (inter-regional) co-operation between regions that do not share common borders, but share objectives. It allows the development of concrete activities that do not limit themselves to networking and exchange of best practices. It may be a flexible co-operation tool even if various topics are to be addressed. Also the European macro-strategies elaborated for the Baltic Sea and Danube areas are mentioned as a likely new context where flexible co-operation tools such as Article 37-6b may be implemented.

Actual use of Article 37-6b:

Neither the European Commission (DG REGIO) nor the Member States themselves encouraged proactively the use and implementation of Article 37-6b. At the EU-level, nobody knows exactly which ROPs/regions in what Member State use Art. 37.6b or would be interested in using it. According to the little information available, it appears that a total of 42 regional operational programmes (ROPs) in 12 Member States have inserted and mentioned this article. Especially the Italian "National Strategic Reference Framework" promotes inter-regional co-operation both within the country (Interregional Operational Programmes-POIn) and in the sense of Article 37-6b (e.g. ROP of Campania region). But also some regions in France (e.g. ROPs of Limousin and Aquitaine) and Sweden (e.g. ROP Västra Götaland) show an interest in making use of this option.



Current implementation of Article 37-6b:

This article is automatically open to any region since it is mentioned in the Regulation. Regions may therefore use it in parallel to European Territorial Cooperation even if they did not mention it in their ROPs (i.e. as long as these co-operation activities are consistent with the regional strategy). As no specific guidelines were issued at the outset (i.e. the Regulations 1083/2006 and 1080/2006 only provide for the basic framework and allow regions to start co-operation actions), the ROPs are implementing Article 37-6b each in a different way.

A comparison of inter-regional co-operation under Objective 3 and under Article 37-6b:

Inter-regional co-operation under Objective 3 (i.e. INTERREG IVC) and under regional operational programmes (i.e. Article 37.6b) are largely separated worlds. A number of questions illustrate the many differences that exist in the practical implementation of both approaches (i.e. themes, duration, category of actors, support, European character etc), which also raises some concerns about the wider added value of the current EU-funding separation:

- Who co-operates with whom, as INTERREG IVC favours tri-or multilateral partnerships while Article 37.6b proposes bilateral or multilateral relationships (between neighbouring or non-neighbouring regions)?
- Who are the beneficiaries, as INTERREG IVC favours co-operation among public authorities/bodies while Article 37.6b is – beyond public actors - also open to private actors?
- What is the respective content of projects, as INTERREG IVC favours co-operation on its two thematic priorities (with a wide range of sub-themes) while co-operation under Article 37-6b may address a wide range of themes? And what to do if regions co-operating under Article 37-6b are not having the same regional development approach?
- What is the duration of projects, as INTERREG IVC favours a co-operation duration between 2 and 4 years while co-operation under Article 37-6b can in principle last over 7 years?
- What is the co-financing rate, as differences exist between INTERREG IVC (75% or 85%) and Article 37-6b (up to 50% or 75%, depending on the ROPs)?
- What is the grant volume, as differences exist between INTERREG IVC (a maximum of € 5 million) and Article 37-6b (no limitation, depending on the ROPs)?
- What kind of cost is eligible for funding, as differences exist between INTERREG IVC (only funding to “soft” costs) and Article 37-6b (no specification, i.e. “soft” & “hard” costs can be supported)?
- What is the European nature of the supported operations, as differences exist between INTERREG IVC (strong European nature) and Article 37-6b (weak, strongly depending on the commitment of the partners & the nature of a project)?
- How is information about the outcome generated by co-operation disseminated, as differences exist between INTERREG IVC (EU-wide & transparent dissemination through applying various tools) and Article 37-6b (no specification, strongly depending on the commitment of the partners & the nature of a project)?





Annexes relating to Chapter 3

Annex 3.1: Main management & implementation bodies and their respective responsibilities under INTERREG IVC.			
Bodies involved in the OP management and implementation	Institution fulfilling this role	Functions as provided by the framework regulation 1083/2006, Art. 60	Functions as provided by the OP/Programme manual and other secondary sources (especially AIRs, Communication Strategy as regards the IPs and the NCPs, Agreement between the MA and Member States, presentations)
Managing Authority	Région Nord-Pas de Calais Conseil Régional Lille, France	(a) ensuring that operations are selected for funding in accordance with the criteria applicable to the operational programme and that they comply with applicable Community and national rules for the whole of their implementation period; (b) verifying that the co-financed products and services are delivered and that the expenditure declared by the beneficiaries for operations has actually been incurred and complies with Community and national rules; verifications on-the-spot of individual operations may be carried out on a sample basis in accordance with the detailed rules to be adopted by the Commission in accordance with the procedure referred to in Article 103(3); (c) ensuring that there is a system for recording and storing in computerised form accounting records for each operation under the operational programme and that the data on implementation necessary for financial management, monitoring, verifications, audits and evalua-	a. ensuring that operations are selected for funding in accordance with the criteria applicable to the operational programme and that they comply with applicable Community and national rules for the whole of their implementation period; b. verifying that the co-financed products and services are delivered and that the expenditure declared by the beneficiaries for operations has actually been incurred and complies with Community and national rules; verifications on-the-spot of individual operations may be carried out on a sample basis in accordance with the detailed rules to be adopted by the Commission in accordance with the procedure referred to in Article 103(3); In this respect and in accordance with Article 15 of Regulation (EC) 1080/2006, the Managing Authority shall satisfy itself that the expenditure of each beneficiary participating in an operation has been validated by the controller referred to in Article 16 (1) of Regulation (EC) 1080/2006. The Managing Au-

		<p>tion are collected;</p> <p>(d) ensuring that beneficiaries and other bodies involved in the implementation of operations maintain either a separate accounting system or an adequate accounting code for all transactions relating to the operation without prejudice to national accounting rules;</p> <p>(e) ensuring that the evaluations of operational programmes referred to in Article 48(3) are carried out in accordance with Article 47;</p> <p>(f) setting up procedures to ensure that all documents regarding expenditure and audits required to ensure an adequate audit trail are held in accordance with the requirements of Article 90;</p> <p>(g) ensuring that the certifying authority receives all necessary information on the procedures and verifications carried out in relation to expenditure for the purpose of certification;</p> <p>(h) guiding the work of the monitoring committee and providing it with the documents required to permit the quality of the implementation of the operational programme to be monitored in the light of its specific goals;</p> <p>(i) drawing up and, after approval by the monitoring committee, submitting to the Commission the annual and final reports on implementation;</p> <p>(j) ensuring compliance with the information and publicity requirements laid down in Article 69;</p> <p>(k) providing the Commission with information to allow it to appraise major projects.</p>	<p>thority shall lay down the implementing arrangements for each operation, where appropriate in agreement with the lead beneficiary.</p> <p>c. ensuring that there is a system for recording and storing in computerised form accounting records for each operation under the operational programme and that the data on implementation necessary for financial management, monitoring, verifications, audits and evaluation are collected;</p> <p>d. ensuring that beneficiaries and other bodies involved in the implementation of operations maintain either a separate accounting system or an adequate accounting code for all transactions relating to the operation without prejudice to national accounting rules;</p> <p>e. ensuring that the evaluations of operational programmes referred to in Article 48(3) are carried out in accordance with Article 47;</p> <p>f. setting up procedures to ensure that all documents regarding expenditure and audits required to ensure an adequate audit trail are held in accordance with the requirements of Article 90;</p> <p>g. ensuring that the certifying authority receives all necessary information on the procedures and verifications carried out in relation to expenditure for the purpose of certification;</p> <p>h. guiding the work of the monitoring committee and providing it with the documents required to permit the quality of the implementation of the operational programme to be monitored in the light of its specific goals;</p> <p>i. drawing up and, after approval by the monitoring committee, submitting to the Commission the annual and</p>
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			<p>final reports on implementation;</p> <p>j. ensuring compliance with the information and publicity requirements laid down in Article 69;</p>
Certifying Authority	<p>Caisse des Dépôts et Consignations Paris, France</p>	<p>(a) drawing up and submitting to the Commission certified statements of expenditure and applications for payment;</p> <p>(b) certifying that:</p> <p>(i) the statement of expenditure is accurate, results from reliable accounting systems and is based on verifiable supporting documents;</p> <p>(ii) the expenditure declared complies with applicable Community and national rules and has been incurred in respect of operations selected for funding in accordance with the criteria applicable to the programme and complying with Community and national rules;</p> <p>(c) ensuring for the purposes of certification that it has received adequate information from the managing authority on the procedures and verifications carried out in relation to expenditure included in statements of expenditure;</p> <p>(d) taking account for certification purposes of the results of all audits carried out by or under the responsibility of the audit authority;</p> <p>(e) maintaining accounting records in computerised form of expenditure declared to the Commission;</p> <p>(f) keeping an account of amounts recoverable and of amounts withdrawn following cancellation of all or part of the contribution for an operation. Amounts recovered shall be repaid to the general budget of the European Union prior to the closure of the operational programme by deducting them from the</p>	<p>a. drawing up and submitting to the Commission certified statements of expenditure and applications for payment</p> <p>b. certifying that:</p> <p>(i) the statement of expenditure is accurate, results from reliable accounting systems and is based on verifiable supporting documents,</p> <p>(ii) the expenditure declared complies with applicable Community and national rules and has been incurred in respect of operations selected for funding in accordance with the criteria applicable to the programme and complying with Community and national rules;</p> <p>c. ensuring for the purposes of certification that it has received adequate information from the Managing Authority on the procedures and verifications carried out in relation to expenditure included in statements of expenditure;</p> <p>d. taking account for the purposes of certification of the results of all audits carried out by or under the responsibility of the Audit Authority;</p> <p>e. maintaining accounting records in computerised form of expenditure declared to the Commission;</p> <p>f. keeping an account of amounts recoverable and of amounts withdrawn following cancellation of all or part of the contribution for an operation. Amounts recovered shall be repaid to the general budget of the European Union, prior to the closure of the Operational Programme by deducting them from the next statement of expenditure;</p> <p>The Certifying Authority will</p>

		next statement of expenditure.	also be the Paying body and as such shall be responsible for: - receiving the payments made by the Commission; - making payments to the beneficiaries.
Audit Authority	Commission Interministérielle de Coordination des Contrôles des actions cofinancées par les Fonds Structurels (CICC) Paris, France	(a) ensuring that audits are carried out to verify the effective functioning of the management and control system of the operational programme; (b) ensuring that audits are carried out on operations on the basis of an appropriate sample to verify expenditure declared; (c) presenting to the Commission within nine months of the approval of the operational programme an audit strategy covering the bodies which will perform the audits referred to under points (a) and (b), the method to be used, the sampling method for audits on operations and the indicative planning of audits to ensure that the main bodies are audited and that audits are spread evenly throughout the programming period. Where a common system applies to several operational programmes, a single audit strategy may be submitted.; (d) by 31 December each year from 2008 to 2015: (i) submitting to the Commission an annual control report setting out the findings of the audits carried out during the previous 12 month-period ending on 30 June of the year concerned in accordance with the audit strategy of the operational programme and reporting any shortcomings found in the systems for the management and control of the programme. The first report to be submitted by 31 December 2008 shall cover the	a. ensuring that audits are carried out to verify the effective functioning of the management and control system of the Operational Programme; b. ensuring that audits are carried out on operations on the basis of an appropriate sample to verify expenditure declared; c. presenting to the Commission within nine months of the approval of the Operational Programme an audit strategy covering the bodies which will perform the audits referred to under subparagraphs a. and b., the method to be used, the sampling method for audits on operations and the indicative planning of audits to ensure that the main bodies are audited and that audits are spread evenly throughout the programming period; d. by 31 December each year from 2008 to 2015: (i) submitting to the Commission an annual control report setting out the findings of the audits carried out during the previous 12 month-period ending on 30 June of the year concerned in accordance with the audit strategy of the Operational Programme and reporting any shortcomings found in the systems for the management and control of the programme. The first report to be submitted by 31 December 2008 shall cover the period from 1 January 2007 to 30 June 2008. The information concerning the audits carried out after 1 July 2015 shall be



	<p>period from 1 January 2007 to 30 June 2008. The information concerning the audits carried out after 1 July 2015 shall be included in the final control report supporting the closure declaration referred to in point (e);</p> <p>(ii) issuing an opinion, on the basis of the controls and audits that have been carried out under its responsibility, as to whether the management and control system functions effectively, so as to provide a reasonable assurance that statements of expenditure presented to the Commission are correct and as a consequence reasonable assurance that the underlying transactions are legal and regular;</p> <p>(iii) submitting, where applicable under Article 88, a declaration for partial closure assessing the legality and regularity of the expenditure concerned.</p> <p>When a common system applies to several operational programmes, the information referred to in point (i) may be grouped in a single report, and the opinion and declaration issued under points (ii) and (iii) may cover all the operational programmes concerned;</p> <p>(e) submitting to the Commission at the latest by 31 March 2017 a closure declaration assessing the validity of the application for payment of the final balance and the legality and regularity of the underlying transactions covered by the final statement of expenditure, which shall be supported by a final control report.</p>	<p>included in the final control report supporting the closure declaration referred to in point (e);</p> <p>(ii) issuing an opinion, on the basis of the controls and audits that have been carried out under its responsibility, as to whether the management and control system functions effectively, so as to provide a reasonable assurance that statements of expenditure presented to the Commission are correct and as a consequence reasonable assurance that the underlying transactions are legal and regular;</p> <p>e. submitting to the Commission at the latest by 31 March 2017 a closure declaration assessing the validity of the application for payment of the final balance and the legality and regularity of the underlying transactions covered by the final statement of expenditure, which shall be supported by a final control report;</p> <p>In accordance with Article 71 (3) of Regulation (EC) 1083/2006 the Audit Authority shall draw up the report and the opinion referred to in Article 71 (2) of Regulation (EC) 1083/2006.</p>
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<p>Monitoring Committee</p>		<p>(a) it shall consider and approve the criteria for selecting the operations financed within six months of the approval of the operational programme and approve any revision of those criteria in accordance with programming needs;</p> <p>(b) it shall periodically review progress made towards achieving the specific targets of the operational programme on the basis of documents submitted by the managing authority;</p> <p>(c) it shall examine the results of implementation, particularly the achievement of the targets set for each priority axis and the evaluations referred to in Article 48(3);</p> <p>(d) it shall consider and approve the annual and final reports on implementation referred to in Article 67;</p> <p>(e) it shall be informed of the annual control report, or of the part of the report referring to the operational programme concerned, and of any relevant comments the Commission may make after examining that report or relating to that part of the report;</p> <p>(f) it may propose to the managing authority any revision or examination of the operational programme likely to make possible the attainment of the Funds' objectives referred to in Article 3 or to improve its management, including its financial management;</p> <p>(g) it shall consider and approve any proposal to amend the content of the Commission decision on the contribution from the Funds.</p>	<p>a. it shall consider and approve the criteria for selecting the operations financed within six months of the approval of the operational programme and approve any revision of those criteria in accordance with programming needs;</p> <p>b. it shall periodically review progress made towards achieving the specific targets of the operational programme on the basis of documents submitted by the managing authority;</p> <p>c. it shall examine the results of implementation, particularly the achievement of the targets set for each priority axis and the evaluations referred to in Article 48(3);</p> <p>d. it shall consider and approve the annual and final reports on implementation referred to in Article 67;</p> <p>e. it shall be informed of the annual control report, or of the part of the report referring to the operational programme concerned, and of any relevant comments the Commission may make after examining that report or relating to that part of the report;</p> <p>f. it may propose to the managing authority any revision or examination of the operational programme likely to make possible the attainment of the Funds' objectives referred to in Article 3 or to improve its management, including its financial management;</p> <p>g. it shall consider and approve any proposal to amend the content of the Commission decision on the contribution from the Funds.</p> <p>h. to decide on the launch of calls for proposals and the approach chosen for the project application process (e.g. one-step or two-step ap-</p>
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			<p>proach);</p> <p>i. To approve all individual project applications under both types of interventions on the basis of the assessment of projects and to decide on the use of the available EU Structural Funds ;</p> <p>j. to decide how the evaluation during the programming period (Article 47 (2) of Regulation (EC) 1083/2006) shall be carried out;</p> <p>k. to examine the results of a potential evaluation during the programming period;</p> <p>l. to decide on the implementation of the Technical Assistance;</p> <p>m. to agree on the publicity and information tasks mentioned in Chapter II Section 1 of the Commission Regulation (EC) N° 1828/2006;</p> <p>n. <i>to harmonise procedures with the actions for interregional cooperation under the Convergence and Competitiveness objectives;</i></p> <p>o. <i>to liaise with other relevant Community programmes;</i></p> <p>p. to approve the work plan of the Joint Technical Secretariat;</p> <p>q. to examine and approve the manuals prepared by the Managing Authority/Joint Technical Secretariat.</p>
Task Force			<p>Prepare the meetings of the MC</p> <p>Can make proposals to the Monitoring Committee on issues related to programme implementation</p>
The Joint Technical Secretariat	INTERREG IVC - Joint Technical Secretariat Lille, France	<p>Council Regulation 1080/2006</p> <p>The managing authority, after consultation with the Member States represented in the programme area, shall set up a joint technical secretariat. The latter shall assist the managing authority and the monitoring committee, and, where appropriate, the audit authority, in carry-</p>	<p>The Joint Technical Secretariat shall assist the Managing Authority, the Audit Authority, the Monitoring Committee and the Task Force, if applicable, in carrying out their duties.</p> <p>a. to prepare, implement and follow-up decisions of the Monitoring Committee;</p> <p>b. to manage the project application process for all pro-</p>

		<p>ing out their respective duties.</p>	<p>jects, including information and advice to applicants (e.g. by means of an applicants' pack), checking, assessing applications, and advising partners of decisions;</p> <p>c. to provide advice and assistance to projects regarding implementation of activities and financial administration;</p> <p>d. to monitor progress made by projects through collecting and checking project monitoring reports, monitoring outputs, results and financial implementation;</p> <p>e. to monitor commitments and payments of ERDF funds at programme level;</p> <p>f. to distribute information and implement publicity measures on the programme and its projects, including running a programme website;</p> <p>g. to assist and organise activities to support project generation and development;</p> <p>h. to organise partner search events concerning the whole EU territory</p> <p><i>i. to liaise with the implementing authorities and the European Commission;</i></p> <p><i>j. to cooperate with organisations, institutions and networks relevant for the objectives of the programme;</i></p> <p>k. to fulfil the usual work of a secretariat, i.e. organisation of meetings, drafting of minutes, etc.</p> <p>l. to ensure all new tasks of 'animation' of the programme (e.g. capitalisation on past and running operations, dissemination of good practice and organising the work process of the pools of experts).</p> <p>m. to support the Financial Controllers Group.</p>
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Information Points (IPs)	Katowice (Poland), Lille (France) (within the JTS), Rostock (Germany) and Valencia (Spain).		<ul style="list-style-type: none"> a. to organise in their respective IP area events for the benefit of potential applicants and Lead partners; b. to support National Contact Points; c. to help the JTS to organise partner search events concerning the whole EU territory; d. to organise itinerant events in their IP area; e. to support project generation and development; f. to help develop and maintain a database of publicity contacts (media, specialised magazines, key actors); g. to assist the JTS in the identification and recording of good practices; h. to contribute to the implementation of the Programme's publicity strategy in their area, in order to help promote the programme across the whole of Europe; i. to provide input to the JTS for its communication actions including contributing to the updating of the website and newsletter by sending all relevant information to the JTS; j. to assist project applicants by: <ul style="list-style-type: none"> o giving initial advice to potential project applicants (by e-mail, phone, meetings) on the requirements and criteria of the programme, particularly on the interregionality of their project and on the relevance to the priorities of the programme; o surveying the themes covered by project applicants and the geographic location of Lead partners/project partners from their area, to help monitor closely potential 'gaps' in project themes and geographical coverage at the level of each MS and the whole of the EU;
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		<ul style="list-style-type: none"> o stimulating the emergence of new projects in areas where a gap has been identified by taking specifically targeted publicity and communication actions; o facilitating partner search by identifying suitable partners in the IP area for joining projects with other interested parties, inside and outside their own area; o assisting the JTS in the initiation and generation of good quality projects to fulfil the Programme's objectives (i.e. developing relevant project ideas) o maintaining an up-to-date list of project ideas developed by Lead applicants of their IP area and regularly informing the JTS of new project ideas brought to them. o organising regional Lead Applicant seminars facilitating contacts and administrative information between running project leaders (in the zone) and the JTS with access to the main project DB in Lille k. to coordinate and support national and regional contacts, which includes holding regular meetings in order to update them about the results of the programme, the latest technical, administrative and financial features, manuals, regulations, etc; l. to assist the JTS in the assessment of applications with Lead applications not located in their geographical area and in informing and assisting applicants and partners on programme implementation issues.
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National Contact Points	One/MS		<p>These National Contact Points may have an important role in promoting the programme and its results amongst potential project applicants in their country and supporting them in generating projects. National Contact Points are supported and coordinated by the Information Points as well as by the JTS. Specifically, their role is to:</p> <ul style="list-style-type: none"> ▪ Diffuse press releases, information for applicants to national, regional contacts ▪ Organise annual National Information events (with JTS & IP support) ▪ Participate in JTS on tour
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Annex 3.2: Programme management performance (Priority 3), by 31 st of December 2009						
Indicator			2007	2008	2009	Total
2.1 Support project generation and provide advice to project applicants	Output: No. of "Individual Consultations" (IC) with applicants	Achievement	248	446	39	733
		Target	900			
	Output: No. of participants in "Individual Consultations" (IC)	Achievement	620	875	74	1569
		Target	1,800			
	Result: No. of applications submitted	Achievement	0	492	481	973
		Target	800			
2.2. Ensure the evaluation of applications, prepare the approval decisions and contract approved projects	Output: No. of applications approved and contracted	Achievement	0	41	74	115
		Target	240			
	Output: Total INTERREG IVC budget of the approved operations	Achievement	0	MEUR 88.7	MEUR 160.5	MEUR 249.2
		Target	MEUR 380			
	Output: Average INTERREG IVC budget of the approved operations	Achievement	0	MEUR 2.2	MEUR 2.2	MEUR 2.2
		Target	MEUR 1.58			
	Output: Total ERDF budget of approved operations	Achievement	0	MEUR 69.2	MEUR 123.6	MEUR 192.4
		Target	MEUR 302			
	Output: % of total ERDF budget committed to operations	Achievement	0	22.9%	40.9	63.8
		Target	94 %			
	Result: % of approved applications compared with submitted applications (success rate)	Achievement	0	8.3%	15.4 %	11.8 %
		Target	40 %			
2.3 Ensure monitoring / advice to running projects	Output: No of project reports checked	Achievement	0	0	82	82
		Target	1,200			
	Output: Average number of days needed to check one report	Achievement	0	0	29	29
		Target	30			
	Output: No of project visits, participation to project events by MA/JTS	Achievement	0	5	11	16
		Target	240			
	Output: Total ERDF paid out to operations	Achievement	0	0	MEUR 1.9	MEUR 1.9
		Target	MEUR 286			
	Output: % of total ERDF budget of	Achievement	0%	0%	1%	1%

Annex 3.2: Programme management performance (Priority 3), by 31 st of December 2009							
Indicator			2007	2008	2009	Total	
	approved operations paid out to operations	Target	95%				
	Result: % of successful implemented operations (achievement of indicated output/result indicators and budget spending) compared with approved operations	Achievement	0%	0%	0%	0%	
		Target	90%				
	Result: Amount of ERDF decommitted	Achievement	0	0	0	0	
		Target	MEUR 16				
	Result: % of total ERDF decommitted (rate of decommitment)	Achievement	00	0	0	0	
		Target	5%				
	2.4 Ensure capitalisation of operations' results for both types of intervention;	Output: Number of approved operations working on similar themes identified and capitalisation activities requested	Achievement	0	5	16	21
			Target	10			
		Output: Number of operations' good practice guides available on the programme's web site	Achievement	0	0	0	0
		Target	240				
Output: Number of capitalisation events organised		Achievement	0	0	2	2	
		Target	10				
Result: Number of participants in capitalisation events organised		Achievement	0	0	80	80	
		Target	1000				
Result: Average number of downloads of each good practice guide available on the programme's web site		Achievement	0	0	0	0	
		Target	40				

2.5 Organise meetings and events for applicants, partners, auditors, experts, Member States and other bodies to inform them about the programme, to discuss specific aspects of its implementation, disseminate and capitalise on operations' results	Output: No. of brochures (no of issues created, not no of copies printed or disseminated)	Achievement	0	1	5	6
		Target	4			
	Output: No. of newsletters (no. of issues created, not no. of copies printed or disseminated)	Achievement	0	0	0	0
		Target	34			
	Output: No. of events organised	Achievement	7	13	5	25
		Target	80			
	Output: No. of other events participated in (with presentations/stands etc. about the programme activities)	Achievement	14	42	46	102
		Target	50			
	Output: Estimated no. of participants in events participated in	Achievement	1705	4901	4334	10,940
		Target	5,000			
	Result: No. of press releases on programme activities disseminated	Achievement	2	2	5	9
		Target	20			
	Result: No. of copies of newsletters disseminated	Achievement	0	0	0	0
		Target	10,000			
	Result: No. of copies of brochures disseminated	Achievement	0	4,000	16,850	20,850
	Target	10,000				
Result: No. of articles/appearances published in the press and in other media	Achievement	9	35	63	107	
	Target	20				
Result: Estimated no. of participants in events organised	Achievement	1395	1993	399	3787	
	Target	5,500				
Result: Average no. of visits per month on the programme website	Achievement	37,284	35,270	36,363	36,305	
	Target	10,000				
2.6 Ensure the reporting to the Member States and the European Commission.	Output: No of Monitoring Committee meetings	Achievement	1	2	2	5
		Target	15			
	Result: Average no. of visits per month on the programme intranet site	Achievement	40	200	200	120
		Target	50			

Source: INTERRE IVC : Annual Implementation Report 2009, page 4



Annex 3.3:
Outputs & results achieved under specific activities realised by the individual IPs (*) & aggregated total for all IPs

Category & related indicators		IP-South		IP-East		IP-West		IP-North		Aggregated total, all IPs (2009)	Comparison (****)		
		2007-08	2009	2007-08	2009	2007-08	2009	2007-08	2009		Programme total (2009)	Share of IPs	
2.1 Support project generation and provide advice to project applicants	Output, total: No. of "Individual Consultations" (IC) with applicants, of which:	215 (**)	127	62 (**)	4 (**)	785	524	661	290	2668 or: 4500 (***)	733	69%	
	- personal meetings	139	7	62	4	162	12	105	16		507	-	-
	- project assistance forms	76	20	55	2	73	12	156	24		418	-	-
	- telephone calls	625	100	1000	150	550	500	400	250		3575	-	-
	Output: No. of participants in "Individual Consultations" (IC)	212	21	84	7	405	20	203	26		978	1569	62%
Result: No. of (submitted) applications assessed	75	74	75	80	35	53	75	80	547	973	56%		
2.5 Organise meetings and events for applicants, partners, and other bodies	Output: No. of events organised	3	2	3	0	3	1	4	7	23	25	92%	
	Result: Estimated no. of participants in events organised	324	33	320	0	172	140	207	160	1356	3787	36%	
	Output: No. of other events participated in (with presentations/stands etc).	7	1	14	14	11	1	7	2	57	102	56%	
	Result: Estimated no. of participants in events participated in	671	15	2000	1480	870	170	1227	480	6913	10940	63%	

(*) Figures as reported in the latest Annual Reports of the individual IPs (2009), not including target values as these were only defined since 2009.
(**) In the case of IP-South and IP-East there is an inconsistency between the reported figures on the total output and the reported figures on the output for the corresponding sub-headings (i.e. on personal meetings, project idea forms & telephone calls) which does not exist for the two other IPs (i.e. West & North).
(***) Due to the observed inconsistencies on the reported output figures for IP-South & IP-East, the aggregated total output (2668) does not correspond to the aggregated total output of the corresponding sub-headings. If one adopts a similar calculation approach across all IPs (i.e. aggregated total output is the sum of all aggregated sub-totals), then the aggregated total output achieved under this indicator even raises to 4500.
(****) The absolute figures for 2009 of the corresponding programme-level indicators (see: Annex 3.2) were compared to the aggregated IP-total of 2009 in order to determine the share of the IPs in the overall outputs & results achieved.
(*****) For this output indicator, a strong inconsistency exists between the value reported at the programme-level (i.e. 733) and the aggregated value reported by all IPs (2,668 or 4,500). We therefore assumed that only personal meetings were considered at the programme level and compared the value of 733 with the aggregated value achieved by the IPs under the corresponding sub-heading "personal meetings" (i.e. 507).

Annex 3.4:**The "pros" & "cons" of eventual resource shifts between the IPs and the JTS****Advantages linked to transferring a part of human and/or financial resources from the Information Points to the JTS**

- Better coordinated and harmonised/consistent activity, especially as regards messages given to projects, in all phases.
- Possibly reduce TA costs, including by saving resources invested in coordinating the IPs.
- Possibly decrease the time needed for project appraisal and enhance project monitoring, including from a thematic/content-wise point of view, as well as communication and dissemination activities.
- It might avoid a "division" of a potential network of contact points through IPs, whereas projects should be across all Europe.

Disadvantages linked to transferring a part of human and/or financial resources from the Information Points to the JTS

- Proximity and area-related knowledge (including language) would be at least partially lost
- The JTS might have less time for project development, which would continue to lead to low quality applications
- Less interaction with the NCPs, as coordinating 29 NCPs might be even more time consuming than coordinating 4 IPs.
- The programme would be even less present on the ground, in Europe (especially if no NCPs involved, either)
- In some cases there is not too much to be transferred in terms of human resources, as the IP has only one or two members of staff
- Decrease the contact between the programme and projects, especially direct contact, which leads, in turn, to an unwanted effect – unequal treatment of projects, in all their phases
- It could free the IPs from appraisal tasks and enable them to concentrate more on communication, project advice and dissemination.

Source: Survey among MC-members & NCPs, direct interviews with the JTS and the IPs

Annex 3.5:

Examples of areas/activities where the IPs could offer further support to the JTS

- **Two-ways communication & dissemination**
 - Facilitate better awareness, dissemination and understanding of the objectives of the programme and results of the projects, also at regional level, together with the NCPs.
 - Identify gaps in geographical and thematic participation and take measures to close them (through direct contact with the potential applicants (e.g. e-mail), seminars and trainings).
 - Passing the message of the demand-side of the programme to the JTS: provide more detailed feedback to the JTS from the regional/local level.
- **Project generation**
 - Advice to applicants as regards the programme requirements, in order to enhance the quality and relevance of the application.
 - Development of an on-line project idea tool, through which advice could be given to potential applicants.
- **Project appraisal:**
 - Eligibility check.
- **Project implementation**
 - It is important for project partners to have contact persons nearby, who could clear some difficulties and get answers on their questions in a quick and informal way, maybe even in their own language.
 - Training and seminars on particular issues as first level control and project management
 - Monitoring of projects implemented in their areas.
- **Capitalisation**
 - Organise capitalisation-related activities at national level.
- **Horizontal**
 - Thematic decentralisation (i.e. the IPs could have the thematic expertise needed by the project).

Annex 3.6:

Possible actions of IPs & NCPs which allow them to play a stronger role in the wider programme implementation process

- **IPs (mostly in cooperation with NCPs)**
 - Strengthening their own capacity in providing information and support to potential applicants and carrying out project pre-assessment (through trainings by the JTS).
 - Provide more, targeted, customised face-to-face information on the programme opportunities and requirements.
 - Communicate more directly with the MS.
 - Training of the potential applicants (also in national languages) on practical, not general issues.
 - Applicants should obligatorily contact the IP at least once, perhaps even to get permission to apply, before submitting an application, at least for a check of the eligibility criteria
 - More regional, specific events to explain to a limited number of participants the programme requirements.
 - Guided partners search forums.
- **NCPs (more specifically)**
 - Validate the capacity and the relevance of the proposed project partners and provide other country-specific information to the IPs and/or JTS (both on legal and administrative issues and on policies as such).
 - More active in their role as both NCPs and MC members.
 - Work directly with the project applicants in developing their project application and ensuring its quality and relevance.

Source: *Monitoring Committee and National Contract Points surveys*

Annex 3.7:

Main features of the INTERREG IVC Communication Strategy

The Communication Strategy aims to identify the measures necessary to bridge the communication and information gap between the citizens of the EU and the role played by the Community, in particular through the INTERREG IVC programme. The following box presents the aims and the target groups of the Communication Strategy.

Aims of the Communication Strategy

- Raise awareness of the programme, its activities and its impacts;
- Attract potential project promoters to apply to the programme;
- Ensure potential partners in INTERREG IVC operations receive clear and timely information;
- Ensure partners in INTERREG IVC operations receive clear and timely information;
- Demonstrate transparently the role of the EU and how EU money is being spent.

Target groups of the Communication Strategy

- Potential partners of INTERREG IVC operations;
- Partners and lead partners of approved INTERREG IVC operations;
- Representatives of all local, regional and city authorities in participating countries;
- Managing Authorities of Convergence and Competitiveness and Employment programmes;
- Regional offices in Brussels;
- European Parliament;
- European Commission;
- Committee of the Regions;
- Local, regional, national, EU-level and specialist media, helping raise awareness further among various audiences across the programming area;
- Contacts of relevant local, regional and national bodies (they help disseminate);
- EU general public (for transparency reasons).

Source: INTERREG IVC Communication Strategy 2007-2015

As tools, the Communication Strategy is implemented through events (Interregional Partner Search Forum, Interregional Capitalisation Forum, Lead Applicant seminar, Lead Partner seminar, National Information events, Regional Information Events (as needed), INTERREG IVC on tour, participation in other events) publicity and information material and website.

The Strategy mentions the importance of the communication and dissemination activities carried out at project level for the overall visibility of the programme. At the same time, among other performance monitoring mechanism (e.g. press clippings service, number of applications received for each call), an impact assessment tool is envisaged: towards the end of the programming period questionnaires and/or online surveys will be conducted for this purpose. Through this tool not only the visibility and awareness of the programme will be assessed, but also, by extension, the visibility of Structural Funds.

The Plan is to be implemented under the coordination of the Communication Officer within the JTS, with the support of the IPs and the NCPs.



Annex 3.8:
Possible ways to enhance the effects of the INTERREG IVC communication & dissemination activities

- The communications activities should be clearer and more concise as regards what is “possible and what is not possible” in an INTERREG IV C project
- The possibility to have personal consultations should be made better known to the target group – some of its representatives were not really aware of the fact that this was possible
- More should be done to communicate the programme and its achievement to the wider public and potential partners not belonging to the INTERREG IVC “clientele”, e.g. materials accessible not only for “initiated public”, as the programme has great achievements while its image of “tourism office” is still preserved in some groups.
- A programme newsletter would be useful - to monitor what will happen in the next months with the programme and (especially for networks) to pass the information to their members
- Information on calls would be more useful if published a lot more in advance
- The programme web-page should be updated more often, with more information and should have a reader friendly-format – e.g. URBACT
- Direct contact to the target group should be sought
- Policy and decision-makers should be especially targeted by the programme communication and dissemination activities, for obvious reasons; they should be approached with materials customised for this particular target group
- Use already existing channels as Europe Information Centres and maybe Europe Direct
- Work more closely together with networks, to multiply the effects of the communication and dissemination activities.

Source: Interviews with the European Parliament, Committee of Regions, AER, CPRM, AEER, EUROCIITIES

Annex 3.9:
Objectives of programme capitalisation

Overall objective

“to test a specific methodology to achieve the objectives of programme capitalisation listed hereunder”

- 1 to create the conditions of an optimal exploitation of the knowledge resulting from the projects;
- 2 to help the programme strengthen its own internal coherence, with the clustering of projects dealing with similar issues;
- 3 to provide in return relevant thematic information to the running projects and therefore contribute to increasing the quality of their exchange of experience and knowledge.
- 4 to make the programme’s achievements more visible and to be able to draw some policy recommendations at the European level based on the projects’ results.

Annex 3.10: SWOT analysis of the programme capitalisation	
Strengths	Opportunities
<ul style="list-style-type: none"> ▪ There are lots of common issues tackled by the projects which can become a strong basis for mutual learning, results capitalisation and shortening time to access knowledge, especially for projects in their start-up phase. ▪ There is an interest in project to project exchanges. ▪ Project leaders have expressed expectations for such a capitalisation programme. ▪ Project leaders indicated their willingness to participate in capitalisation and to associate their partners ▪ Some project results are worthy of being known by regions not involved in the Interreg IVC programme. 	<ul style="list-style-type: none"> ▪ The programme could stimulate the programme capitalisation exercise by providing the following services: ▪ A repository of the good practices transferred among the partners of the 21 projects; ▪ A clearing house system (e.g. inter project steering group) through which project leaders would be able to identify and promote synergies with other projects, to extract from their implementation experience policy recommendations to contribute to the policy debate; to maximise the impact and the take up at the regional level of the innovative support tools developed/exchanged ▪ A pool of experts (hot line for queries related to main issues linked to the aim of the projects); ▪ A series of thematic workshops offering keynote speakers and opportunities for face to face contacts.
Weakness	Treats
<ul style="list-style-type: none"> ▪ Most of the projects still seem to look to generic issues. The expectation was that this generation of projects was more focused ▪ Only very few projects are trying to define or build performance indicators related to their core activities; ▪ Capitalisation at programme level is not considered as an internal issue by the project partners and it is often confused with dissemination. 	<ul style="list-style-type: none"> ▪ The duration of the programme capitalisation exercise (should be ongoing) ▪ The timing of activities: only 6 out of the 21 projects had achieved results regarding the identification of good practices to be transferred ▪ The limited resources that do not provide the opportunity to do an in-depth analysis of project achievements neither the organisation of specific capitalisation events

Source: Eurada (2010), adjusted by Panteia based on desk research, survey data, and case studies

Annex 3.11: Topics for clustering projects	
Policy level	Project management level
<ul style="list-style-type: none"> ▪ Involvement of stakeholders ▪ Transition from current practices to the next generation ▪ How to adapt practices to regulation constraints and the incentives to regional power/ competence ▪ Complementarity between local assets owners ▪ Involvement of managing authorities ▪ Role of public procurement ▪ Drafting policy recommendations 	<ul style="list-style-type: none"> ▪ Reporting issues ▪ Working plan follow-up
Methodology level	Good practice
<ul style="list-style-type: none"> ▪ Good practice identification ▪ Transfer process ▪ Mini programme implementation ▪ How to effectively implement the action plans designed during the project life cycle 	<ul style="list-style-type: none"> ▪ Framework conditions ▪ Tools to support enterprises ▪ Market intelligence ▪ Building user-driven innovation

Source: Eurada (2009), adjusted by Panteia on ground of experiences made with priority 1 projects

Annex 3.12: Possible ways for improving MC-meetings in terms of efficiency, quality and intensity of debates
<ul style="list-style-type: none"> ▪ The MC should be more decisively chaired, possible by the MA (with the support of the JTS), the European Commission or even by a professional moderator. ▪ More focused input into the discussions, to be prepared by the JTS: on thematic issues and progress, on gaps identified, on projects which could be further development and capitalisation (e.g. as it happened in Madrid). ▪ Preparing the discussions well in advance, including thorough an on-line discussion forum; the documents sent in advance should be presented concisely, and not in detail, during the meeting. ▪ Longer MC meetings should be organised, up to two days, and these should be preceded by preparatory meetings. ▪ Documents with an informing character should be dealt with in writing procedure. ▪ A stronger, well informed MA, actively engaging in the MC meetings, possibly to counter-balance an apparently too influential JTS. ▪ A stronger role of the Troika in preparing the issues to be decided in the MC meetings. ▪ Discussions during the MC meetings to be carried out also in smaller round-tables/workshops. ▪ More discussions on strategic issues, including the content of the projects, should be facilitated. ▪ Members of the MC may be asked before the MC meetings to concretely contribute to some discussion topics.

Source: on-line survey among the MC members and interviews with the programme JTS and MA and European Commission

Annex 3.13:

Possible ways for improving the RoP of the MC in order to optimise the decision-making process during MC meetings on Technical Assistance, projects and the roles of the chair, the MA/JTS and the EC

- The RoPs should be clear to all MC members
- Decision-making thresholds should be lowered (e.g. to 2/3 for TA, as currently for projects, simple majority of the expressed votes taking into account the abstention votes – for projects)
- More discussions on the content of the *individual* projects (JTS should concisely present the strong and weak points of the projects selected); these discussion might be held separately, e.g. per priority, or in workshops
- Stronger position of the MA and Troika in the decision-making process
- Stronger, professional, proactive, constructive and more uniform MC meetings moderation (by the MA, European Commission, independent/professional moderator; the Chair to moderate the Management and Strategy part of the agenda ("Monitoring" part of the Committee) while the MA/JTS might chair the Projects-decision part of the agenda ("Steering" part of the Committee)
- European Commission should have decision-making right in the MC
- The MC should concentrate on its strategic role, and less on individual projects. For this purpose more specific eligibility and selection criteria should be applied, the indicator system should reflect more the quality of the programme achievements and decisions should be taken based on on-going evaluation of the programme performance.

Source: *On-line survey among the MC-members*

Annex 3.14:
Possible ways for strengthening the relation between INTERREG IVC and other EU-programmes (esp. Convergence & Competitiveness programmes)

- **Strategic**
 - Inter-regional networking and exchange should become a full component in itself of the strategic approach of politicians and policy makers on regional development.
 - Set up a (EU) strategy and allocate resources (human, time, money) for its implementation.
 - Stronger coordination and clearer guidelines at the EC level and at national/regional level.
- **Operational**
 - Build bridges between the programmes (INTERREG IVC on one side and the other programmes on the other side), also further than Cohesion Policy as such (e.g. Competitiveness and Innovation Framework Programme, Regions of Knowledge (DG Research), Europe Innova (DG Enterprise), macro-regions strategies, and between similar projects financed under these programmes.
 - Develop the programmes (4C and the mainstream ones) together, and not in parallel.
 - Create demand from the MAs of the C&C programmes for INTERREG IVC products, through different means: meetings, common events at EU/national level.
 - Have the mainstream programmes set aside a budget especially for mainstreaming INTERREG IVC results.
 - Closer cooperation among ETC programmes, at least – applications more relevant for a B programme should be directed towards that programme (or the other way around, if any), in order to avoid overlapping, especially between B and C.
 - Mainstreaming the results of the INTERREG IVC should be an eligibility (sub)-criterion.
- **Communication**
 - More involvement into the strategic debates on EU level, increase visibility and argue for added value of the programme.
 - Providing of mutual information, regular round tables and exchange at a strategic and operational level.
 - Web-links and mutual references to events and publications.
 - Establish contacts through the web pages of the other programmes and publish news and events, when requested.
 - Cross-dissemination of noteworthy outcomes of innovative and future-oriented strategies.
 - Providing platforms for exchange between programme stakeholders and project owners on issues related to good governance and strategic orientations.
 - Contribution to elaboration of studies, or joint elaboration of studies.
 - Joint conferences, workshops and seminars on common issues.
 - Mutual use of experts pools for advisory services and the development of tools.
 - Use specialised canals (e.g. INFORM¹).

Source: On-line survey among MC-members, NCPs and LPs

¹ http://ec.europa.eu/regional_policy/country/commu/inform_meeting15_16062009_en.cfm?nmenu=4
INTERREG IV C took part in the last INFORM meeting, however, it presented the website and not the results of the programme.

Annex 3.15:

A “programme-external” view on improving the connection between INTERREG IVC & Convergence & Competitiveness programmes or other EU programmes

For the representative of the European Parliament (EP), INTERREG IVC is a programme with genuine European added value, through its results and cooperation approach. The link with the Convergence and Competitiveness programmes should be strengthened, for the latter to learn about the benefits of co-operation, as the “co-operation culture” among mainstream programmes is significantly lower than in INTERREG (underlined by all parties interviewed).

In the view of the EP-representative, the linkage with INTERREG IVC could enhance the efficiency and effectiveness of Convergence and Competitiveness programmes themselves, as they adopt and implement highly performing, already tested and developed, solutions and approaches to different policy problems (view shared by the CoR). This linkage could be made through guidelines on how to introduce co-operation as a priority in the operational programmes and through adequate communication and dissemination activities which would make the Convergence and Competitiveness programmes more aware of the results of INTERREG IVC and of the benefits of co-operation. In the view of the EP-representative, the European Commission should also play a stronger role in this respect, through ensuring this linkage already at the policy-making stage by giving adequate further guidance in this respect (view shared by the CoR). INTERREG IVC could also itself contribute to this stronger connection through adequately disseminating the concrete programme results to the Convergence and Competitiveness programmes. These dissemination activities could be enhanced by the European Parliament itself, which could intervene at political level and raise awareness among of politicians as regards the advantages of inter-regional co-operation. Also the representative of the Committee of Regions emphasises the need for policy makers to be informed about the programme results and benefits.

The representative of the Committee of Regions also advocates a stronger and cleared interconnection between inter-regional co-operation and Convergence and Competitiveness programmes, possibly even by fully integrating inter-regional co-operation in the latter. In this way the Convergence and Competitiveness programmes would gain more European added value and contribute more to territorial cohesion, as at this point these programmes are very much focused on national/regional interests only. The representative of the Assembly of European Regions (AER) emphasises that if inter-regional co-operation is integrated into Convergence and Competitiveness programmes, its scope could become significantly wider, an aspect which is particularly interesting in comparison to the observed high demand for inter-regional co-operation under the current programme. This is also underlined by the Association of European Border Regions (AEBR), which emphasises that, if only INTERREG IVC networks are financed, regions with a strong interest in other important matters which are not relevant for INTERREG IVC can not co-operate as they do not have the money to do so. Also the Conference of Peripheral Maritime Regions of Europe (CPRM) remarks that integration between inter-regional co-operation and Convergence and Competitiveness programmes could be achieved if the new “macro-regions” approach is adopted for implementing EU Cohesion Policy.

The representative of Eurocities also emphasises that link between INTERREG IVC and URBACT should be enhanced, as the programmes can learn from each other and could combine their efforts (e.g. contact data bases of the target groups and contacting them through the network of NCPs) in order to more efficiently use their resources and avoid double financing. The AER-representative also emphasises that the harmonisation and co-operation between INTERREG IVC and INTERREG IVB programmes should be improved in order to assess better for which programme-type a project idea is more relevant.

Source: Direct interviews with representatives of European institutions (European Parliament, Committee of the Regions) and of EU-wide organisations representing the interests of local/regional authorities (AER, AEBR, CRPM, Eurocities).

**Annex 3.16:
Technical Assistance budget – budgetary lines and spending profile in 2010**

Budget Line		2007 (Actual)	2008 (Actual)	2009 allocated	2009 (Actual)	Spending profile 2009	2010	2011	2012	2013	2014	2015	TOTAL BUDGET	TOTAL in %
Core JTS	1. Staff	181,984.62	816,995.88	1,715,259.00	1,694,287.68	98.78%	1,868,908.00	1,841,348.00	1,849,211.00	1,879,114.00	1,914,347.00	1,957,588.62	14,003,786.99	49.9%
	2. Office	8,657.44	66,561.95	214,640.00	145,980.26	68.01%	125,000.00	172,000.00	177,000.00	182,000.00	185,000.00	222,300.35	1,284,500.68	4.6%
	3. Travel and Accommodation	18,126.85	61,495.07	107,500.00	63,726.18	59.28%	75,000.00	119,510.00	125,500.00	131,500.00	138,000.00	155,721.90	888,580.59	3.2%
	4. Programme Meetings (MC/GoA)	2,703.38	35,061.57	70,500.00	23,970.90	34.00%	85,000.00	75,700.00	78,700.00	82,700.00	85,700.00	70,464.15	540,000.34	1.9%
	5. Certifying Authority	0.00	9,435.00	100,000.00	90,664.16	90.66%	170,000.00	170,000.00	180,000.00	185,000.00	205,565.00	189,335.84	1,200,000.91	4.3%
	6. Support Services	11,591.68	64,169.43	116,000.00	74,936.83	64.60%	110,000.00	128,600.00	135,100.00	141,100.00	147,600.00	176,902.06	990,000.65	3.5%
	7. IT Systems	23,038.60	61,944.47	120,000.00	61,153.66	50.96%	110,000.00	110,000.00	110,000.00	110,000.00	110,000.00	77,863.27	774,000.51	2.8%
	8. Programme Evaluation	0.00	0.00	0.00	0.00		114,000.00	0.00	57,000.00	0.00	0.00	0.00	171,000.00	0.6%
	9. External Expertise (project assessment, capital)	0.00	73,000.00	104,000.00	103,340.00	99.37%	29,200.00	168,000.00	108,000.00	108,000.00	158,000.00	52,460.00	800,000.99	2.8%
	10. Communication and Dissemination	146,415.81	171,272.35	650,000.00	206,524.80	31.77%	556,000.00	413,000.00	499,000.00	275,000.00	273,000.00	159,787.04	2,700,000.32	9.6%
	a) Partner Search Forums, Dissemination + Capital	120,647.63	123,244.46	393,000.00	123,774.77	31.49%	282,000.00	213,000.00	191,000.00	165,000.00	145,000.00	76,333.14	1,440,000.31	5.1%
	b) Information Seminars	4,239.13	16,186.55	107,000.00	31,962.63	29.87%	134,000.00	130,000.00	78,000.00	78,000.00	78,000.00	61,611.69	612,000.30	2.2%
	c) General Press Activities, publications+promotor	21,529.05	31,841.34	150,000.00	50,787.40	33.86%	140,000.00	70,000.00	230,000.00	32,000.00	50,000.00	21,842.21	648,000.34	2.3%
11. Programme Studies	0.00	0.00	14,000.00	0.00	0.00%	17,000.00	17,000.00	17,000.00	17,000.00	17,000.00	15,000.00	100,000.00	0.4%	
12. Audit	0.00	0.00	63,613.00	63,613.00	100.00%	68,000.00	173,000.00	223,000.00	180,000.00	180,000.00	112,387.00	1,000,001.00	3.6%	
SubTOTAL	392,518.38	1,359,935.72	3,275,512.00	2,528,197.47	77.18%	3,328,108.00	3,388,159.00	3,559,511.00	3,291,414.00	3,414,212.00	3,189,810.43	24,451,866.77	87.1%	
E	13. Information Points	0.00	63,215.33	929,472.00	408,646.61	43.97%	1,069,739.00	790,161.00	650,649.00	647,589.06	0.00	0.00	3,630,000.44	12.9%
	a) IP North	0.00	45,481.41	219,519.00	136,995.26	62.41%	294,543.00	267,981.00	240,000.00	224,999.33	0.00	0.00	1,210,000.62	
	b) IP East	0.00	17,733.92	362,266.00	76,617.30	21.75%	428,797.00	280,927.00	203,425.00	202,499.78	0.00	0.00	1,210,000.22	
	c) IP South	0.00	0.00	357,687.00	195,034.05	54.53%	346,399.00	241,253.00	207,224.00	220,089.95	0.00	0.00	1,210,000.55	
SubTOTAL	0.00	63,215.33	929,472.00	408,646.61	43.97%	1,069,739.00	790,161.00	650,649.00	647,589.06	0.00	0.00	3,630,000.44	12.9%	
TOTAL	392,518.38	1,423,151.05	4,204,984.00	2,936,844.08	69.84%	4,397,847.00	4,178,320.00	4,210,160.00	3,939,003.06	3,414,212.00	3,189,810.43	28,081,866.00	100.0%	
ERDF	269,479.31	977,049.20		2,016,259.02		3,019,295.02	2,868,581.09	2,890,440.51	2,704,280.60	2,343,990.88	2,189,930.38	19,279,306.00	68.7%	
National counterpart EU-MS	115,491.14	418,735.38		864,111.04		1,293,983.62	1,229,391.94	1,238,760.26	1,158,977.44	1,004,567.56	938,541.62	8,262,560.00	29.4%	
Norwegian contribution	5,031.95	18,244.31		37,649.35		56,378.91	53,564.65	53,972.82	50,496.68	43,769.04	40,892.29	360,000.00	1.3%	
Swiss contribution	2,515.98	9,122.16		18,824.67		28,189.45	26,782.32	26,986.41	25,248.34	21,884.52	20,446.14	180,000.00	0.6%	

Source: INTERREG IVC JTS

Annex 3.17:

Communication & dissemination activities for which additional TA resources appear to be necessary

Project generation before calls launched

- Seminars for potential LPs from new member states.
- Process-related seminars to allow partners to exchange on preparing the application pack for an INTERREG IVC programme (during these seminars "good practices" in this respect could be presented by the successful project themselves).
- Partner search events and JTS/IPs guided partner search forum, organised also between calls (not only once per year).

Project development

- More *specific* and less general communication activities directly related to the project calls.
- More *targeted* communication activities directly related to project calls, especially as regards countries with no partners/low number of partners/no lead partners, organised at national, regional/local level.

Project implementation

- Seminars dedicated to knowledge management and exchange of experience methodologies (Component 3 of the programme), as they are organised for Components 1 and 2.
- More seminars on topics as project management and first level control.

Capitalisation

- Seminars dedicated to the development of strategies to capitalise on the results of projects, especially on "mainstreaming" them.
- Thematic activities (seminars, publications, setting up clusters of projects) to liaise with other thematic funding instruments in the same field, e.g. URBACT.
- Activities which would increase the visibility of the programme (especially its results and impact) among Objective 1 and 2 Managing Authorities, e.g. cross-programme events to support the (envisaged) cross-fertilisation, programme representatives to participate in Obj. 1 and 2 events.

Dissemination

- Dissemination of project results, especially good practices and the policies improved/influenced as a result of their transfer, also at *national* level and *among policy-makers*.
- Setting up a thematic good practice database at programme level which would enhance the connection between programme and project level for dissemination purposes.

Wide public

- Activities which would increase the visibility of the programme among the general public.

Institutional

- Involvement of the National Contact Points, for some specific tasks, such as: translation in national languages of the broad characteristics of the programme, into a brochure inviting the reader to go to the website; dissemination of this brochure and other programme related materials (to be made available by the JTS) in each country to each eligible authority; participation in coordination meetings with the Secretariat and the Information Points.
- More staff at JTS level: further communication and dissemination, project, financial officers.

Others

- Non-technical communication and dissemination materials.
- User-friendly website (including for example sections in national languages with basic information on the programme and its national interface, NCPs' contact data).

Source: Survey among MC-members, National Contact Points & projects Lead Partners



Annexes relating to Chapter 4

Annex 4.1- Table I: Geographical distribution of submitted project applications & of approved projects

Countries	Submitted applications & involved partners				Approved projects		Success rate (5) / (1)
	No. (1)	% (2)	Partners (3)	% (4)	No. (5)	% (6)	
France	54	5%	455	4.6%	17	15%	32%
Italy	217	22%	1568	15.8%	17	15%	8%
Germany	78	8%	569	5.7%	15	13%	19%
Spain	188	19%	1180	11.9%	12	10%	6%
Netherlands	42	4%	213	2.1%	12	10%	29%
United Kingdom	46	5%	483	4.9%	9	8%	20%
Greece	146	15%	1232	12.4%	6	5%	4%
Sweden	20	2%	227	2.3%	6	5%	30%
Denmark	3	0%	61	0.6%	3	3%	100%
Hungary	12	1%	332	3.3%	3	3%	25%
Austria	19	2%	167	1.7%	4	3%	21%
Finland	34	3%	220	2.2%	3	3%	9%
Belgium	15	1%	160	1.6%	2	2%	13%
Ireland	10	1%	155	1.6%	1	1%	10%
Cyprus	7	1%	192	1.9%	1	1%	14%
Latvia	4	0%	107	1.1%	1	1%	25%
Lithuania	4	0%	136	1.4%	1	1%	25%
Poland	9	1%	369	3.7%	1	1%	11%
Portugal	51	5%	480	4.8%	1	1%	2%
Bulgaria	3	0%	347	3.5%	0	/	0%
Czech Republic	10	1%	164	1.6%	0	/	0%
Estonia	1	0%	107	1.1%	0	/	0%
Malta	4	0%	64	0.6%	0	/	0%
Luxembourg	2	0%	7	0.1%	0	/	0%
Norway	4	0%	64	0.6%	0	/	0%
Romania	5	0%	413	4.1%	0	/	0%
Slovakia	7	1%	133	1.3%	0	/	0%
Slovenia	7	1%	251	2.5%	0	/	0%
Switzerland	0	/	19	0.2%	0	/	0%
Other countries	0	/	78	0.8%	0	/	0%
Total	1002	100%	9953	100%	115	100%	11,5%

Annex 4.1- Table II: ERDF-funding by programme priority

Priorities	Financial volume in percentages
Priority 1 - Innovation and the knowledge economy (71)	62%
Priority 2 - Environment and risk prevention (44)	38%
Total	100%

Annex 4.1- Table III: ERDF-funding by type of intervention	
Type of intervention	Financial volume in percentages
Regional Initiative Projects (102)	88%
Capitalisation Projects (13)	12%
Total	100%

Annex 4.1- Table IV: Coverage of the priority-level sub-themes		
Sub-themes	Projects	%
Entrepreneurship and SMEs (priority 1)	26	23%
Innovation, research and technology development (priority 1)	22	19%
Energy and sustainable transport (priority 2)	14	12%
the Information Society (priority 1)	12	10%
Employment, human capital and education (priority 2)	11	10%
Natural and technological risks (including climate change) (priority 2)	11	10%
Water management (priority 2)	6	5%
Biodiversity and preservation of natural heritage (including air quality) (priority 2)	5	4%
Cultural heritage and landscape (priority 2)	4	3%
Waste management (priority 2)	4	3%
Total	115	100%

Annex 4.1- Table V: Coverage of the types of intervention		
Types of intervention	Projects	%
Regional Initiative Projects (total)	102	89%
... of which are "normal" projects	90	79%
... of which are "mini-programmes"	12	10%
Capitalisation Projects (total)	13	11%
... of which are "simple" capitalisation projects	4	3%
... of which are capitalisation projects with fast track procedure	9	8%
Total	115	100%

Annex 4.1- Table VI: The legal status of the Lead Partners		
Legal status	Number	%
National Public Authority	3	3%
Regional Public Authority	52	45%
Local Public Authority	16	14%
Body governed by public law	44	38%
Total	115	100%

Annex 4.1- Table VII: The legal status of all project partners (Lead Partners & normal partners)		
Legal status	Number	%
National Public Authority	44	3%
Regional Public Authority	373	30%
Local Public Authority	274	22%
Body governed by public law	568	45%
Total (*)	1259	100%

(*) For 2 partners from "other countries" (not EU/CH/NOR), no information on the status is available.

Annex 4.1- Table VIII: Geographical distribution of all partners involved in approved projects & breakdown by legal status						
Country	All partners of which are (*)			
	No	%	NPA	RPA	LPA	PLGB
France	79	6.3%	2,53%	31,65%	11,39%	54,43%
Italy	148	11.7%	1,35%	36,49%	20,27%	41,89%
Germany	75	5.9%	1,33%	32,00%	16,00%	50,67%
Spain	127	10.1%	0,79%	33,07%	14,17%	51,97%
Netherlands	44	3.5%	4,55%	45,45%	20,45%	29,55%
United Kingdom	84	6.7%	1,19%	19,05%	33,33%	46,43%
Greece	81	6.4%	1,23%	37,04%	23,46%	38,27%
Sweden	60	4.8%	6,67%	41,67%	23,33%	28,33%
Denmark	15	1.2%	0,00%	13,33%	33,33%	53,33%
Hungary	57	4.5%	5,26%	15,79%	15,79%	63,16%
Austria	27	2.1%	0,00%	33,33%	14,81%	51,85%
Finland	40	3.2%	0,00%	20,00%	27,50%	52,50%
Belgium	33	2.6%	0,00%	27,27%	9,09%	63,64%
Ireland	21	1.7%	0,00%	47,62%	19,05%	33,33%
Cyprus	10	0.8%	10,00%	0,00%	40,00%	50,00%
Latvia	12	1.0%	8,33%	16,67%	16,67%	58,33%
Lithuania	16	1.3%	18,75%	6,25%	31,25%	43,75%
Poland	73	5.8%	0,00%	49,32%	20,55%	30,14%
Portugal	35	2.8%	5,71%	17,14%	40,00%	37,14%
Bulgaria	40	3.2%	17,50%	12,50%	32,50%	37,50%
Czech Republic	23	1.8%	4,35%	43,48%	13,04%	39,13%
Estonia	18	1.4%	5,56%	5,56%	22,22%	66,67%
Malta	8	0.6%	37,50%	0,00%	12,50%	50,00%
Luxembourg	/	/	/	/	/	/
Norway	11	0.9%	9,09%	72,73%	9,09%	9,09%
Romania	59	4.7%	1,69%	15,25%	44,07%	38,98%
Slovakia	23	1.8%	4,35%	30,43%	26,09%	39,13%
Slovenia	32	2.5%	12,50%	6,25%	15,63%	65,63%
Switzerland	2	0.2%	0,00%	0,00%	0,00%	100,00%
Other countries	8	0.6%	16,67%	50,00%	0,00%	33,33%
Total (**)	1261	100%	3,49%	29,63%	21,76%	45,12%

(*) NPA = national public authority; RPA = regional public authority ; LPA = local public authority; PLGB = public law governed bodies
(**) For 2 partners grouped under "other countries", no information on the status is available. The percentage was therefore calculated on a total number of 1259 partners instead of 1261.

Annex 4.2: Overview on output & result achievement of all approved operations (Priorities 1 & 2) by the end of 2009				
Issue monitored	Indicator type	Target (initial)	Achievement by the end of 2009 (*)	Estimate for future over- or under-achievement (**)
1.1. Contribution of operations to programme objectives				
1.1.1 Improvement of regional and local policies (in accordance with chapter 4.2, specific thematic objectives 1 and 2)	Output: No. of regional/local policies and instruments addressed in the fields of <ul style="list-style-type: none"> ▪ Research and technology development ▪ Support to entrepreneurship and SMEs ▪ Information Society ▪ Employment, Human Capital and Education ▪ Natural and technological risks ▪ Water management ▪ Waste prevention and management ▪ Biodiversity and preservation of natural heritage ▪ Energy and sustainable public transport ▪ Cultural heritage and landscape 	750	1,189	++
	Result: No of regional/local policies and instruments improved or developed in the fields of <ul style="list-style-type: none"> ▪ Research and technology development ▪ Support to entrepreneurship and SMEs ▪ Information Society ▪ Employment, Human Capital and Education ▪ Natural and technological risks ▪ Water management ▪ Waste prevention and management ▪ Biodiversity and preservation of natural heritage ▪ Energy and sustainable public transport ▪ Cultural heritage and landscape 	150	6	--
1.1.2 Exchange of experience and improvement of capacities and knowledge of regional and local stakeholders in particular by matching less experienced regions with regions with more experience (in accordance with chapter 4.2, specific horizontal objectives 3 and 4)	Output: No. partners involved <ul style="list-style-type: none"> o public authorities o bodies governed by public law 	1,400	1,238	++
	Output: No. of interregional events organised by projects to exchange experience	1,400	243	- or +
	Output: No. of participants in these interregional events	14,000	6,174	++
	Output: % of approved operations where both 'Objective Convergence' regions and 'Objective Competitiveness' regions are involved in the partnership	80%	99%	++
	Result: % of partners by legal status (public authorities/bodies governed by public law)	70/30%	55/45%	- or +
	Result: No. of staff members with increased capacity (awareness/knowledge/skills) resulting from the exchange of experience at interregional events	2,800	820	++
	Result: No. of new projects/activities/approaches resulting from the exchange/dissemination of experience at interregional events	480	8	--
Result: No. of action plans developed by Objective 'Convergence' regions further to the lessons	150	0	--	

	learnt from Objective 'Competitiveness' regions			
1.1.3 Identification, sharing and transfer of good practices into regional policies in particular EU Structural Funds mainstream programmes	Output: No. of good practices identified by Regional Initiative Projects (Type 1)	2,400	802	++
	Output: No. of good practices already identified and made available to regional and local actors involved in Capitalisation, including Fast Track Projects (Type 2)	250	52	- or +
	Result: No. of good practices successfully transferred within Regional Initiative Projects	200	10	--
	Result: No. of action plans developed under Capitalisation, including Fast Track Projects (Type 2)	500	0	--
	Result: No. of action plans developed under Fast Track Projects	250	0	--
	Result: Amount of mainstream funds (Cohesion/ERDF/ESF) dedicated to the implementation of good practices coming from Capitalisation, including Fast Track Projects (Type 2)	MEUR 2,500	0	no estimate possible
	Result: Amount of mainstream funds (Cohesion/ERDF/ESF) dedicated to the implementation of good practices coming from Fast Track Projects	MEUR 625	0	no estimate possible
1.1.4 Contribution to horizontal EU policies	Result: % of operations with positive effects on equal opportunities	10%	59%	++
	Result: % of operations with positive effects on the environment	60%	84%	++
1.2. General performance of operations				
1.2.1 Management and coordination	Output: Number of steering committee meetings organised by operations	480	117	+
	Result: % of progress reports approved without additional information requested from the JTS	10%	0%	--
	Result: % of deviation between planned and actual ERDF payment requests by LP ("-" under/ "+" overspending)	-5%	-54.4%	--
1.2.2 Dissemination	Output: No. of press releases disseminated	960	452	++
	Output: No. of brochures (no. of issues created, not no. of copies printed or disseminated)	960	104	--
	Output: No. of copies of brochures disseminated	120,000	290,773	++
	Output: No. of newsletters (no. of issues created, not no. of copies printed or disseminated)	1,920	103	--
	Output: No. of copies of newsletters disseminated	120,000	74,240	++
	Output: No. of dissemination events organised	960	225	+
	Output: No. of other events participated in (with presentations/stands etc. about the operation activities)	1,500	468	++
	Result: No. of articles/appearances published in the press and in other media	2,400	992	++
	Result: Estimated no. of participants in events (organised and participated in)	160,000	23,278	-
Result: Average no. of visits per month on operation's website	1,000	836	++	
<p>(*) Source: INTERREG IVC, Draft Annual Progress Report 2009. Most figures for the "dynamic" performance indicators only relate to the 41 projects approved under the first call for proposals, while the few "static" performance indicators (e.g. % of partners by legal status) consider already the 115 approved projects currently operating.</p> <p>(**) The trend assessment tries to give an intuitive estimate for the future level of output/result achievement at the end of the programming period 2007-2013. It was carried on ground of the following assumption: The first call projects (41 in total) still have to report a part of their outputs/results achieved, to which have to be added also the full outputs/results achieved by projects approved under the second call (74 projects in total) as well as those achieved by projects approved under the third call (expected are 6 or 7 projects) and a future fourth call (estimate of a further 70 approved projects). Most of the current output/result figures of 2009 represent thus only around one fifth of the potential outcome which can be achieved by all projects (between 190-200 projects in total) at the end of the programming period. Due to this, the 2009 figures were multiplied by 5 in order to obtain our estimate for future over- or under-achievement which was rated by the evaluators as follows:</p> <p>+ Slight over-achievement ++ Strong or very strong over-achievement - Slight under-achievement -- Strong or very strong under-achievement</p>				

Annex 4.3:
Examples for achieved co-operation outcomes (Categories 1-5) – qualitative survey evidence

(1) Set-up & further development of co-operation

“Capacity building by exchange of experiences between partners”

“Creation of a strong partnership”

“On interregional level we think that the partners are linked by a common problem perception and a joint objective to learn from other regional experiences”

“Since our project is just starting up the main achievement is to create a stable network between project partners and exchange knowledge between partners. At this moment it is good to see that all the partners are involved and committed to reach project objectives”

(2) Developments of concrete products (policy strategies & tools, reports, etc.)

“Definition of a common methodology for regional waste prevention policies: To provide a methodology that enables local/regional decision-makers to implement an efficient waste prevention policy in terms of planning, implementation and monitoring and to propose new approaches to the management of waste.”

“The main achievement consists of in setting up policies for SME logistics with a cross sectoral approach”

“Better design of broadband and ICT strategies among regions involved”

“Provide the targeted regions with tangible and practical tools for implementing e-business training strategies for SME's”

“The main output of the project is a catalogue of the identified and selected good practices on regional public instruments to support social enterprises and joint guidelines on innovative strategies favouring the emergence of new public social partnership/procurement models at the local level. {...} The project outputs and results are widely circulated and mainstreamed at the local, regional, national and EU level.”

“Industrial parks are a vitally important policy a planning instrument for local and regional development. We are finding an testing better solutions and tools for intervention to contribute to an improved management of Business Areas and Industrial Parks across Europe”

“The core activity of SufalNET4EU is the development of regional Action Plans for redevelopment of one or more closed landfill sites. Each partner works intensively with the various key stakeholders in his region while developing its regional action plan. Operational programmes have to fund the implementation of redevelopment plans of more than 30 closed landfill sites”

(3) Identification of good practices

“Many good practices are identified and studied, local and regional innovation environments, new trends and concepts of innovation policy are studied as well. The test phase for good practice transfer is starting-up, the doors are opened for policy influence locally, regionally, nationally and on an European level. A wealth of information from the projects is disseminated across Europe.

(4) Exchange of experiences on policies & good practices



"The mentoring programme and study visits have tremendously contributed to the exchange of information across partnerships with new processes and solution being swapped and discussed"

"Exchange of experiences between the partners on good practices for adaptation and mitigation to climate change"

"Added value is linked to the knowledge effectively transferred and applied in each regions involved (with different level of application and results)."

(5) Dissemination to a wider public

"Dissemination of the project's result are excellent thanks to the contacts of the AER, the Brussels of the lead partner and the network of partner organisations"

"Through our project not just the partner regions, but all interested regions will be able to exploit the good practices and the results of the transferability studies. As part of the Communication and dissemination NEEBOR project and Network informs a wide audience about the results. This means useful information for the EC, CoR and regional and national authorities, too. Project disseminates project results even outside the EU which can help in the developments of neighbouring countries"

"Our project aims also at developing capacities within the regional authorities to facilitate the implementation of climate change adaptation measures. Additionally, an EU wide regional network for policy cooperation on climate change adaptation is set up and new tools such as regional adaptation strategies are jointly developed, while sector integration of adaptation policies is facilitated."

"Since we are a capitalisation project, our aim is to stretches further towards implementation of successful practices in (some of) the participating regions"

Annex 4.4:

Achieved co-operation outcomes (Categories 6-8) – qualitative survey evidence

(Category 6) Increased awareness & knowledge

"Our project lead to improved knowledge about the potential and special perquisites for the creative sector"

"Complex knowledge effectively shared among regions and ministries (about broadband topic)"

"The SEE project created tools for the partners to engage their governments' representatives in policy discussions about design. Partners have stated that these tools as well as being part of a European network were invaluable in getting government representatives on board. Nevertheless the project is succeeding in bringing design up to the policy agenda in the majority of partner countries"

"the achieved results of the cooperation refer to an increased capacity of the policy makers in detecting the needs of social enterprises in their territories, thus favouring a local sustainable development"

(Category 7) Mainstreaming and/or transfer of good practices

"The transfer of best practices in the field of building an effective innovation infrastructure for SME's and on entrepreneurship infrastructure".

"The main output of our project was the preparation of an Action Plan for each participating Region for the transfer of the good practices into the mainstream funds of Regional Operational Programmes. Action Plans have been signed by the EU Structural Funds managing authorities and/or regional/local Authorities. These plans will have an impact and influence the regional mainstream policies in the field of administrative simplification for business registration and authorization."

"eGovernment and eParticipation are as a rule understood in local and regional administrations as tools to modernize the administration and provision of services to citizens and engagement with citizens in any administrative sector."

"Capacity Building by exchange of experiences, interregional Cooperation between the partners, Transfer of know-how to non project partners, Synergies with other European Commission Programmes and Initiatives (namely EEN, Green Public Procurement, Lead Market Initiative, etc)"

"The project outputs and results are widely circulated and mainstreamed at the local, regional, national and EU level. One of the project sub objectives is to favour the dissemination and transferring of the achieved results in the regional development policies in both, the involved countries and, in general, at the EU level, by means of horizontal and vertical mainstreaming actions."

"IES was launched in Cagliari on March 3rd through a Launch Conference which represented the opportunity to present the Project and its objectives which can be summarized in the improvement of the efficacy and quality of Regional Employment Services by exchanging good practices and mainstreaming the results to policy makers. The event drew the attention of more than 100 people representing Trade Unions, Trade Associations, Employment services and other local entities."

"A market place for individual regional and local challenges, scientific knowledge, technical measures, organisational approaches, communication strategies, political decisions is made available for everybody who looks for ideas to tackle with water scarcity and drought effects."

"The involvement of industry will favour the identification of opportunities of common interest, foster public/private collaborations from the very start of R&D activities and facilitate their translation into R&D centres' strategies."



"The project leads to the creation of a mobility indicator linked with the impact of traffic on air pollution that dose not exist at the moment. The creation of this forecasted European air quality index {...} and the creation of a common web site is enabling the EU citizen to know at one glance the air quality in more than 80 European cities most of these cities being not part of the project but sending their data in real time on a voluntary basis"

"After our kick-off meeting we received an inquiry from our Italian project partner concerning a potential cooperation between an Italian company in his technology park with a German company which presented its business concept during the kick-off meeting. Furthermore the objective of the good practices is to actually implement some of the GP in another participating region."

"The identification and promotion of potential "bio-energy territories" may be introduced as an innovation in the National / Regional Rural Development Plans."

"Five regions have improved their sustainable energy strategy"

"Integral approach for complex environmental issues, jointly development of 10 master plans for new lakes and wetlands, with funding plans out of structural funds or other schemes"

"Development of 9 Action Plan to implement successful good practices that allow the partners to save time and money, to learn from what other have already done and to avoid mistakes"

(Category 8) Sustainable partnerships

The C2CN partners have formulated the ambition to become a leading group of European regions that will lead the way for other European regions in effectively applying the Cradle to Cradle philosophy in solving Europe's massive waste problem. At this moment it's hard to say whether the C2CN project will generate such a strong network. However some signs of intensified co-operation can be identified"

Annex 4.5:

Case study evidence on unexpected outcomes generated by the projects

In the case of **CLIQ**, bilateral exchanges are realised among project partners which were initially not envisaged when the project was designed (e.g. the exchange in Mikkeli, Finland). These exchanges seem to be very much requested by the partners as they want to learn more about or to provide further input in relation to the specific topic addressed. These bilateral exchanges can also enhance the effectiveness of the good practice transfer and, ultimately, the help improving the concerned policies.

In the case of **B3 Regions** and the partner region Piedmont (Italy), the interregional exchange on matters related to Information Society development with other partners in Europe also opened up new co-operation opportunities: Piedmont signed with Sardinia and Catalunya a trilateral twinning agreement for continuing and further deepening inter-regional co-operation on GIS-matters. On grounds of the experiences gained with **B3 Regions**, Piedmont Region and the regional implementation agency (CSI-Piemonte) have also launched co-operation with the national authorities of Malta for providing them with advice and assistance on matters related to broadband development.

In the case of **B3 Regions** and of the partner region Malopolska (Poland), the project was a good platform which further stimulated a much wider regional Information Society development than initially expected. Mainly the experiences from Catalunya stimulated the Polish partner to develop and test new regional initiatives on e-health (e.g. Malopolska Medical Information System) and on video-conferencing. These regional initiatives are clear spin-offs of the project which were at the outset not expected to emerge. They are now included in the wider Malopolska Region Action Plan which was developed for **B3 Regions** and they are currently also implemented.

In the case of **PRESERVE** and of the partner region Styria (Austria), the project also allowed establishing concrete and unexpected business contacts with tourism development actors/organisms from other partner areas. Also additional exchange and learning processes have been made possible: Delegates from the Swedish partner Jönköping County Council came to Styria for further exploring the exemplary co-operation among all actors involved in sustainable tourism. But also the Styrian partner went to the Lithuanian partner area Alytus County for transferring know-how to further push a development of sustainable tourism.

In the case of **PROmPt** and of the partner district Bielsko-Biała (Poland), an additional brochure was designed, developed and disseminated to the wider local community ("Let's protect forests against wildfires"). It contains information on the district forests and on fire prevention, on evacuation from endangered areas in the event of a wildfire, on forest fire safety rules, on important telephone numbers to call rescue services and on rules on bonfires' burning.

In the case of **POWER**, the Lead Partner was approached by Uppsala University (the latter is not a partner in the project) which expressed an interest in contributing academically/analytically to the project due to the high quality of the work carried out. Further to this, an initially not envisaged "CO2 calculator" was designed which should be used to gauge CO2 savings across the **POWER** mini-programme. This CO2 calculator, accessible via the project web-page, is an excel fiche with fixed formulas which enable users to input the information easily. Information included is travel in km's & miles; no. of delegates; duration; no of guest nights; mode of transport - petrol cars, diesel cars, hybrid cars, motorbikes, train (national & underground), bus, air (within UK, within Europe & outside Europe), meeting venue details i.e. floor space, duration, electricity used & gas used. The calculator provides the total CO2 (t) generated from the event and the CO2 (kg) generated per delegate.

In the case of **CeRAMiCa** and the partner municipality of Hódmezővásárhely (Hungary), a public local event ("Day of ceramics & small crafts") was organised with ceramists and craftsmen. This event allowed the inhabitants to meet and know ceramists and craftsmen and also involved show-casing, an own trial of the crafts as well as the possibility of purchasing ceramic products.

Annex 4.6:

Case study evidence for impacts generated on other local, regional or European policies

Under the mini-programme **POWER**, which explores the best ways of driving Low Carbon Economies in response to the major challenges of energy paradigm and of climate change in the context of an accelerating globalisation, first local impacts can already be observed despite the fact that the entire project will only be completed by early 2012. A clear change in policy making has taken place in the case of the Estonian partner city Tallinn. Here, local policy-makers are closely involved in and informed about the project and first project results have already found their way into the city's "Sustainable Energy Action Plan" and are also further disseminated towards other local authorities in country.

Under **PRESERVE**, a series of regional-level Peer Review were realised in order to further develop sustainable tourism activities and offers in the concerned areas. The experiences made with the first two exercises already show promising developments in Sweden and Slovakia:

- The Örebro region (Sweden) has, as a follow-up given to recommendations formulated by the Peer Review report, eliminated the observed lack of communication and exchange among actors involved in sustainable tourism development through establishing a permanent platform for a structured and on-going tourism dialogue which now takes place on a 2 monthly basis. Moreover, the region has launched a feasibility study on sustainable tourism development which was also discussed with local stakeholders.
- In the case of the Banska Bystrica region (Slovakia), the recommendations of the Peer Review report were followed up through organising a regional conference involving concerned key actors from a national, regional and local level. Moreover, as the regional office for sustainable tourism development of Banska Bystrica was the only one existing in the Slovak Republic at that time, the Peer Review report also promoted its wider usefulness and good practice character. This has subsequently led to a "national mainstreaming process" throughout the entire Slovak Republic, as other regions are now about to establish such sustainable tourism development offices following this example.

The **CITEAIR II** project realises a complex process of networking and exchange of experiences in the field of air quality, emissions and sustainable urban transport to identify, test and transfer good practices for tackling air pollution. Within this wider context, a number of innovative policy tools are jointly developed which can be used by many cities in Europe also after the project is finalised (i.e. the traffic/congestion indicator TCI; climate change & CO₂ emission inventories; forecasting methods for air quality in European cities). In case of the City of Maribor in Slovenia, for example, the possibility to test and work with the model for forecasting air quality and the mobility indicator has created a local policy impact. This less experienced project partner has established tools which did not exist prior to the participation in CITEAIR II and has also upgraded its practical skills for adequately using these complex forecasting tools. Furthermore, CITEAIR II has also established a co-operation with the European Environment Agency (EEA) under the PAQ project with the view of generating synergy between the tools developed by both sides. Under the PAQ-project, the EEA already adopted the CITEAIR II Air Quality Index (CAQI) as the European standard to inform the public about air quality. This also provides strong evidence on the high quality of the tools developed under CITEAIR II and on their utility and transferability on a European scale.

Under the **CeRAMiCa** project, which develops policy recommendations and instruments to support and boost the ceramics and small crafts sector in the partner areas, impacts on some regional/local development strategies can already be observed in Romania and Portugal.

- In the case of Turda municipality (Romania), the development of the ceramic sector is now seen as an axis of the wider local socio-economic development policy which is meant to strengthen the tourism potential of the city, together with other investments to be made. For this purpose the municipality worked together with the Regional Development Agency (North-West) to extract together the common elements from the Regional Development Strategy with a view to revitalising the ceramic sector at local but also at a regional level.
- A similar development can be observed in the city of Alcobaca (Portugal), where the ceramic sector will be used as leverage for stimulating tourism (i.e. by creating "ceramic city" brand) and for urban development and regeneration purposes.

Annex 4.7:

Case study evidence on pro-active approaches for ensuring the durability of outcomes of projects

In the case of *WATER CoRe*, the durability of outcomes and of the co-operation after the end of EU-funding is ensured through the project's close but indirect link established with the "Environmental Conference of the European Regions" (ENCORE). The ENCORE-network operates since 1993 and is a co-operation platform for regional ministers and political leaders in the European Union. Through this link, the future outcomes of *WATER CoRe* are directly fed into a high-level political process which guarantees that the project achievements are also used in the long run for further improving and adapting regional water management policies to the challenges resulting from climate change.

CITEAIR II continues the previous INTERREG IIIC project "CITEAIR" and ensures the durability of its co-operation and outcomes by a now more intense and also gradually widened partnership as well as by directly involving a permanently operating European network of cities (i.e. POLIS). Furthermore, the project uses also already established dissemination channels which connect the project to other European networks in which the current *CITEAIR II* partners are involved in (e.g. Eurocities, Union of the Baltic Cities, Council of European Municipalities and Regions etc).

A relatively similar approach can be observed for *CLIQ*, which was developed by the long-standing "Eurotowns" network (21 members, operating since 1991) on the basis of previous research evidence highlighting the importance of local quadruple helix partnerships (i.e. bringing together universities, business, local authorities & civil society). The CLIQ project, which also makes use of the more focused understanding of specific issues faced by medium-sized cities that was gained through the INTERREG IIIC project "CAPTURE" initiated by Eurotowns, now involves 9 new partners. The direct link established between CLIQ and Eurotowns, but also its dissemination measures towards a number of other European networks (e.g. European Regions Research Innovation Network, Districts of Creativity, EURADA, Creative Cities, Four Motors for Europe, Union of Baltic Cities, Cluster networks, European Business Network, European Universities Association etc.), are also in this case a major factor guaranteeing a continuous and more widespread use of the project outcomes.

The *C2CN* project, on the contrary, envisaged from the outset to establish a new topical network of European regions which will operate beyond the project's lifetime in order to take a leading role for solving Europe's massive waste problem through effectively applying the Cradle to Cradle philosophy. Due to its early implementation stage, however, it remains to be seen whether this expectation will become reality.

Annexes relating to Chapter 5

Annex 5.1: Future inter-regional co-operation after 2013 – key messages emerging from the contributions to the “Green Paper” debate

Most important key messages on inter-regional co-operation (all debate contributions):

- There is a need for an exchange of experience and of good practice between non-adjacent regions sharing the same Structural Funds policy objectives.
- There is a strong need to reinforce communication & dissemination about success stories and existing good practice.
- Inter-regional co-operation should encourage less affluent territories to construct projects through access to networks for innovation.
- Inter-regional co-operation should promote benchmarking between regions.
- Inter-regional co-operation should be better adapted to the needs of local and regional authorities.
- There is a need to enlarge themes and to include issues related to territorial, social and political innovation.

Suggestions for a future interregional co-operation programme (debate contribution of the INTERREG IVC Secretariat):

- Future projects should be allowed to address not only the thematic areas of Innovation and Environment (as is the current situation), but also the regional policy management process as under the previous programming periods (i.e. INTERREG IIIC);
- The concept of transferring co-operation results to regional operational programmes could be pushed further. This could take the form of a dedicated chapter in regional operational programmes defining their strategy for interregional co-operation. In such a scenario, the future interregional co-operation programme would be the natural platform to facilitate this transfer.¹
- Inter-regional co-operation already fulfils an important role for “capacity up-building” in the regions which is of EU-wide relevance. Only in the INTERREG IIIC West Zone programme (2000-2006), for example, a total of 8,193 staff members from local/regional authorities increased their capacity thanks to their involvement in interregional activities (to be extrapolated for all 4 INTERREG IIIC Zones).

¹ This hypothesis is based on the assumption that both Objective 1 and Objective 2 will still exist in the next programming period (the idea of sharing and transferring experience to only one part of Europe is limited, at best).

**Annex 5.2:
Europe 2020 Strategy – an overview**

HEADLINE TARGETS

- Raise the employment rate of the population aged 20-64 from the current 69% to at least 75%.
- Achieve the target of investing 3% of GDP in R&D in particular by improving the conditions for R&D investment by the private sector, and develop a new indicator to track innovation.
- Reduce greenhouse gas emissions by at least 20% compared to 1990 levels or by 30% if the conditions are right, increase the share of renewable energy in our final energy consumption to 20%, and achieve a 20% increase in energy efficiency.
- Reduce the share of early school leavers to 10% from the current 15% and increase the share of the population aged 30-34 having completed tertiary education from 31% to at least 40%.
- Reduce the number of Europeans living below national poverty lines by 25%, lifting 20 million people out of poverty.

SMART GROWTH	SUSTAINABLE GROWTH	INCLUSIVE GROWTH
<p>INNOVATION EU flagship initiative "Innovation Union" to improve framework conditions and access to finance for research and innovation so as to strengthen the innovation chain and boost levels of investment throughout the Union.</p>	<p>CLIMATE, ENERGY AND MOBILITY EU flagship initiative "Resource efficient Europe" to help decouple economic growth from the use of resources, by decarbonising our economy, increasing the use of renewable sources, modernising our transport sector and promoting energy efficiency.</p>	<p>EMPLOYMENT AND SKILLS EU flagship initiative "An agenda for new skills and jobs" to modernise labour markets by facilitating labour mobility and the development of skills throughout the lifecycle with a view to increase labour participation and better match labour supply and demand.</p>
<p>EDUCATION EU flagship initiative "Youth on the move" to enhance the performance of education systems and to reinforce the international attractiveness of Europe's higher education.</p>	<p>COMPETITIVENESS EU flagship initiative "An industrial policy for the globalisation era" to improve the business environment, especially for SMEs, and to support the development of a strong and sustainable industrial base able to compete globally.</p>	<p>FIGHTING POVERTY EU flagship initiative "European platform against poverty" to ensure social and territorial cohesion such that the benefits of growth and jobs are widely shared and people experiencing poverty and social exclusion are enabled to live in dignity and take an active part in society.</p>
<p>DIGITAL SOCIETY EU flagship initiative "A digital agenda for Europe" to speed up the roll-out of high-speed internet and reap the benefits of a digital single market for households and firms.</p>		

**Annex 5.3:
Weaknesses of the current programme rules / procedures: & suggested changes
for the future**

Observed weaknesses (currently)	Suggested changes (future)
Programme-level: General set up & implementation	
<p>The current complexity of the programme reflects the complexity of the regulations. There is too little content-orientated staff capacity & and too much administrative capacity (legal, financial) at the programme level. Inefficient communication and excessive interpretation of the programme rules extend control to a maximum This creates administrative burdens for project-actors, endangers project contents and outcomes and is often lowering the motivation of well-performing projects.</p> <p>The current structure (one single "zone", one JTS, four IPs, a too big MC etc) does not work. The distinction between regional initiative projects and capitalisation projects is not yet fully accepted or understood by the programme target group.</p> <p>The currently low programme budget and the limitation to "only" exchange of experience does not help to implement or improve EU-Cohesion Policy.</p>	<p>Simplification of a future programme can only come from EU legal framework, but transparency needs also to be ensured. Make sure that rules are once set and kept (including necessary control) and do not extend control (interpretation of the rules) to the maximum.</p> <p>The implementation of the programme should be simplified and made considerably more flexible. Only one type of intervention/project (no mini-programmes), a unique co-financing rate for all and a centralised JTS (no IPs).</p> <p>All projects should deliver an action plan for implementation and show credible evidence for actual implementation (mainstreamed or applied by other INTERREG programmes & national policies).</p>
Programme-level: The project application, appraisal / selection & approval process	
<p>The current application form is too long, detailed and complex also making it difficult for projects to change their project if needed. The current programme manual is clear, but full of technical rules and prescriptions.</p> <p>Currently, a few but extremely centralised & "overcrowded" application rounds which led to time-consuming but necessary assessments of often low-quality applications and subsequently also to a high refusal rate.</p> <p>The selection procedure is too long and the strict</p>	<p>A simpler and less detailed application form is needed, which puts the project contents at the heart of the document (obvious questions, i.e. about relations with UE strategies or policies could be deleted or non-mandatory if self-explanatory in the context of a proposal). Also a more teaching-oriented approach could be applied by a future programme manual (e.g. graphics or patterns are sometimes clearer than sentences).</p> <p>Applications should be submitted only online with an automatic eligibility check, which may reduce the rate of not eligible applications. It can also be envisaged to have a pre-selection phase before a call or even a two step-procedure. Applicants send in a shorter project idea, which is discussed between JTS/IPs and NCPs. Some ideas are then selected and asked to develop an application for the formal Call for proposals. This saves the applicants a lot of trouble and in the end also JTS and the Member States.</p> <p>More flexible eligibility criteria & simplification of</p>

<p>technical assessment criteria for applications are the main bottlenecks for projects (applications with small technical errors are rejected).</p> <p>Inflexibility of the programme's approval procedure. Lack of substantive discussions in the MC on project approval.</p>	<p>rules on capitalisation. A default eligibility check realised by the NCPs & a "healing period" for some formal eligibility faults should be foreseen. Projects should be assessed and selected on the principle that both "strong" and "weak" regions are equally involved in order to facilitate the transfer of knowledge in practice.</p> <p>The possibility of substantive discussion within the Monitoring Committee in approving the projects should be restored.</p>
<p>Project-level: General set up & implementation</p>	
<p>"Ghost partners" are often included in projects for justifying - by their presence - the representation of the 4 cardinal zones.</p> <p>No or insufficient private-sector involvement in projects.</p> <p>The whole concept of regional initiative and capitalisation projects as two different types is not helping to increase the understanding and quality of projects in general.</p>	<p>No more geographical partnership requirements.</p> <p>More types of organisations should be allowed to take part in the future. The possibilities of the private sector participation in projects should be supported more than before.</p> <p>More explanation of capitalisation projects.</p>
<p>Project-level: Administrative management & reporting</p>	
<p>The administrative rules are too complex.</p> <p>Complicated, over-detailed and too time-consuming reporting process. Projects spend much time on reporting and less on substantive activities.</p> <p>The progress of project is currently measured /reported by matching its outcomes with the initial application form elements. It is, however, more than unlikely that a project will follow in every single detail of the path outlined in the application form (drawn up sometimes 4 years earlier than its implementation) and spend the money as planned, as life is not that predictable.</p>	<p>A simpler management & reporting approach such as in 7th EU Framework Programme may help.</p> <p>Annual reporting would be sufficient, with a very short interim progress report half-yearly. The reports should focus on the core content of the project (i.e. what have you achieved in this semester?)</p> <p>More flexibility on changes is expected for the next programme and making changes to the project implementation plan should be easier and be allowed more frequently when a real need occurs (e.g. after a mid-term evaluation).</p>

Project level: Financial management, reporting & payment of the subsidy	
<p>Financial administration rules are too complex and financial reporting is too heavy, especially in countries with centralised first level control (FLC). It is frustrating to ask for new papers with signatures and stamps just because one single cent is missing in the calculation!</p> <p>The number of controls performed is excessive in today's programmes (FLC, MA/JTS, CA, 2nd level, annual system checks, national audits, EU audits), focussing too much on assessing the eligibility of individual expense documents and looking for errors (results cannot be measured solely through financial control). Especially the introduction of decentralised FLCs has been a major, unnecessary, bureaucratic aspect which skewed the time spent on content-related work.</p> <p>The cost eligibility and verification rules currently differ both by Member States and ETC programmes, which has caused a lot of confusion and problems for partners.</p> <p>Due to the multitude of first-level control rules and procedures that differ from Member State to Member State, a long period between the expenses being incurred and the payments being made is observed (up to 1 year).</p>	<p>In the future, there should be more flexibility in the financial administration & reporting rules. Also more flexibility in shifting parts of the project budget should be created for reacting to unforeseeable situations or new insights/interim outcomes if this is required.</p> <p>Control activities need to be optimised. Supervision and audit should first of all be focussed on evaluating the efficiency of the projects. Supervision and audit processes should be defined more clearly in a future regulation. The financial rules as used by 7th EU Framework Programme could be of inspiration.</p> <p>Common rules should be established for the eligibility and verification of costs in regulations. ETC programmes should facilitate the use of flat rate, lump-sum and global price support, whereas the calculation methodology/principles should be established at the EU level.</p> <p>Advance payments could be foreseen to help partners with the cash flows and uniform eligibility rules at the EU level should be used to alleviate this problem.</p>

Annex 5.4:
Examples for the suggested focus of a future inter-regional co-operation programme

- Innovation, Entrepreneurship, Sustainable Energy, Sustainable economy.
- Innovation, entrepreneurship and sustainable growth.
- Innovation & environment.
- Environment, social inclusion and use of renewable energy sources.
- Economic and sustainable development.
- Strict focus on research & innovation and energy.
- Employment and social policy, environment, tourism and culture, innovation and mobility of persons and goods.
- Innovation, sustainable development and territorial cohesion, while drawing on the findings from ESPON research.
- Demographic change, climate change, economic & social cohesion.
- Territorial development & environmental issues related to climate change.
- Innovation and smart specialisation of regions.
- Social inclusion, environment, innovation.
- Smart, Green and Inclusive Growth.
- Competitiveness, environmental & sustainability-related issues.
- Knowledge economy & green economy.
- Primarily innovation, environment and convergence.
- Environment & civil protection.
- More themes related to environment and energy.
- Green technology & new energy sources.
- Innovation in small firms, knowledge transfer and knowledge mobility, building ecosystems for entrepreneurship.

**Annex 5.5:
Providing stronger & tangible evidence on the added value of inter-regional co-operation – stakeholder views**

<p>(1) A more intensive dissemination and capitalisation of inter-regional co-operation outcomes, both at the programme and at the project level:</p>	<p>The large majority of respondents under each of the three stakeholder groups advocates in favour of further intensifying the communication, dissemination and capitalisation of the outcomes and the added value of inter-regional co-operation activities.</p> <p>A first set of suggested activities at a more strategic level are the creation of a sophisticated project database and the organisation of more show-casing and inter-regional events (e.g. in form of the started programme-level capitalisation process, the existing "Regions for Economic Change Conferences" or cross-programme fertilization events).</p> <p>An increasingly important role should also be allocated to the project-level capitalisation process, for which some respondents are even in favour of firmly rebalancing the quota between capitalisation projects against regional initiative projects.</p> <p>Finally, also the inter-regional projects themselves should carry out stronger and more effective communication and dissemination activities to raise the awareness and knowledge about their positive outcomes towards local, regional and national authorities.</p>
<p>(2) A closer co-operation with and involvement of managing authorities implementing mainstream programmes:</p>	<p>Many respondents especially from the strategic level (MC-members & NCPs) advocate in favour that a future inter-regional programme and in particular the new inter-regional projects establish from the very beginning a more intensive co-operation with other regional Structural Funds programmes or territorial co-operation programmes.</p> <p>A real involvement of bodies and authorities responsible for mainstream programmes / other territorial co-operation programmes can be achieved by inviting members of the inter-regional monitoring committee as observers to other MC-meetings and by ensuring that MAs or intermediate bodies in charge of mainstream programmes are effectively present at a future inter-regional operation related to it. This can help to increase the awareness of the respective demands on each side and the European Commission should provide a strong stimulus for such activities.</p>
<p>(3) A more appropriate structuring / set-up of projects and a more intense & durable co-operation process:</p>	<p>Many respondents, especially from the project level, advocate in favour of further improving the delivery mechanisms and the quality of co-operation as a means for providing stronger and tangible evidence on the added value generated by a future inter-regional programme.</p> <p>A more active involvement of politicians and of the adequate public, private or societal regional/local stakeholders is required as the quality of project results and their wider impact is closely linked to "who is around the table" (i.e. requiring a better assessment of the profile of participants in future applications).</p> <p>There should also be a stronger commitment to continue inter-regional co-operation with actors / partners of a consortium beyond the project-lifetime, as many development processes are of a dynamic nature and manifest their impacts only a while after the end of a project.</p>

	<p>This seems to be particularly relevant in the case of capitalisation projects, as several statements clearly highlight that the current projects normally end with the adoption of regional action plans (covering the aspect mainstreaming) or in the best cases with a mainstreaming process being at a very initial stage. This is also considered to be one of the main limitations for providing proof on the outcome, impact and added value during the relatively short lifetime of an INTERREG IVC capitalisation project. Durability is thus a fundamental requirement for ensuring that future capitalisation projects are able to realise a sound follow-up of the implementation of regional action plans and a successful monitoring of the subsequent mainstreaming process.</p> <p>Finally, a number of respondents also argue in favour of introducing more implementation-oriented actions into future projects to achieve tangible outcomes for which the success can subsequently be measured or analysed. Regional Initiative Projects should have the possibility to try out / test jointly developed methods and policy tools or to implement new policy practices which are likely to bring solutions to regional or local level problems. Capitalisation projects should go beyond the traditional exchange of experience at policy level and prepare / follow-up also the regional-level implementation of action plans over 2 years.</p>
<p>(4) A more appropriate and intensive monitoring and evaluation of the outcomes of inter-regional co-operation activities:</p>	<p>Although being widely recognised that it is extremely difficult to measure the results, impacts and added value of INTERREG IVC projects, several respondents are in favour of developing a set of new indicators capable of assessing the real impact of future projects.</p> <p>More important, however, is for most respondents that the qualitative achievements which are not yet made visible by the progress reports are better captured in the future (e.g. individual & organisational learning effects; newly developed competencies of individual partners & use of those in their daily work; unexpected spin-off generated by the projects). An important role is also allocated to evaluations at the programme and the project level as well as to additional research activities focussing on specific sub-themes and/or project clusters.</p> <p>All the above-mentioned activities should in particular provide a better monitoring and follow-up of the implementation of identified good practise by regional policies and the effective application of elaborated action plans by policymakers or the way how capitalisation projects (especially fast-tracked projects) are being mainstreamed and influencing interventions under other Structural Funds programmes.</p>

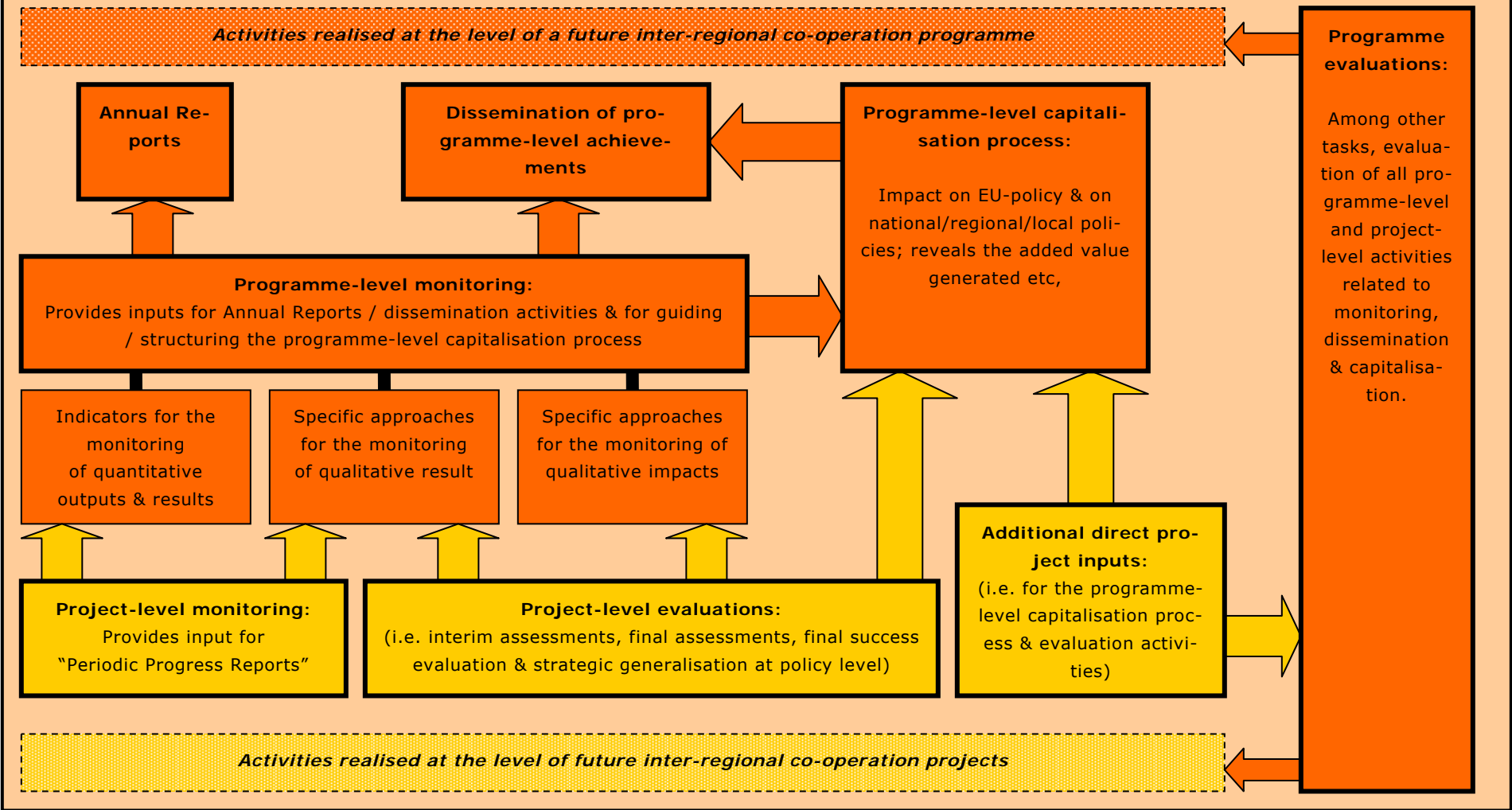
Annex 5.6: Potential co-operation themes & sub-themes to be addressed by a future inter-regional co-operation programme			
Europe 2020 Strategy		Future inter-regional co-operation programme	
Priorities	Flagship initiatives	Title of the main co-operation theme	Indicative sub-themes which might be appropriate for a regional/local level implementation (derived from "Europe 2020", to be indicated as examples for future operations)
Smart growth	"Innovation Union"	Promoting R&D/innovation at a regional & local level	<p>Improved regional & local framework conditions for business to innovate (i.e. better access of SMEs to capital; smart public procurement & regulation approaches, innovative incentive mechanisms).</p> <p>Establishment of "regional/local innovation partnerships" for modernising R&D and innovation systems to foster excellence and smart specialisation and for speeding up the development & deployment of the technologies needed to meet strategic challenges (e.g. energy security, transport, climate change & resource efficiency, health & ageing, environmentally-friendly production methods and land management).</p> <p>Establishment of "regional/local knowledge partnerships" which strengthen the links between education, business, research and innovation in areas with EU value added and which promote entrepreneurship.</p>
	"Youth on the move"	Improving the employment situation of young people at a regional & local level	<p>Integrated regional / local initiatives for promoting entrepreneurship among young professionals.</p> <p>Regional / local framework policies for youth employment to increase job opportunities for young people and to reduce youth unemployment rates.</p> <p>Integrated regional / local initiatives for improving educational outcomes in all segments (i.e. pre-school, primary, secondary, vocational & tertiary) to reduce early school leaving.</p>
	"A digital agenda for Europe"	Making a fair regional & local access to the Information Society a reality throughout the EU	<p>Integrated strategies to further improve regional/local research & innovation potentials in the field of ICTs so as to reinforce Europe's technology strength in key strategic fields and create the conditions for high growth SMEs to lead emerging markets and to stimulate ICT innovation across all business sectors.</p> <p>Integrated regional/local high-speed internet deployment strategies for areas not fully served by private investments (e.g. targeted public funding, co-ordinated public works to reduce costs of network rollout; provision & promotion the use of modern accessible online services in field such as e-government, online health, smart home, digital skills, security).</p>
Sustainable growth	"Resource efficient Europe"	Making regions & cities more resource efficient	<p>Elaboration & adoption of concrete regional/local "energy efficiency action plans" with a consistent funding strategy pulling together EU, national & regional/local public or private funding to promote resource efficiency in various fields (e.g. energy efficiency investments for public buildings & public housing; activities for a more efficient recycling; reduced energy consumption of SMEs & households etc).</p> <p>Establishment of a regional/local vision on structural and technological changes required to move to a low carbon, resource efficient and climate resilient economy.</p> <p>Deployment of market-based regional/local instruments for adapting production and consumption methods (e.g.</p>

			<p>green public procurement, local/regional taxation & aid frameworks).</p> <p>Development of smart, upgraded and fully interconnected regional/local transport and energy infrastructures making full use of ICT (in urban & less densely populated areas).</p>
	"An industrial policy for the globalisation era"	Integrating regions & cities in the global economy	<p>Regional/local measures for promoting the restructuring of sectors in difficulty towards future oriented activities, including through quick redeployment of skills to emerging high growth sectors and markets.</p> <p>Regional/local measures for promoting technologies and production methods that reduce natural resource use and increase investment in existing natural assets.</p> <p>Regional/local measures for promoting the internationalisation of SMEs.</p> <p>Establishment of regional/local co-operations among stakeholder co-operations from different sectors (e.g. public administrations, businesses, trade unions, academics, NGOs, consumer organisations) to identify bottlenecks and develop a shared analysis on how to maintain a strong industrial and knowledge base.</p>
Inclusive growth	"An agenda for new skills and jobs"	Promoting new skills & jobs at a regional & local level	<p>Regional/local initiatives which strengthen the capacity of social partners and for making full use of the problem-solving potential of social dialogue at all levels (EU, national/regional, sectoral, company) or which promote strengthened cooperation between labour market institutions including the public employment services.</p> <p>Regional/local initiatives for implementing the "flexicurity agenda" (as agreed by the European Council) to reduce labour market segmentation and facilitate transitions as well as facilitating the reconciliation of work and family life;</p> <p>Regional/local initiatives for promoting new forms of work-life balance and active ageing policies and to increase gender equality.</p> <p>Regional/local initiatives ensuring that the competences required to engage in further learning and the labour market are acquired and recognised throughout general, vocational, higher and adult education, including non-formal and informal learning;</p> <p>Regional/local initiatives which develop partnerships between the worlds of education/training and work, in particular by involving social partners in the planning of education and training provision.</p>
	"European platform against poverty"	Combating poverty & social exclusion at a regional & local level	<p>Design and implementation of regional/local programmes to promote social innovation for the most vulnerable, in particular by providing innovative education, training, and employment opportunities for deprived communities, to fight discrimination (e.g. disabled), and to develop a new agenda for migrants' integration to enable them to take full advantage of their potential.</p> <p>Establishment of regional/local co-operation platforms which act as an instrument to foster commitment by public and private players to reduce social exclusion and to take concrete action.</p> <p>Regional/local strategies which combat poverty and social exclusion or which define and implement measures addressing the specific circumstances of groups at particular risk (e.g. one-parent families, elderly women, minorities, Roma, people with a disability, the homeless etc.).</p>

Annex 5.7: Operational components & principles for the main types of intervention under a future programme							
Operational components for future "Capitalisation Projects" (*)	Operational components for future "Regional Initiative Projects" (*)	Operational principles for Capitalisation & Regional Initiative Projects					
		Intensity	Launching	Approval	Partners	Time	Finance
1a. Exchange of experience: <ul style="list-style-type: none"> In-depth analysis of pre-identified good practices through study visits, benchmarking, Peer Reviews etc. Feasibility checks on good practice transfers into mainstream SF- & other ETC programmes. 	1a. Exchange of experience: <ul style="list-style-type: none"> Review of regional/local conditions & applied regional/local policies. Identification of regional / local good practices & in depth analysis (Benchmarking, Peer Reviews, study visits etc) 	Projects with a medium co-operation intensity involving components 1a-1c (mainly for "co-operation newcomers")	Throughout the entire lifetime of the programme	One step: According to a set of pre-defined eligibility & content-related selection criteria.	Minimum of 5 partners (from at least 5 different countries) & a maximum of 15 partners.	Maximum 3 years Option: After success proved by final assessment (Comp. 1c), possible follow-up project of maximum 2.5 years (on components 2a & 2b)	Total cost: < € 2.5 million ERDF-support: 75% (85% of ERDF support for follow-up projects on components 2a & 2b)
1b. Transfer approach & dissemination of good practices: <ul style="list-style-type: none"> Regional action plans. Joint measures supporting a good practice transfer. Dissemination of good practices, transfer approaches & outcomes. 	1b. Joint policy development: <ul style="list-style-type: none"> Design of transfer strategies, new policy approaches, tools, interventions or instruments and of regional/local action plans. Dissemination of good practices, joint & outcomes. 						
1c. Final (or interim) assessment: <ul style="list-style-type: none"> Project-internal or external. 	1c. Final (or interim) assessment: <ul style="list-style-type: none"> Project-internal or external. 						
2a. Implementation of action plans & support to mainstreaming: <ul style="list-style-type: none"> Application of good practices by mainstream SF- & other ETC programmes. Joint support to application (staff exchanges) & monitoring (study visits, analyses etc). 	2a. Implementation of joint outcomes, action plans & good practices: <ul style="list-style-type: none"> Interregional pilot initiatives applying or testing jointly developed outcomes (i.e. mini-programmes). Regional / local pilot initiatives applying good practices, action plans & new policy tools individually. 	Projects with a high co-operation intensity involving components 1a-1c & 2a, 2b (mainly for experienced partnerships)	At the early years of the programme lifetime	Two steps: (1) Pre-application & feasibility check phase (0.5 months). (2) Full approval of revised pre-application	Minimum of 5 partners (from at least 3 different countries) & a maximum of 9 partners.	Maximum 5.5 years Option: If interim assessment (Comp. 1c) reveals major problems or failure, revision or end of the project	Total cost: > € 2.5 million & < € 6 million ERDF-support: 85%
2b. Final success evaluation & strategic generalisation at an EU-policy level (incl. policy recommendations): <ul style="list-style-type: none"> Only external evaluation. 	2b. Final success evaluation & strategic generalisation at a regional/local policy level (incl. policy recommendations): <ul style="list-style-type: none"> Only external evaluation. 						

(*) Project management, communication & dissemination activities and a participation in programme-level capitalisation are additional operational components to be considered.

Annex 5.8:
Providing stronger evidence on the achievements & added value of future inter-regional co-operation



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