

## STANDARD SUMMARY PROJECT FICHE

### 1. Basic Information

- 1.1 CRIS Number: 2003/005-704.01
- 1.2 Title: Environmental protection and nature conservation in the Slovak-Austrian border region
- 1.3 Sector: Cross border co- operation
- 1.4 Location: Slovak - Austrian border region (HTU-s Bratislava and Trnava)

### 2. Objectives

#### 2.1 Overall Objective(s):

- Conservation of the natural resources of the Slovak - Austrian border region, improvement of the environmental potential, thus improving living conditions of people in the area.
- Support of alternative sources of energy
- Improvement of the cross-border co-operation and co-ordination in land-use planning and regional development through preparation of the regional plans, etc.

#### 2.2 Project purpose:

Promotion of nature and environmental protection initiatives on local level through the preparation and implementation of environmentally targeted investment projects.

#### 2.3 Accession Partnership and NPAA priority

##### Accession Partnership

Complete transposition of the acquis, with a special emphasis on air quality, water quality, waste management, nature protection and industrial pollution control.

##### NPAA - "Chapter Environment":

"Prepare a "Waste Management Programme of the Slovak Republic" and subsequently waste management programmes of regions, districts and individual producers of waste (including municipalities)".

The implementation mechanism will contribute to the preparation of central, regional and local authorities for the implementation Structural Policies.

#### 2.4 Contribution to the National Development Plan

The project is in line with the Operational Programme "Basic Infrastructure".

In Slovakia, the importance attributed cross border co-operation as a tool of Regional Development is reflected in Act of Regional Development No.503/2001 that came into force in October 2001.

The project deals with the **Priority V - Sustainable Spatial and Environmental Development**, Measure I (Resource Management, Technical Infrastructure and Renewable Energy Supply ) Measure II (Nature and Environmental Protection including National and Nature Parks) and Measure III (Cross Border Spatial Development for Rural and Urban areas) of the Joint Programming Document (JPD).

## 2.5 Cross Border Impact

The grant scheme primarily supports projects of local initiatives that can directly contribute to the improvement of natural and environmental conditions of the direct border region and also have a direct cross-border impact.

The projects can be submitted from the entire area of counties constituting the border region, with restrictions as follows:

- Investment projects should be initiated mainly in the close-to-border territories (micro-regions/districts along or near to the border) thus investments will have a direct cross-border impact.
- Non-investment projects are welcome from the whole territory of the border region.

Implementing Agency will take these aspects into consideration in the "Call for Proposals" and during the evaluation of the project proposals.

## 3. Description

### 3.1 Background and justification:

Since a large number of environmentally sensitive and protected areas are located in the border region, the issue of environmental protection and water-management play a pivotal role in the entire Slovak- Austrian border region. The conservation of the outstanding natural potential of the area is not only essential from the aspect of the improvement of living conditions of the population on both sides of the border but also for the special development potential of the region. In order to improve present environmental conditions and to prevent potential damages to the environment, it is necessary to prepare plans and to perform synchronised actions.

Despite a significant improvement in the quality of the environment during the last decade, there are still serious deficiencies in the environmental situation of the border region. Improvement of treatment of sewage water could not keep pace with the increasing amount of waste. Since environmental issues affect the whole border region regardless of national borders, assistance should be carried out in the framework of cross-border co-operation.

In order to harmonise the management and operation of these structures the grant scheme supports investments in natural protection.

**Renewable energy:** In the past century, it has been seen that the consumption of non-renewable sources of energy has caused more environmental damage than any other human activity. Electricity generated from fossil fuels such as coal and crude oil has led to high concentrations of harmful gases in the atmosphere. This has in turn led to many problems being faced today such as ozone depletion and global warming. Vehicular pollution has also been a major problem.

Therefore, alternative sources of energy have become very important and relevant to today's world. These sources, such as the sun and wind, can never be exhausted and therefore are called renewable. They cause reduced emissions and are available locally. Their use can, to a large extent, reduce chemical, radioactive, and thermal pollution. They stand out as a viable source of clean and limitless energy. These are also known as non-conventional sources of energy. Most of the renewable sources of energy are fairly non-polluting and considered clean though biomass, a renewable source, is a major polluter indoors.

There is a potential for them to make a big contribution to our energy needs and a great deal of time and money is currently being spent on developing renewable sources of energy.

The European Commission has set a target of 12% renewable penetration by the year 2010. However, total European energy consumption is rising so rapidly that the percentage share of renewable energy in the EU's overall share has remained static the past two years, and could actually decline by 2010 unless careful attention is paid to promoting and accelerating the adoption of renewable energy. Therefore, it is important to monitor the share of renewable in the EU's energy mix and understand the reasons for low penetration and actions that can be taken to improve renewable energy prospects.

Therefore, the aim of the Grant Scheme is to support those activities that are targeted at the cross-border co-operation of institutions and organisations involved in nature conservation and environment protection, alternative sources of energy as well as at a more efficient co-ordination of cross-border environmental activities, experience and information exchange, more intense co-operation of bodies involved in land-use planning and regional development.

### 3.2 Linked activities:

#### *Investment support in the environment*

Support to many capital investment projects in the private and public sectors from the PHARE CBC linked to:

The construction and upgrading of systems for collection, sorting, processing and disposal of hazardous and municipal waste

The construction and upgrading of drinking water supply systems, waste water supply systems and waste water treatment plants

1999 -Improving of the WWTP, sewer network and drinking water network in Kúty

2000 - Completion of WWTP in Gbely, Holíc, Kopcany and Petrová Ves

2001 - Waste water disposal system of the villages in the basin of the river Morava

### 3.3 Results:

- The implemented projects in the following areas: habitats protection, reduction of environmental loads, pollution prevention;
- Capacity of waste water treatment and waste disposal infrastructure extended and increased;

- Facilities of nature protection organisation focused on promoting nature conservation and environmental awareness extended and improved;
- Projects concerning renewable energy implemented

### 3.4 Activities

#### Activities supported by the Grant scheme

##### 1 - Regional Studies and Strategies:

Eligible activities are the following:

Regional Studies and Strategies and Territorial Development strategies - Impact assessments, Need assessments, Feasibility studies and other studies covering preparatory documents for environmental investment actions

Environmental information and awareness raising programs (related to the activities)

Environmental protection related information campaigns (related to the activities )

The total budget for the window is 0.5 MEUR. This window shall provide grants in an amount of 50, 000 – 150, 000 EUR for the procurement of services.

##### **Organisations eligible for support will be non-profit or non-governmental organisations as follows:**

- Non-profit organisations
- HTU - Higher Territorial Units, municipalities
- Municipal, educational institutions
- Bodies of the public administration
- Co-operation, association of the above organisations.
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- Profit oriented organisations are not eligible.

Projects for support will be selected according to the following criteria:

##### **CBC criteria:**

- Co-operation between Austrian and Slovakian partners - common project preparation
- Expected environmental impact of projects

##### **Formal selection criteria** (*in accordance with the evaluation grid of PRAG*):

Studies, training and information campaigns prepared under this window of the Grant Scheme must be related to activities that are eligible

##### **Relevance:**

- conformity with relevant regional development plans and the Joint Programming Document.
- relevance of the project to the needs of the target group in case of information campaigns and training.

##### **Methodology:**

- The preparedness and elaboration of the project proposal.
- Involvement of the partners in the elaboration and implementation of the project proposal.
- Realistic time-schedule for implementing of the project proposal.

- Well defined target group.

**Sustainability:**

- Further utilisation and long term sustainability of the project results.
- Beneficial social, economic and environmental impacts of the project results.
- Possible multiplier effects of the project results.

**Budget and cost effectiveness:**

- Reality and transparency of the financial plan of the project proposal.
- Justification of the planned budget,
- Cost effectiveness of the development.

**Management capacity and expertise:**

- Availability of the necessary personal, organisational and institutional capacity for the implementation of the project proposal.
- Developments implemented with the collaboration of various settlements or organisations (consortia).

**2 - Investment actions**

Eligible activities are the following:

- Solution of individual and harmless wastewater disposal and treatment in settlements/settlement parts (e.g. application of nature friendly treatment systems)
- Pre-treatment, utilisation and disposal of sewage sludge and municipal liquid and solid waste
- Revitalisation of rivers, development of nature protection demonstration areas
- Waste water treatment (caused by population and by agriculture)

The total budget for the window is 1.8 MEUR. This window shall provide grants in an amount of 300,000 – 500,000 EUR for the procurement of works, supplies and services.

**Organisations eligible for support will be non-profit or non-governmental organisations as follows:**

- Non-profit organisations
- HTU - Higher Territorial Units, municipalities
- Municipal, educational institutions
- Bodies of the public administration
- Co-operation, association of the above organisations.

Profit oriented organisations are not eligible.

*Projects for support will be selected according to the following criteria:*

**CBC criteria:**

- co-operation between Austrian and Slovakian partners - common project preparation - applicants without Austrian partner are not eligible
- environmental impact of projects

**Formal selection criteria (in accordance with the evaluation grid of PRAG):**

- Compliance with projects financed by other pre-accession financial instruments (e.g. ISPA, SAPARD), the technical content of the project proposal does not overlap with other internationally financed projects.

- Consortium in case of joint application of several municipalities or organisations

**Documentation required for application:**

- Availability of studies justifying the rationality of the investment (feasibility study, cost-benefit analysis, environmental impact study if required).
- Availability of effective construction plans, valid permissions of authorities (e.g. construction permit, water construction permit, environmental permit, resolution of decontamination).
- Certification of settled ownership conditions.
- Statement of the competent environmental authority that the proposed developments (e.g. individual wastewater disposal) do not endanger the surface and groundwater.

**Relevance:**

- Conformity with relevant regional development plans and other regional planning systems (e.g.: wastewater disposal program).
- Projects that are decreasing pollution in nature protection areas.

**Methodology:**

- The preparedness and elaboration of the project proposal.
- Involvement of the partners in the elaboration and implementation of the project proposal.
- The necessity and rationality of the project proposal.
- Realistic time-schedule for implementing of the project proposal.
- An awareness raising activity related to the development is part of the project proposal.

**Sustainability:**

- Guaranteed sustainability of the developments implemented through the grant scheme.
- Beneficial social, economic and environmental impacts of the development
- Possible multiplier effects of the development.

**Budget and cost effectiveness:**

- Reality and transparency of the financial plan of the project proposal.
- Justification of the planned budget,
- Cost effectiveness of the development.

**Management capacity and expertise:**

- Availability of the necessary personal, organisational and institutional capacity for the implementation of the project proposal.
- Developments implemented with the collaboration of various settlements or organisations (consortia).

**3 - Renewable Energy**

Eligible activities are as follows:

- solar collectors, usually fitted in the roof and made from glass or transparent plastics
- solar cells which convert sunlight directly into electricity
- wind turbines

- small water power station
- biomass used

The total budget for the window is 0.9 MEUR. This window shall provide grants in an amount of 50,000 – 150,000 EUR for the procurement of works, supplies and services.

**Organisations eligible for support will be non-profit or non-governmental organisations as follows:**

- Non-profit organisations
- HTU - Higher Territorial Units, municipalities
- Municipal, educational institutions
- Bodies of the public administration
- Co-operation, association of the above organisations.
- Profit oriented organisations are not eligible.

*Projects for support will be selected according to the following criteria:*

**CBC criteria:**

- co-operation between Austrian and Slovakian partners - common project preparation - applicants without Austrian partner are not eligible
- environmental impact of projects

**Formal selection criteria (in accordance with the evaluation grid of PRAG):**

- Compliance with projects financed by other international aid schemes (e.g. ISPA, Sapard), the technical content of the project proposal does not overlap with other internationally financed projects.
- Consortium in case of joint application of several municipalities or organisations

**Documentation required for application:**

- Availability of studies justifying the rationality of the investment (feasibility study)
- Availability of effective construction plans, valid permissions of authorities (e.g. construction permit, water construction permit, environmental permit, resolution of decontamination).
- Certification of settled ownership conditions.

**Relevance:**

- Conformity with relevant regional development plans and other regional planning systems
- Projects that are decreasing pollution in nature protection areas.

**Methodology:**

- The preparedness and elaboration of the project proposal.
- Involvement of the partners in the elaboration and implementation of the project proposal.
- The necessity and rationality of the project proposal.
- Realistic time-schedule for implementing of the project proposal.
- An awareness raising activity related to the development is part of the project proposal.

**Sustainability:**

- Guaranteed sustainability of the developments implemented through the grant scheme.
- Beneficial social, economic and environmental impacts of the development
- Possible multiplier effects of the development.

**Budget and cost effectiveness:**

- Reality and transparency of the financial plan of the project proposal.
- Justification of the planned budget,
- Cost effectiveness of the development.

**Management capacity and expertise:**

- Availability of the necessary personal, organisational and institutional capacity for the implementation of the project proposal

**4 -Assistance for the Implementing Authority** - relating to the preparation, selection, appraisal, external audit and monitoring.

The total budget for the window is 0.2 MEUR.

**3.5 Lessons learned:**

The Regional Development Support Agency has already gained some experience notably through similar projects financed under the 2001 National Programme and the various Joint Small Projects Funds.

**4 Institutional Framework**

Implementing arrangements are set up according to the Phare CBC rules.

The grant scheme will be managed in accordance with the “Practical Guide to Phare, ISPA and SAPARD Contract Procedures”. The Call for Proposals is to be prepared by the Contracting Authority.

The recipient institution is the Ministry of Construction and Regional Development, the Regional Development Support Agency of the Ministry of Construction and Regional Development SR will be responsible for the technical and financial management of the Grant scheme.

**5 Detailed Budget (in MEUR)**

Contracts	Phare Support			National co-financing	TOTAL
	Investment	Institution Building	Total Phare (=I+IB)		
1. Environmental Studies, Strategies	0.5	-	0.5	0.17	0.67
2. Investment actions	1.8	-	1.8	0.6	2.4
3. Renewable Energy	0.9	-	0.9	0.3	1.2
4. Technical assistance	-	0.2	0.2		0.2
<b>Total</b>	<b>3.2</b>	<b>0.2</b>	<b>3.4</b>	<b>1.07*</b>	<b>4.470</b>

\* The national co-financing for a value up to 0.9 MEUR (25% of total project costs) will be ensured by the end beneficiaries (eligible organisations)

**6 Implementation Arrangements**



## 6.1 Implementing Agency:

Ministry of Construction and Regional Development of SR  
Regional Development Support Agency  
Špitálska 8  
816 44 Bratislava  
Contact: Mr. Július Slovák  
Tel : +421 2 5975 3414  
Fax : + 421 2 5975 3438

## 6.2 Twinning: not applicable

## 6.3 Non-standard aspects

The Practical guide to Phare, ISPA and SAPARD contract procedures will be strictly followed for contracts co-financed by Phare.

## 6.4 Contracts

The Grant Scheme with two windows will be implemented through an open call for project proposals according to the stipulations of the PRAG on Grant Schemes. Beneficiaries will sign Grant Contracts with the PAO laying down the rules of the project implementation based on the list of supported projects approved by the IA. Tendering and contracting of the required services and supplies will follow the PRAG manual.

## 7 Implementation Schedule

7.1 Start of tendering/call for proposals: 1.Q 2004

7.2 Start of project activity: 2.Q 2004

7.3 Project Completion: 4.Q 2005

## 8 Equal Opportunity: Equal opportunity principles and practices in ensuring equitable gender participation in the project will be guaranteed

## 9 Environment

The criteria for project selection include those, which deal with actual or probable environmental impact of projects. Proposals for projects, which have potentially negative impacts, will routinely be identified and removed from the project selection process. Such projects will only be considered again once they have been modified to reduce associated environmental problems to acceptable levels.

The activities covered by this grant scheme are directly related to the improvement of environmental conditions. The improvement of the surface and groundwater quality is expected due to less environmental load resulting from non-adequate wastewater, liquid and solid waste management.

All projects proposals will be assessed for potential environmental impacts as a normal part of eligibility screening.

## 10 Rates of return

The individual project applications submitted to the IA for grants shall determine the rate of return of individual investments in the form of indicators.

Each study will contain the calculation of the economic and financial internal rate of return. The period covered by the analysis will be based on the works life and will include its construction and operation periods.

## **11 Investment criteria**

### **11.1 Catalytic effect:**

Projects implemented under the Grant Scheme are of a public nature and they must comply with regional priorities. The projects selected for funding could not be implemented without the financial assistance from the EU funds

### **11.2 Co-financing:**

The national co-financing for a total value of 0.9 MEUR is 25% of the project costs. The co-financing will be ensured by the final beneficiaries.

### **11.3 Additionality:**

Financial support to be provided by Phare will not replace any other funding.

The projects implemented in the Grant Scheme are of a public nature and are not suitable for funding from private funds due to the low financial rate of return on the investment. The contribution from EU funds shall not substitute other available funds.

### **11.4 Project readiness and Size:**

A draft of the Co-operation Agreement, Call for Proposal, Application form, Guidelines for applicants and Grant Contracts will be elaborated by all concerned organisations (Ministry of Construction and Regional Development of Slovak Republic with Technical assistance) after signing of the Financing Memorandum. All documents shall be prepared according to the PRAG template and submitted to the Delegation for endorsement prior to the launch of the Call for proposals. Only projects ready for tendering can be supported. The total budget of the Grant scheme is 3,2 MEUR which is over the 2 MEUR threshold.

### **11.5 Sustainability:**

Projects implemented under the Grant Scheme must be sustainable and comply with European norms and standards and must be in compliance with applicable EU laws.

### **11.6 Compliance with state aids provisions**

The investment respects the state aid provisions of Slovak Law 231/99 on State Aid and to the Europe Agreement.

### **11.7 Contribution to National Development Plan**

The project contributes to the achievement of the objectives of the Operational Programme "Basic Infrastructure".

## **12 Conditionality and sequencing**

Implementation of the Grant Scheme is conditioned by the successful completion of the following steps:

Finalisation of the Grant Scheme Operational Guidelines and the Call for Proposals documentation	End of 1st quarter 2004 at the latest
First Call for Proposal	2nd quarter 2004
Signature of grant contracts	4th quarter 2004
Completion of projects	3rd quarter 2006 at the latest
Last date of grants disbursement	By November 2006 at the latest

Beneficiaries must meet their commitments to provide project co-financing and they are responsible for the quality of the works. After the project is implemented, beneficiaries must arrange for its full operation and use.

### **ANNEXES TO PROJECT FICHE**

1. Logical framework matrix in standard format
2. Detailed implementation chart
3. Contracting and disbursement schedule by quarter for full duration of programme (including disbursement period)

LOGFRAME PLANNING MATRIX		Environmental protection and nature conservation in the Slovak-Austrian border region		Programme name and number: 2003/005-704	
				Contracting period expires: 30.11.2005	Disbursement period expires: 30.11.2006
Overall Objectives	Objectively Verifiable Indicators	Sources of verification	Total Budget: 4,47 MEUR	Phare contribution: 3,4 MEUR	
Conservation of the natural resources of the Slovakian - Austrian border region, improvement of the environmental potential, thus improving living conditions of people in the area.	Decreased environmental pollution Increased environmental awareness of population	Reports of MoE Local governments' data Reports of the Central Statistics Office			
Improvement of the cross-border co-operation and co-ordination in land-use planning and regional development.	Number of regional plans and strategies prepared and evaluated				
Project Purpose	Objectively Verifiable Indicators	Sources of verification	Assumptions		
Promotion of nature and environmental protection initiatives of local character (through the preparation and implementation of investment projects targeted at the improvement of environmental conditions)	Quality changes in environmental protection co-operations	Reports of the Central Statistics Office (KSH) Surveys among beneficiaries (via questionnaires)	<ul style="list-style-type: none"> <li>▪ Knowledge of environmental protection techniques</li> <li>▪ Capacities to enhance environmental consciousness among the population</li> </ul>		

<b>Results</b>	<b>Objectively Verifiable Indicators</b>	<b>Sources of verification</b>	<b>Assumptions</b>
<p>Reduction of environmental loads, environmental clean-up and pollution prevention; Extension and increased capacity of waste water treatment and waste disposal infrastructure;</p> <p>Extension and improvement of the facilities of nature protection organisation focused on promoting nature conservation and environmental awareness</p> <p>Renewable energy used</p>	<ul style="list-style-type: none"> <li>▪ Number of prepared investment projects</li> <li>▪ Number of households served by new wastewater installations</li> <li>▪ Established sewage and sludge treatment quantity (in m3)</li> </ul> <p>Quantity of renewable energy used in generating power</p>	<p>Reports from beneficiaries Monitoring reports Project dossiers Questionnaires Annual Statistics Final report of the project</p>	<p>Sufficient number and quality of project proposals</p> <p>Availability of resources</p> <p>Transparent and effective project management</p>
<b>Activities</b>	<b>Means</b>	<b>Cost</b>	<b>Assumptions</b>
1. Regional Studies and Strategies and Territorial Development strategies	Grant	0.5 MEUR	Active Co-operation of the Slovak and Austrian partners
2. Solution of individual and wastewater disposal	Grant /Works	1.8 MEUR	
Pre-treatment, utilisation and disposal of sewage sludge and municipal liquid waste			
Waste water treatment			
3. Renewable Energy - Solar collectors, Solar cells Wind Turbines Small water power station	Grant /Works	0.9 MEUR	
4. Training for the Implementing Authority-Technical assistance	Service contract with selected consultant	0.2 MEUR	
			<p><b>Preconditions</b> Staff for the implementation of the Grant scheme trained</p>

**CUMULATIVE CONTRACTING AND DISBURSEMENT SCHEDULE (MEUR)**

<b>Project</b>	<b>1Q/04</b>	<b>2Q/04</b>	<b>3Q/04</b>	<b>4Q/04</b>	<b>1Q/05</b>	<b>2Q/05</b>	<b>3Q/05</b>	<b>4Q/05</b>	<b>1Q/06</b>	<b>2Q/06</b>	<b>3Q/06</b>	<b>4Q/06</b>
Contracting		0.2	0.2	3.4								
Disbursement		0.1	0.1	0.5	1.0	1.5	2.0	2.5	3.0	3.3	3.4	

