

Checklist for drafting the Baltic Sea Region Programme 2014-2020 (state 4 April 2012)

The following table shows an indicative list of questions for the programming of the future Baltic Sea Region Programme. It also lists sources of information for answering certain questions. The table should serve as a checklist or reminder during the programming phase whether all important points have been addressed. The table is based on the definition of programme content as defined in Article 7 (2+3) of the draft ETC regulation¹.

General content	Specific content	Indicative questions	Related information sources
(a) a strategy for the cooperation programme's contribution to the Union strategy of smart, sustainable and inclusive growth including:	(i) an identification of the needs addressing the challenges as regards the programme area as a whole;	<ul style="list-style-type: none"> • What are the needs of the region that can be addressed by a transnational cooperation programme? • What is the level of transnational cooperation in the specific fields (e.g. existing transnational organisations, previous projects in the field)? • What are the needs identified in the EU Strategy process? • What are the needs identified in other strategic documents (e.g. VASAB, HELCOM, Northern Dimension)? • What is the relation between the EU Strategy and other strategic documents? • What are the needs based on the experiences from the current programme? • What are the needs identified by the clusters of the current programme? • What are the needs that should be tackled in cooperation with Russia and Belarus? • What is the conclusion of all the needs above? 	<ul style="list-style-type: none"> • Ex-ante evaluation, strategic analyses of the reference documents April 2012 – Nov 2012; • Strategic evaluation of the current programme finalised in 2011, recommendations of the evaluation task force; • Internal brainstorming/ evaluations in the JTS in 2011 • Clusters running Sep 2012 – Sep 2013 (energy cluster finalises in Sep 2012) • Questionnaire survey with the Reference Group April-May 2012
	(ii) a justification of the choice of thematic objectives and	<ul style="list-style-type: none"> • Is there a joint understanding of the thematic objectives listed in the ERDF regulation? 	<ul style="list-style-type: none"> • ERDF Regulation • Common Strategic Framework • Ex-ante evaluation April 2012 –

¹ Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on specific provisions for the support from the European Regional Development Fund to the European territorial cooperation goal (6 October 2011)

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	corresponding investment priorities, having regard to the Common Strategic Framework and the results of the <i>ex ante</i> evaluation;	<ul style="list-style-type: none"> • To be clarified what is the relation of the support to EUSBSR to the thematic objectives (Is the support included in the thematic objectives?) • Which of the four (three, if the support to EUSBSR need to be counted as one) thematic objectives do correspond at the best with the needs? • How do the needs of the region fit to the Common Strategic Framework? • What is done/will be done already with other EU and national financing? • Which needs should be tackled by a transnational cooperation programme? • What can be done with the available resources? 	Nov 2013
(b) for each priority axis:	(i) the investment priorities and corresponding specific objectives;	<ul style="list-style-type: none"> • Which of the investment priorities under the thematic objectives do correspond with the needs and are relevant for transnational cooperation? • Which investment priorities are in line with the EUSBSR? Which investment priorities beyond the focus of the EUSBSR are relevant for the programme? • Should the investment priorities be further focused to BSR specific priorities (e.g. sectors of economy, specific environmental or transport issues)? • Should the investment priorities be further focused in order to reduce East-West disparities? • Should the investment priorities be further focused taking into account the specific needs of the northern parts of the region? • Should there be a specific priority for the 	<ul style="list-style-type: none"> • Agreement in JPC on priorities based needs analysis and definition of objectives (see above) • Consultation process with the Reference Group

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		<p>external cooperation (RU+BY)?</p> <ul style="list-style-type: none"> • What can be achieved within the Programme in each of these investment priorities (specific objectives)? 	
	<p>(ii) the common and specific output and result indicators, with where appropriate a baseline value and quantified target value, in line with the Fund-specific rules;</p>	<ul style="list-style-type: none"> • What are the common indicators the ETC programmes have to use? • What kinds of programme-specific output and result indicators are useful and realistic to monitor? 	<ul style="list-style-type: none"> • List of common indicators from the annex to the ETC regulation • Guidance from Commission / INTERACT on developing programme-specific output and result indicators
	<p>(iii) a description of actions to be supported including the identification of the main target groups, specific territories targeted and types of beneficiaries where appropriate and the planned use of financial instruments;</p>	<ul style="list-style-type: none"> • What kind of projects should the programme finance (policy development, development of strategies, policy implementation, implementation of strategies, investments, exchange of experience)? Should different type of projects be supported in different investment priorities (e.g. depending on the already existing level of cooperation)? • What kind of transnational investments should be financed by the programme? • Are projects of different size expected? • How should the clustering of projects be implemented? • Should there be specific “strategic projects”? • Should the preparation of projects be supported by the programme (e.g. seed money)? • Should there be a specific type of actions (projects) supporting the EU Strategy implementation? • What are the main target groups of the 	<ul style="list-style-type: none"> • Strategic evaluation of the current programme: recommendation paper agreed by task force in Nov. 2011. • Internal brainstorming/ evaluations in the JTS in 2011 • The discussion in parallel to the discussion of investment priorities Nov 2012 – Nov 2013

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		<p>different types of projects?</p> <ul style="list-style-type: none"> • Who are the main beneficiaries of the different type of projects? • Should there be minimum requirements to project partnerships regarding the geographical coverage and/or multi-level governance? • Should the private sector be involved? If yes, how? • Are there any specific types of actions focusing on RU+BY? • How to allocate the funds to the different investment priorities? • Are financing instruments a form of support relevant for the programme? 	
	<p>(iv) the corresponding categories of intervention based on a nomenclature adopted by the Commission by means of implementing acts in accordance with the examination procedure referred to in Article 30(3) and an indicative breakdown of the programmed resources;</p>	<ul style="list-style-type: none"> • Based on the specification of priorities the corresponding categories of intervention will be defined. 	<ul style="list-style-type: none"> • Formal step towards the end of the programming (end 2013)
<p>(c) the contribution to the integrated strategy for territorial development set out in the partnership</p>	<p>(i) the mechanisms that ensure coordination between the Funds, the EAFRD, the EMFF and other Union and national funding instruments and with the European</p>	<ul style="list-style-type: none"> • What should be the aim of such coordination? • How is the coordination done on national level? How can it be used for the programme purposes? • What should be coordinated with the EIB? 	

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contract including;	Investment Bank (EIB); (ii) where appropriate, a planned integrated approach to the territorial development of urban, rural, coastal areas and areas with particular territorial features, in particular the implementation arrangements for Articles 28 and 29 of Regulation (EU) No./2012 [CPR];	<ul style="list-style-type: none"> • Should there be a specific approach in the Programme to the integrated territorial development (e.g. regarding the urban-rural relations)? • Should there be a specific approach in the programme to the northernmost areas of the region? 	
	(iii) where appropriate, the list of cities where integrated actions for sustainable urban development will be implemented; the indicative annual allocation of the ERDF support for these actions, including the resources delegated to cities for management under Article 7(2) of Regulation (EU) No./2012 [ERDF];	<i>Most likely not relevant for the future Baltic Sea Region Programme</i>	
	(iv) the identification of the areas in which community-led local development will be implemented;	<i>Most likely not relevant for the future Baltic Sea Region Programme</i>	
	(v) where appropriate, the contribution of the planned	Questions are included under the point b)	

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	interventions towards macro regional strategies and sea basin strategies;		
(d) arrangements to ensure the effective implementation of the funds including:	(i) a performance framework in accordance with Article 19(1) of Regulation (EU) No./2012 [CPR];	<ul style="list-style-type: none"> • What kind of indicators and measurement units can be defined for each priority? • Which milestones for 2016 and 2018 and target values for 2018 shall be set? 	<ul style="list-style-type: none"> • Based on definition of priorities and output and result indicators (see point b (ii)) • Guidance from Commission and INTERACT on definition of performance framework
	(ii) the actions taken to involve the partners in the preparation of the cooperation programme, and the role of the partners in the implementation, monitoring and evaluation of the cooperation programme;	<ul style="list-style-type: none"> • How is the term of 'partners' defined for transnational cooperation programmes? • What type of partners shall be involved in the preparation and implementation of the programme? How can they be involved? 	<ul style="list-style-type: none"> • Agreement on composition of JPC and Reference Groups at 1st JPC meeting • Agreement on composition of Monitoring Committee and national sub-committees during 2013/2014
(e) arrangements to ensure the efficient implementation of the funds including:	(i) the planned use of technical assistance including actions to reinforce the administrative capacity of authorities and beneficiaries with the relevant information referred to in paragraph 2(b) for the priority axis concerned;	<ul style="list-style-type: none"> • What kind of support measures for applicants and approved projects shall be organised by the programme? 	<ul style="list-style-type: none"> • Assessment of support measures in the current programme. • Additional guidance from Commission / INTERACT • Review of practices in other programmes, if possible supported by INTERACT.
	(ii) an assessment of the administrative burden for beneficiaries and the actions planned to achieve a reduction accompanied	<ul style="list-style-type: none"> • How can we assess the administrative burden for beneficiaries? • What kind of actions can be taken to reduce the administrative burden? • Which targets can be set to quantify the 	<ul style="list-style-type: none"> • Assessment of administrative burden based on experience from current programme. • Additional guidance from Commission / INTERACT

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	<p>by targets;</p> <p>(iii) a list of major projects for which the estimated start date for the execution of the main works is before 1 January 2018;</p>	<p>reduction?</p> <p><i>Not relevant for the programme as there will be no major projects (> EUR 50 000 000)</i></p>	<ul style="list-style-type: none"> Review of practices in other programmes, if possible supported by INTERACT.
(f) a financing plan containing two tables (without any division per participating Member State):	(i) a table specifying for each year, in accordance with Articles 53, 110 and 111 of Regulation (EU) No./2012 [CPR], the amount of the total financial appropriation envisaged for the support from the ERDF;	<ul style="list-style-type: none"> What are the planned (financial) commitments from the Member States, Norway, Russia, Belarus and other funding sources to the programme? 	<ul style="list-style-type: none"> The financial table will be based on the financial commitments from the Member States (ERDF only). <i>Figures come directly from COM or via MC member.</i> In addition the financial commitments from Norway, Russia/Belarus and other funding sources (e.g. ENI) are needed to calculate the overall

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	<p>(ii) a table specifying, for the whole programming period, for the cooperation programme and for each priority axis, the amount of the total financial appropriation of the support from the ERDF and the national co-financing. Where the national co-financing is made up of public and private co-financing, the table shall give the indicative breakdown between the public and the private components. It shall show, for information purposes, the envisaged participation from the EIB;</p>	<ul style="list-style-type: none"> • What shall be the envisaged ratio between public and private funding (by priority) in the new programme? • Will there be new types of eligible (private) partners in the new programme period? • Will there be different co-financing rates for different types of projects, by country or else? • Is the participation of the EIB or other financial institutes envisaged and what would be the purpose and envisaged contribution? • What will be the pro-rata allocation of available funds by priority? Will there be differences in the pro-rata allocation by priority between different funding sources? • Will there be specific (pure) investment priorities (with special funding rates and/or conditions)? • Is the programme interested to set up a Financial Engineering Instrument (FEI), and if yes, how much funding shall be allocated to it? 	<p>programme budget.</p> <ul style="list-style-type: none"> • Agreement in the JPC on budget break down in the financial tables • Advice from Commission / INTERACT
(g) the implementing provisions for the cooperation programme containing:	<p>(i) identification of the accreditation body, the managing authority and the audit authority;</p> <p>(ii) the body or bodies designated to carry out control tasks;</p>	<ul style="list-style-type: none"> • Shall the successful current programme set-up in place incl. it's authorities (managing authority-MA and audit authority-AA) be maintained in the next programme period? • In the light of the discussion about tolerable error rates and affordable (efficient and effective) control procedures: 	<ul style="list-style-type: none"> • Regarding the MA: the decision of the JPC. • Regarding the AA: the MC members of the country where the MA is located • Regarding the accreditation body: the MC members of the country where the MA is located • Assessment of current first level control system (by country); assessment of shortcoming by

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		shall the current national FLC systems be maintained (decentralised vs. centralised national FLC systems)?	<p>legal status of beneficiaries, by budget line etc.)</p> <ul style="list-style-type: none"> • Annual control reports and review by COM.
	(iii) the body or bodies designated to be responsible for carrying out audit tasks;	<ul style="list-style-type: none"> • Shall the current set-up (AA + Group of auditors-GoA) be maintained in the next programme period? 	<ul style="list-style-type: none"> • Assessment of the current second level control system • Annual control reports and review by COM.
	(iv) the procedure for setting up the joint secretariat;	<ul style="list-style-type: none"> • Shall the current set-up of MA and JTS be continued in the next programme period? 	<ul style="list-style-type: none"> • Assessment of the performance of the MA/JTS.
	(v) a summary description of the management and control arrangements;	<ul style="list-style-type: none"> • Is there a need to substantially modify the current management and control system? 	<ul style="list-style-type: none"> • Assessment of the usefulness and operability of the current management and control system.
	(vi) the apportionment of liabilities among the participating Member States in case of financial corrections imposed by the managing authority or the Commission.	<ul style="list-style-type: none"> • Is there a need to substantially modify the current management and control system? 	<ul style="list-style-type: none"> • Closely linked to the management and control system. • Agreement between Member States and Norway with Investitionsbank.
In addition, each Programme shall include:	(i) a description of specific actions to take into account environmental protection requirements, resource efficiency, climate change mitigation and adaptation, and risk prevention and risk management in the selection of operations;	<ul style="list-style-type: none"> • Which recommendations are made in the Strategic Environmental Assessment? • How can they be implemented efficiently in the programme? 	<ul style="list-style-type: none"> • Recommendations from Strategic Environmental Assessment • Assessment of measures to support environmental protection in the current programme. • Additional guidance from Commission / INTERACT • Review of practices in other programmes, if possible supported by INTERACT.

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	(ii) a description of the specific actions to promote equal opportunities and prevent any discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation during the preparation, design and implementation of the cooperation programme and in particular in relation to access to funding taking account of the needs of the various target groups at risk of such discrimination and in particular the requirements of ensuring accessibility for disabled persons;	<ul style="list-style-type: none"> • Have there been any issues related to equal opportunities and discrimination in the current programme? Is there a need for improvements? If yes, what type of improvements? 	<ul style="list-style-type: none"> • Assessment of measures to support equal opportunities and prevent discrimination in the current programme. • Additional guidance from Commission / INTERACT • Review of practices in other programmes, if possible supported by INTERACT.
	(iii) a description of its contribution to the promotion of equality between men and women and where appropriate the arrangements to ensure the integration of gender perspective at programme and operation level.	<ul style="list-style-type: none"> • Have there been any issues related to promotion of equality between men and women in the current programme? Is there a need for improvements? If yes, what type of improvements? 	<ul style="list-style-type: none"> • Assessment of promotion of equality between men and women in the current programme. • Additional guidance from Commission / INTERACT • Review of practices in other programmes, if possible supported by INTERACT.