



ANNEX VII. REFERENCES

During the elaboration of the Programme, there is a complex environment that needs to be taken into account, thus in this section, the frame of reference is briefly presented.

- **Europe2020 strategy – country-specific recommendations:** As this strategy will serve as the basis for the Programme for which the majority of funding will be provided by the EU, their expectations also need to be taken into consideration: therefore the strategy needs to be in line with the strategy of the EU, aimed at the smart, sustainable and inclusive growth of the EU. Also, the Commission makes recommendations on the development of the partnership agreements and programmes of the two countries – these shall be also respected.
- **European regulatory framework:** for the European funding to become available, the programme – including the entire programming and implementation process - needs to be in accordance with the relevant EU level regulations as follows:
 - Regulation (EU) No 1303/2013 of the European Parliament and of the Council of 17 December 2013 regarding the “Common Provisions” laying down the common rules applicable to the ERDF, ESF and EAFRD as well as EMFF. Such provisions shall apply where provisions are not covered in other fund-specific regulations (e.g. ERDF, ETC), moreover stipulating the TOs.
 - Regulation (EU) No 1301/2013 of the European Parliament and of the Council of 17 December 2013 on the European Development Fund and on specific provisions concerning the Investment for growth and jobs goal (ERDF regulation) stipulating common rules for ERDF programmes,
 - Regulation (EU) No 1299/2013 of the European Parliament and of the Council of 17 December 2013 on specific provisions for the support from the European Regional Fund to the European territorial cooperation goal (ETC regulation) laying down the detailed provisions of the ETC programmes.

The regulations present the 11 TOs and related IPs: any interventions identified need to be in line with either of these TOs and IPs (more precisely, a maximum of 4 TOs can be selected for 80 per cent of the programme’s allocation). The regulations entered into force on 17 December 2013.

- **Implementing and delegated acts: acts adopted before the approval of the CTS are listed in Annex 5.2 of the CTS. Acts adopted after the approval of the CTS¹:**
 - Commission Implementing Regulation (EU) 2015/207 of 20 January 2015 laying down detailed rules implementing Regulation (EU) No 1303/2013 of the European Parliament and of the Council as regards the models for the progress report, submission of the information on a major project, the joint action plan, the implementation reports for the Investment for growth and jobs goal, the management declaration, the audit strategy, the audit opinion and the annual control report and the methodology for carrying out the cost-

¹ Date of approved version of the CTS: 18 June 2014.



benefit analysis and pursuant to Regulation (EU) No 1299/2013 of the European Parliament and of the Council as regards the model for the implementation reports for the European territorial cooperation goal

http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2015.038.01.0001.01.ENG

- Commission Implementing Regulation (EU) No 1011/2014 of 22 September 2014 laying down detailed rules for implementing Regulation (EU) No 1303/2013 of the European Parliament and of the Council as regards the models for submission of certain information to the Commission and the detailed rules concerning the exchanges of information between beneficiaries and managing authorities, certifying authorities, audit authorities and intermediate bodies http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2014.286.01.0001.01.ENG
 - Commission Implementing Regulation (EU) No 821/2014 of 28 July 2014 laying down rules for the application of Regulation (EU) No 1303/2013 of the European Parliament and of the Council as regards detailed arrangements for the transfer and management of programme contributions, the reporting on financial instruments, technical characteristics of information and communication measures for operations and the system to record and store data http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2014.223.01.0007.01.ENG
 - COMMISSION IMPLEMENTING REGULATION (EU) No 1232/2014 of 18 November 2014 amending Commission Implementing Regulation (EU) No 215/2014 in order to adapt references therein to Regulation (EU) No 508/2014 of the European Parliament and of the Council and correcting Implementing Regulation (EU) No 215/2014
- **Relevant lessons learned from the current programme:** the implementation of the current programme offers various important lessons that need to be taken into account when designing the Programme. Therefore, a summary of relevant key lessons from the on-going evaluation was respected and incorporated in the CP.
 - **Methodological guidelines provided by the European Commission:**
 - The EC published its informal working document – “Aide Memoire on the Strategy & Management, Financial & Control Arrangements” for cooperation programmes 2014-2020 on the 21st of January 2014. This document proposes clear guidelines and methods for the establishing cooperation strategies as well as providing input for elaborating the Programmes.
 - COMMISSION STAFF WORKING DOCUMENT Best practices as regards implementation of the partnership principle in the European Structural and Investment Funds' programmes Accompanying the document Commission Delegated Regulation on the European code of conduct on partnership in the framework of the European Structural and Investment Funds SWD(2013) 540 final
http://ec.europa.eu/regional_policy/sources/what/future/pdf/preparation/2_staff_working_document.pdf



The EC enumerate the methodological documents regarding ESIF: Guidance on European Structural and Investment Funds 2014-2020 http://ec.europa.eu/regional_policy/index.cfm/en/information/legislation/guidance/, the relevant ones are as follows:

- Draft guidelines for the content of the Cooperation Programme Version 5 – 08.05.2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_etc_140314.pdf
- Draft guidance fiche for desk officers arrangements on territorial development Version 2 – 22/01/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_arrangements_territorial_development_en.pdf
- Draft guidance fiche for desk officers programming of technical assistance at the initiative of the Member States Version 2 – 25/06/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_technical%20assist.pdf
- Guidance on Simplified Cost Options (SCOs) Flat rate financing, Standard scales of unit costs, Lump sums (under Articles 67 and 68 of Regulation (EU) No 1303/2013, Article 14(2) – (4) of Regulation (EU) No 1304/2013 and Article 19 of Regulation (EU) No 1299/2013) - Version of September 2014:
http://ec.europa.eu/regional_policy/sources/thefunds/fin_inst/pdf/simplified_cost_en.pdf
- Guidance for the Commission and Member States on a common methodology for the assessment of management and control systems in the Member States - 18/12/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_common_mcs_assessment_en.pdf
- Fraud Risk Assessment and Effective and Proportionate Anti-Fraud Measures June 2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fraud_risk_assessment.pdf – and its annexes:
 - Annex 1: Assessment of exposure to specific fraud risks - selection of applicants by Managing Authorities:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fraud_risk_assessment_annex1.pdf
 - Annex 2: Recommended mitigating controls:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fraud_risk_assessment_annex2.pdf
 - Annex 3: Anti-Fraud Policy template:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fraud_risk_assessment_annex3.pdf
 - Annex 4: Verification of the Managing Authority's compliance with article 125.4 c) regarding Fraud risk assessment and effective and proportionate anti-fraud measures for 2014-2020:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fraud_risk_assessment_annex4.pdf



- Draft thematic guidance fiche for desk officers climate change adaptation, risk prevention and management Version 2 - 20/02/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fiche_climat_change.pdf
- Draft thematic guidance fiche for desk officers biodiversity, green infrastructure, ecosystem services and Natura 2000 Version 2 - 20/02/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fiche_biodiversity_n2000.pdf
- Draft thematic guidance fiche for desk officers water management Version 2 - 20/02/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_2_thematic_objective_6_water_management.pdf
- Draft thematic guidance fiche for desk officers transport Version 3 - 14/05/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fiche_transport.pdf
- Draft thematic guidance fiche for desk officers thematic objective 8: employment and labour mobility Version 2 – 27/01/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_employment_labour_mobility.pdf
- Draft thematic guidance fiche for desk officers health Version 2 – 10/03/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/thematic_guidance_fiche_health_investments.pdf
- Draft thematic guidance fiche for desk officers institutional capacity building (thematic objective 11) Version 2 - 22/01/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fiche_thematic_objective_11_en.pdf
- The specific investment priorities for European Territorial Cooperation (ETC) under Thematic Objective 11 Institutional Capacity Building:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_fiche_thematic_objective11_etc.pdf
- Draft thematic guidance fiche for desk officers tourism Version 2 – 19/03/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_tourism.pdf
- Draft thematic guidance fiche for desk officers support to culture and sport related investments Version 2 – 10/03/2014:
http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_culture_sport.pdf
- Enabling synergies between European Structural application: and Investment Funds, Horizon 2020 and other research, innovation and competitiveness-related Union programmes Guidance for policy-makers and implementing bodies – 2014:
http://ec.europa.eu/regional_policy/sources/docgener/guides/synergy/synergies_en.pdf



- Other guidelines: Guidance fiche performance framework review and reserve in 2014-2020 version 3 – 19 July 2013
http://ec.europa.eu/fisheries/reform/emff/guidance-performance-framework-review_en.pdf
- **The current situation of the eligible area: challenges, bottlenecks and potentials of cooperation** are explored in details in the STA, and distilled into the SWOT analysis.
- **County / local level needs and priorities:** The Programme based on the strategy is to be implemented in the eligible area comprising of 8 counties – these counties all have their (in some areas understandably differing) priorities and needs articulated. These priorities reflect a strategic choice: what are the needs and interventions the counties want to focus on and which are the ones they put less emphasis on by means of having multi-level governance approach. In fact, the proposed set of priority axes and areas of interventions builds upon the processed and structured information provided by the stakeholders.
- **National level priorities of Romania and Hungary** needs to fit in the wider national level strategies of both MSs, and they have to be in line (harmonized with, and definitely not duplicate) the content of other national level operational programmes of the two countries.
- **Strategic Territorial Analysis** provides an interim output for “Strategic Planning for the 2014-2020 programming period”. It provides an overview of the eligible area and the framework – key conditions and constraints – for the strategic planning process.
- **Common Territorial Strategy** lays down the foundation of the Programme 2014-2020 providing appropriate impetus for the decision-makers when elaborating the Programme. The strategy development process followed a balance between strictly evidence-based planning and an iterative process of strategic choices done by the relevant stakeholders.
- **Ex-ante Evaluation** carried out by the selected external experts.
- **Strategic Environmental Assessment** carried out by the selected external experts.