



**CALL
for the project proposal**

**Programme:
„Adaptation to Climate Change – Floods and Drought Prevention“**

Provider:	Programme Operator – Governmental Office of the SR
Funding:	EEA Financial Mechanism State Budget of the SR
Measure:	Prosperous Zemplin Region Upper Nitra – Water for its People
Relevant programme outcomes:	0702 –Developed strategies and measures for adaptation to a changing climate 0703 –Increased capacity to assess vulnerability to climate change
Call publication start date:	28.03.2013
Call publication end date:	28.06.2013
Call code:	ACC01

INTRODUCTION

The aim of the Programme is to create strategies for adaptation to climate change and to implement adaptation measures proposed in the strategies. The Programme is not focused on the mitigation of climate change. The Programme assumes that the climate is changing and strives for Projects which will contribute to adapt to these changes in the selected region.

The region of Zemplin, located in the eastern part of Slovakia, crosses the territory of two higher territorial units of Prešov (Upper Zemplin) and Košice (Lower Zemplin). The eligible project area is defined by the catchment areas of the rivers within the Zemplin region.

The Upper part of Nitra River Basin represents the central part while the surrounding mountains form a ring around the Upper Nitra region. It crosses the districts of Bánovce nad Bebravou, Partizánske and Prievidza.

The aim of the programme is to deliver solutions which would increase the retention of water in landscape, ideally in the upper parts of the river basin, and that way help to restore the small water cycle and protect the downstream areas from flooding. Considering the programme outcomes and outputs, projects can also include activities related to the existing water reservoirs. Strategies and measures created and implemented under the approved projects should bring a certain amount of innovation and shall serve as pioneer projects demonstrating how various adaptation measures were implemented and what were the results of their implementation. People with different knowledge, background and social status shall be engaged in the projects. This should result in the increase of awareness and knowledge. Project results have to be sustainable, e.g. through maintenance or knowledge transfer within Slovakia and abroad, in order to maximize the effect of expenditures spent.

Strengthening the bilateral relations between the Donor states and Slovakia is one of the overall objectives of the EEA grants. The programme opens up for an excellent opportunity to co-operate with entities from the Donor states - Norway, Iceland and Liechtenstein. To facilitate the co-operation between Slovak and Donor states entities, the Programme Operator has published a list of potential project partners from Donor states. The list is not exhaustive, and it is up to the applicant whether it will choose one of the institutions from the list, or any other Donor states institution. It shall also be stressed that the partnership with Donor states institution is not obligatory, but is of great advantage for the assessment of the project as well as for the implementation by the improvement of the quality of the Project and to the enrichment of project by the Donor States knowledge and experience.

1 REQUIREMENTS FOR THE PROJECTS

The purpose of the call is to select the projects which meet the specified requirements. These requirements are set by the objective, outcome, outputs and indicators of the project and the parameters of the project.

1.1 Objective of the project

Objective of the project is the outcome of the programme. The project shall have two pre-defined objectives. The objective of the project and its indicators are defined according to the Annex 1 to this call. These data are pre-defined in the Project Application, it is not possible to change them or supplement them.

1.2 Outcomes of the project

Outcome of the project is the output of the programme. The outcome of the project and its indicators are defined according to the Annex 1 to this call. These data are pre-defined in the Project Application, it is not possible to change them or supplement them.

1.3 Outputs of the project

The Applicant is obliged to define at least one and not more than three outputs of the project for each outcome. The Applicant shall select at least one measurable indicator for each output. Some outputs and indicators have already been defined by the Programme Operator, as stated in the Annex 1 to the Call.

1.4 Parameters of the project

The project shall include:

- Elaboration of the Adaptation to Climate Change Strategy (hereinafter referred to as “the Strategy”),
- Networking of relevant stakeholders (hereinafter referred to as “the Networking”),
- Implementation of the Adaptation to Climate Change Measures (hereinafter referred to as “the Measures”).

The Strategy shall include:

1. Analyses of the catchment areas of the rivers defined in this Call with a length of at least 3 kilometres and spreading over cadastres of at least three municipalities.
2. In-depth impact studies of the measures proposed in the Project Application, consulted with relevant stakeholders, such as the Slovak Water Management Company, National Forrest Centre, Slovak Hydro-meteorological Institute, State Nature Conservancy of the Slovak Republic, relevant state agricultural institutions, local state administration bodies, self-governing regions, municipalities, research and development institutions.
3. Plan to incorporate the results of the Strategy to spatial planning and to the Economic and Social Development Plans of the municipalities, cities or self-governing regions.

4. Time-schedule for obtaining permits necessary for the implementation of the Measures.
5. Impact studies of a wide range of water-retention measures and other measures for adaptation to climate change.

The Networking shall include:

1. Organisation of at least two seminars for lay public, with a special focus on elementary and secondary schools in the given region, aiming at dissemination of information about the climate change adaptation.
2. Organisation of at least three workshops for public and professionals from Slovakia and Norway, Iceland and Lichtenstein.
3. Participation in international conferences and networks, aiming at sharing the experience and exchange of knowledge on the adaptation to climate change.

The Measures shall include:

1. At least three different types of water-retention measures.
2. At least two types of other adaptation measures.
3. Measurements of the key results of the implemented measures.

Other parameters of the Project:

1. If a relevant state agency managing the rivers and river basins is the applicant, it shall have at least one state administration - towns or communities - from the eligible area as a partner.
2. If a self-administration – town or community - is the applicant, it shall have at least one relevant state agency managing the rivers and river basins as a partner.
3. Strategy shall consider the local research and development and shall also propose pilot projects and pilot technologies for the planned measures.
4. **The Measures shall not be implemented before the Strategy is elaborated and approved by the Programme Operator. The Strategy will be subject to a detailed screening of the experts contracted by the Programme Operator. The Programme Operator reserves the right to request modifications of the elaborated Strategy, as well as of the planned Measures. In exceptional case, the Cooperation Committee is entitled to decide that one or more measures proposed in the Project Application will not be implemented.**

Priority shall be given to projects that:

1. Analyse and implement measures in the upper parts of the catchments.
2. Analyse and implement a wide range of adaptation measures.
3. Analyse and implement measures in the most risky parts of the catchment area, in terms of floods and the related damages over the past years.
4. Have partners from Norway, Iceland and or Lichtenstein.

The Strategy should follow the structure listed in the Annex 2 to this Call. Examples of the Measures are stated also in the Annex 2. The selected examples are drafted only and the Applicant is allowed to select those which are relevant for the area or define and design other measures.

2 ELIGIBILITY

2.1 Eligible applicants

Eligible applicants are:

1. Self-administrations – towns and communities
2. Relevant state agencies managing the rivers and river basins.

The partnership shall entrust one entity with sufficient capacity for the preparation and implementation of the project. This entity shall act as the applicant and the Project Promoter.

2.2 Eligible partners

Eligible partners are all legal entities listed in part 2.1 and:

1. Public administration bodies.
2. Institutions founded or established by public administration bodies or institutions where the public administration bodies have decision-making powers or equity participation.
3. Non-governmental organisations.
4. Scientific, research and education institutions.

Eligibility requirements do not apply to partners which are not financially engaged in the Project and do not spend the project grant.

Entities from Donor states are eligible partners in the Projects. In case that they are financially engaged in the Project or spend the project grant, they shall meet the conditions stated in part 2.1 or 2.2.

2.3 Eligible applications

Eligible applications are those applications which fulfil the objectives, outcomes, outputs and parameters of the project.

2.4 Eligible area

Eligible project area under the component of **Prosperous Zemplin Region** is the region of Zemplin – the catchment areas of the rivers Bodrog, Laborec, Uh, Topľa, Ondava a Ronava. The eligible area of Zemplín Region is defined in the Annex 3 to this Call.

Eligible project area under the component of **Upper Nitra – Water for its People** is the region of Upper Nitra – the catchment area of the Upper Nitra River Basin 4-21-11. The eligible area of Upper Nitra is defined in the Annex 4 to this Call.

2.5 Eligible expenditures

Eligible expenditures of the project are all eligible expenditures, as defined in the Regulation on the implementation of the EEA FM 2009 – 2014. In general, eligible expenditures are all

expenditures which have direct link to the project except for the excluded expenditures and in-kind expenditures.

For the purpose of this Call, new and second hand equipment shall be considered as tangible assets with purchase price of more than EUR 1 700 and with anticipated useful life of more than one year and intangible assets with purchase price of more than EUR 2 400 and with anticipated useful life of more than one year.

Detailed information is given in the Regulation, Guidelines for the Applicant and in the Guidelines for the Project Promoter and partner.

2.5.1 Period of eligibility of expenditures

Expenditures are eligible from the date set in the grant offer letter until one year after the scheduled project completion date, but not later than **30.04.2016**.

3 GRANT AMOUNT AND GRANT RATE

3.1 Grant amount

Allocation for this Call is EUR 6,900,000. Allocation for the component Zemplin is **3,700,000** eur. Allocation for the component Upper Nitra is **3,200,000** eur.

Maximum grant amount is limited to the allocation of the relevant component. Minimum grant amount is EUR **1,000,000**.

3.2 Grant rate

Maximum grant rate is **85%** from total eligible expenditures of the project. **15%** of the total eligible expenditures shall be financed from the own sources of the Project Promoter, which means also the sources of the partners or other sources e.g. bank loans or deposits of the third parties.

3.3 State Aid

Though it is not supposed that project grants under this Call could constitute state aid, the Programme Operator reserves the right to carry out the standard state aid test before the Project Application is approved. In case the project grant or its part would constitute state aid, the Programme Operator shall consult the Project Promoter on the possible solutions, such as for instance granting the *de minimis* aid.

4 PARTNERSHIP

The relation between the Project Promoter and the Partner shall not substitute the business relations between supplier and customer. Partner has its own budget and defined project outputs he is obliged to meet. The Project Promoter is responsible for all commitments and

irregularities of the Partner in relation to the Programme Operator. Partnership agreement shall be concluded between the Project Promoter and the Partner. This agreement is subject to the approval of the Programme Operator before the Project Contract is concluded.

In case of the Partner with the financial participation, e.g. with the own budget within the project or the Partner who participates on the co-financing, the Partnership Agreement shall meet the requirements set by the Programme Operator in the template of the Partnership Agreement. Detailed information can be found in the Guidelines for the Project Promoter and Partner published on www.eeagrants.sk a www.norwaygrants.sk .

4.1 Partnership with Donor States entities

One of the two main objectives of the EEA Grants is to support the cooperation with entities from Norway, Iceland and Lichtenstein. To this end, the Programme Operator has opened for the possibility to apply for grants for the search and establishment of partnerships between Slovak and Donor States entities. These activities can be funded under the Programme Bilateral Fund, which will provide small grants up to 5 000 EUR, covering mainly the related travel costs.

Please, be aware that:

- 1) It is necessary to apply for these funds before the expenses have incurred.
- 2) The grants will be disbursed in the form of reimbursement.
- 3) The reimbursement will be paid only if the project application under this Call has been submitted by the applicant.

Further information can be found in the Announcement on the opening of the Measure A from the Bilateral Fund, published along with this Call.

5 GUARANTEES

Not required.

6 PROJECT SUSTAINABILITY AND VALIDITY OF THE PROJECT CONTRACT

The project sustainability period is at least five years following the project completion report approval in case of investments in real estate (purchase, reconstruction). In other cases, the project sustainability period is at least three years following the project completion report approval. During the project sustainability period, both the Project Promoter and the project partner are obliged to maintain the achieved indicators, as defined by the Programme Operator in the Grant Offer.

The project sustainability period is not identical with the Project Contract validity period. Generally, the Project Contract remains in force for 5 years after **the final programme report** approval. The Programme Operator, Ministry of Finance of the Slovak republic as the Certifying authority, Donor states and other institutions set up in the special regulation, e.g. Ministry of Finance of the Slovak republic as the Audit authority and Supreme Audit Office of the Slovak republic are authorized to perform an inspection during the entire period of the Project Contract being in force. Both, the Project Promoter and the Project Partner are

obliged to store all the documentation related to the project during the period of the Project Contract being in force. More information is available in the Project Contract template and in the guideline for the Project Promoter and partners.

6.1 Indicators

The Project Promoter is responsible for maintaining the following values of indicators throughout the whole time of project sustainability:

Indicator Title	Minimal maintained value
Volume of created water retention measures, systems and structures in the landscape	75% from the amount stated in the grant offer
Total number of completed individual measures, interventions, objects and constructions created in the landscape	75% from the amount stated in the grant offer

In case of not meeting the above stated values, the grant reduction procedures will apply, as described in the Guideline for the Project Promoter and partner, applicable for not meeting the set indicators. The Programme Operator may waive its right to demand reimbursements in case the Project Promoter could have not prevented the decrease in indicators, due to force majeure, economic development or other similar reasons that could have not been affected by the Project Promoter.

6.2 Conditions laid down in the Grant Offer Letter

The Programme Operator shall set the following conditions to the Project Promoter in the Grant Offer Letter:

1. The obligation to insure the property, acquired fully or partially from the project grant during the entire in-force period of the Project Contract.
2. The ban on selling the property, acquired fully or partially from the project grant during the entire in-force period of the Project Contract.
3. Publicity indicators that shall be followed by the Project Promoter.
4. The duty to disclose and freely share the project outcomes and outputs.
5. Other conditions of grant awarding, as can be found in the template of the Project Contract.
6. Specific project contract provision, defined by the Programme Operator as needed.
7. Suspensive conditions for first advance payment, if applicable.

More information about the content of the Grant Offer Letter is stated in the Guideline for applicant.

7 SUBMISSION OF THE PROJECT APPLICATION

7.1 Deadlines

The Project Application must be submitted no later than 28.06.2013 at 3 p.m.

The application can be delivered personally, by mail or courier to the address:
Úrad vlády Slovenskej republiky
Námestie slobody 1
813 07 Bratislava

The registry of the Programme Operator is opened from 8:00 till 15:00 in working days. The lunch break is from 11:45 till 12:15.

For applications submitted by mail, the postmark date applies.

On the envelope must be stated the following:

- „DO NOT OPEN“
- title „EEA Financial Mechanism“
- code of the call „ACC01“
- Applicant’s full legal name
- project title.

7.2 Project application requirements

The project application must be submitted in one original and two simple copies in Slovak language. The application consists of completed application form and all documents required as application mandatory annexes listed in the application form. The application must be signed by the statutory of the applicant. Electronic version shall be submitted along with the hard copy, on a read-only CD or DVD.

The application shall be submitted either in thermal or comb binding. Electronic version shall be attached to the original of the Project Application and submitted along with the hard copy, on a read-only CD or DVD.

7.3 Completion of the project application

A project application without an application form will be rejected automatically. The applicant shall be given 5 working days to complete his application in case the application lacks any of the mandatory annexes. The applicant shall be invited by an e-mail and in written form as well, to complete the documentation, while the period for the documentation completion starts the day after the e-mail was sent to the applicant. It is possible to complete the application only in the written form by sending the documentation in a manner and to the address stated in paragraph 7.1. In case the application shall not be completed in the given term, it will be rejected. The programme operator in response to the applicant’s request may prolong this period by a maximum of 10 working days.

7.4 Data reliability

All of the information provided in the Project Application must be up to date, true, complete and accurate. The Programme Operator shall reject the Project Application from a further assessment process should he found out that the information does not meet the criteria listed in the previous sentence. When such fact is discovered by the Programme Operator

later, while he concludes that the wrongly provided information have had or might have had an effect on the assessment process, the project shall be terminated and the Programme Operator shall request the payback of the entire grant provided.

8 ASSESSMENT

The assessment is divided into three stages – administrative compliance assessment, assessment of the Applicant and application eligibility and expert assessment. The assessment is carried out on the basis of the expert selection and comparative selection criteria which form the Annex 7 of this Call.

The selection process should be concluded in four months following the deadline of this Call.

Further details are listed in the Guidelines for the applicant.

9 SYSTEM OF FINANCING

The financial management system of the projects is based on the system of advanced payments. The amount of the advance payment depends on the duration of the implementation of the Project. The Applicant shall propose in the Project Application whether Project Partners shall be financed through the advanced payments or reimbursement.

Project Implementation Duration	First Advance Payment	Second Advance Payment	Third Advance Payment	Fourth Advance Payment	Final Payment (reimbursement)
<18 months	80%	10%			
12 – 18 months	40%	20%	20%	10%	10%
18 – more	25%	25%	25%	15%	10%

Further details about the financial management can be found in the programme summary (on the website www.eeagrants.sk and www.norwaygrants.sk) and in the Guidelines for the Project Promoter and partner.

10 FURTHER INFORMATION

There is no legal title to the grant provision.

Before and during the application preparation it is necessary to be familiar with the following documents as amended:

- Summary of the programme SK02 „Adaptation to climate change – Floods and Drought Prevention“ published on web page www.eeagrants.sk/climate,
- Guidelines for the applicant,
- Guidelines for Project Promoter and partner,
- Regulation on the implementation of the EEA FM 2009 – 2014,
- Guidelines, manuals, regulations and other documents issued by the EEA Financial Mechanism Committee, Financial Mechanism Office, National Focal Point or the Programme Operator.

Documents are published on the web page of the Programme Operator www.eeagrants.sk or www.norwaygrants.sk.

We recommend applicants to follow the web page of the Programme Operator www.eeagrants.sk/climate, where all updates in terms of the call will be published.

Programme Operator will publish on the mentioned web page also so called „F.A.Q. (frequently asked questions)” – further complementary information as the answers to the repeated questions of the applicants.

In case the applicant does not find the answer to his request related with the project application preparation, he could address directly the Programme Operator via:

- a) e-mail: eeagrants@vlada.gov.sk
- b) post:
Úrad vlády SR
Odborriadenia a implementácie FM EHP a NFM
Námestie slobody 1
813 70 Bratislava 1
- c) Telephone: 02/57 295 522 or 02 57295 534.

The request needs to be linked to the call (by call code ACC01). Programme Operator will answer these requests in the way stated by applicant not later than 5 working days from the date of having received the request. Programme Operator may not respond to any requests submitted less than 5 working days before the call closure.

The requests submitted in written form (by mail or e-mail) or published within F.A.Q. as well as further information published on the web page of the programme is considered as binding and can be referred to. Answers to question provided by the phone or verbal answers as far as they were not elaborated by written form can be considered as binding and it is not possible to refer to in later procedure.

Personal consultations are not provided. Programme Operator will organize the information meetings for the potential applicants for the relevant call. The exact date and place of the information meetings will be published on web page of Programme Operator www.eeagrants.sk/climate.

11 ANNEXES OF THE CALL

1. Objectives, outcomes and indicators of objectives and outcomes of the project
2. Recommended structure of the Strategy and examples of Measures
3. Eligible area of Zemplin
4. Eligible area of Upper Nitra
5. Application form template
6. Guidelines for applicants
7. Selection criteria
8. Statute of selection committee
9. Rules of procedures of the selection committee
10. Description of the project in English language

11. List of required attachments to the Project Application