

Phase I – Concept Note

ADMINISTRATIVE AND ELIGIBILITY CHECK GRID

Project identification

Project title	
Project acronym	
Project number	
Official name of the Lead Applicant organization	

No.	Criteria	Description	Yes	No	NA	Comments ¹
A. Administrative criteria						
A.1	The application package is compiled in English.	Application form, annexes and supporting documents are submitted as requested in the Guide for Applicants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.2	Application Form is correctly filled in.	All applicable sections of the Application Form are correctly filled in (no missing ² information).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

¹ If follow up is needed (in case of unfulfilled criterion that may be satisfied through clarification/completion), option NO should be ticked and the requirement could be described in the “comments” field, awaiting for the relevant documentation. Shall be settled upon receipt /failure to comply.

² According to our latest tests, there is a technical error detected in what concerns the eMS application system. The application – in .pdf file – does not automatically retrieve some of the fields. Due to identified technical error – in assessment process, the electronic eMS version of the Applications will be prevailing in terms of content.

No.	Criteria	Description	Yes	No	NA	Comments ¹
A.3	Where the case, the provided templates ³ are used.	e.g. (Lead) Applicant Declaration, (Annex V.2), etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.4	There is a pre-agreement signed among participating partners ⁴ .	Annex V.1 To be provided in EN language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.5	Project (Lead) Applicant Declaration⁵/Associated Partners Declaration (if the case) is included, properly filled-in, dated, stamped and signed by the legal representative.	Annex V.3; Annex V.7 To be provided in EN language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.6	Copies of the establishing documents of the Applicants/Associated Partners ⁶ are included: Articles of Association, Statutes, Deed of foundation, establishing resolution law, or equivalent documents according to the national legislation, etc. Additionally, establishing documents are provided for the related branch office, proving its existence and the relationship with the headquarter.	Exception: public institutions, authorities do NOT need to submit this document! With regard to Churches in Hungary: In case the religious organization is listed in the register kept by the Minister of Human Capacities (http://egyhazi.emmi.gov.hu/), the extract issued by the Minister must be attached. In case the Church is not listed in the register, official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

³ The applications are not to be rejected based on not using the provided templates, but clarification/completion is to be requested

⁴ Stipulating the partners' commitment to develop and submit the complete project documentation

⁵ Stipulating that all eligibility criteria are properly complied with; to be submitted for Lead Applicant and all Applicants/Associated Partners (if the case) also.

⁶ To be submitted for Lead Applicant and all Project Applicants/Associated Partners (if the case) also.

No.	Criteria	Description	Yes	No	NA	Comments ¹
		confirmation issued by the Main Church must be attached. To be provided in RO/HU language.				
A.7	The official statement⁷ of the relevant decision-making body regarding the support of the project and the availability of the own contribution for the planned investment, during the implementation of the project is attached.	i.e. County Council Decision, Local Council Decision, Board of Directors Decision, authorized person etc. To be provided in RO/HU language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.8.	Compliance letters⁸ , at least one letter from Romanian authorities (county/regional or national level) and one from Hungarian County Councils, as required by the national legislation, are included. In case the County Council is not professionally and/or legally competent or if it applies in the relevant Call for Proposal, the letter of compliance will be issued by a national ministry, according to competence. If, during the evaluation, question will be raised by the Assessment Working Group (AWG), the relevant member/observer of the AWG will contact the relevant authority to ask for opinion with justification	i.e. Ministry of Regional Development and Public Administration, Ministry of Culture, National Park Directorate, Environmental and Water Management Directorates, State Forestry Service/National Forest Administration Romsilva, National Administration Apele Române, Ministry of Public Health, Ministry of Education, Ministry of National Development, Department for Transport Infrastructure, Ministry for National Economy, Ministry of Human Capacities, Ministry of Agriculture,				

⁷ To be submitted for Lead Applicant and all Project Applicants also.

⁸ The National Authority takes full responsibility that HU applicants will receive their compliance letters in due time (taking into account that it may happen that the County Council has to forward the documentation to national level, etc), so that they can apply for funding. Therefore, if the County Council receives the request, including the concept note, for checking the compliance, the head of the National Authority shall be informed within 3 working days about the receipt of such request and if applicable, also about the situation if it is forwarded to the relevant ministry.

No.	Criteria	Description	Yes	No	NA	Comments ¹
		Prime Minister's Office - etc. Annex V.2 To be provided in EN language.				
A.9	Extracts of relevant strategies and / or other relevant development strategic documents, proving the project's compliance are attached.	i.e. National Health Strategy 2014 - 2020, General Master Plan on Transport, county strategy, etc. To be provided in RO/HU language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.10	In case of Romanian applicants: Justifying document stating the method of representation (according to the national legislation). In case of Hungarian applicants: Original specimen of signature , containing the method of representation of the legally authorized representative(s), certified by a public notary in original language, is included.	For HU applicants: In case of double representation, e.g. if the mayor and the notary can represent the local government only together, the specimens of signature of both are required! To be provided in RO/HU language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.11	Letter of empowerment: For RO applicants: signed and stamped by the legal representative of the applicant institution For HU applicants: Certified by a public notary in original language, if the case.	Necessary when a person, other than the legal representative, is to sign certain official documents. To be provided in RO/HU language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.12	The job descriptions for all positions included in the	The tasks / requirements will be	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

No.	Criteria	Description	Yes	No	NA	Comments ¹
	proposed management team AND/OR the Terms of references , in case the management is externalized ⁹ are included;	proportionate with the complexity of the project. To be provided in EN language.				
A.13	<u>In case of Romanian Applicants:</u> Urban planning certificate (certificat de urbanism) is attached. <u>In case of Hungarian Applicants:</u> Preliminary declaration of construction works is attached.	Annex V.8, for Hungarian Applicants To be provided in RO/HU language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.14	Title deed (<i>extras de carte funciară / tulajdoni lap másolat</i>) issued by the Land Registry, not older than 30 calendar days, of each real estate (land and / or building) affected by the investment is attached. In case the land and / or building is in concession / administration, it must be proved that the duration of the concession / administration of the land and / or building is based on a long term contract/enactment (i.e. min. 5 years after the estimated month for the financial closure of the project) and that the owner of the real estate has given his written agreement (no standard format) that the applicant is free to perform the investment.	Exceptions: title deeds for <i>road construction where land acquisition (purchase/expropriation)</i> deems necessary, in case they are not yet available due to non-completion of the acquisition procedures. See Criterion A.16. To be provided in RO/HU language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.15	Declaration from the land and / or building/ item		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

⁹ Flagship Projects are projects of significant complexity and the capacity of the partners is of high importance in the efficient and sustainable management of the projects. Therefore, the Programme strongly recommends avoiding the externalization of the project management. Moreover, maximum score will be granted only to applications ensuring the project management staff.

No.	Criteria	Description	Yes	No	NA	Comments ¹
	of infrastructure owner is included, stating that the land and / or building / item of infrastructure is: free of any encumbrances, not the object of a pending litigation, not the object of a claim according to the relevant national legislation.	Exceptions for purchase/ expropriation, in case of roads, as described above, under A.13 To be provided in RO/HU language.				
A.16	At least the administrative act approving the opportunity to develop the technical documentation/plans/design for the investment objective subject to the grant application is attached, or a document of a similar value (i.e. Government/County/Local Council Decision for approval the start of the preparation of the planned investment/design of the feasibility study related to the planned investment)	In case of road infrastructure. To be provided in RO/HU language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.17	Affidavit regarding the land acquisition (purchase / expropriation) process	Annex V.9 Only in case the road infrastructure involves purchase / expropriations of land. The document will state that purchase / expropriation is necessary and that the respective applicant understands its obligation to complete the purchase/expropriation process and to submit the title deed in maximum 3 months after the notification of approval for FA, ensuring they understand the penalties in case they	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

No.	Criteria	Description	Yes	No	NA	Comments ¹
		fail. To be provided in EN language.				
A.18	Copy of the prior bilateral agreement with the commitment of the Member States to set up Schengen-compatible border-crossing checkpoints (or other existing solutions according to the legislation in force at the time of submission of the project proposals) at the completion of any such projects, and to operate it for at least 5 years or until the enlargement of the Schengen zone, for projects that include cross-border road infrastructure, is submitted.	To be provided in RO/HU/EN language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.19	Copy of the bilateral agreement , in force at the time of submission of project proposals, in case of CB infrastructure, for projects financing CB infrastructure other than roads, is submitted.	To be provided in RO/HU/EN language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.20	The total project estimated budget is attached.	Annex V.4 To be provided in EN language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.21	Programme output indicators - project commitment is attached.	Annex V.5 To be provided in EN language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.22	Environmental Indicators list is attached.	Annex V.6 To be provided in EN language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.23	For RO applicants: Template MMP, signed/stamped by Environmental Protection Agency at county level.	Annex.V.10 To be provided in RO language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B. Eligibility criteria						
B.1	The Lead Applicant is Romanian or Hungarian public body.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

No.	Criteria	Description	Yes	No	NA	Comments ¹
B.2	The Applicants (other than Lead Applicant)/Associated Partners ¹⁰ are Romanian or Hungarian public bodies / bodies governed by public law / state owned companies / non-profit bodies / EGTC, established according to the relevant national legislation as described in the CP, for each Investment priority.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.3	The (Lead) Applicant/Associated Partner ¹¹ has legal competencies the project relevant field ¹² .	For all project proposals, it is compulsory that the Applicants / Associated Partners have among their attributions, according with its statute or according to the national legislation, the implementation of the proposed activities or they must prove that they have a partnership agreement with the institutions competent to implement such activities, according with their statute or according to the national legislation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.4	The (Lead) Applicants fulfil the location criteria, set out in section 2.2.1.1. Eligibility of applicants.	All partners (including the national / regional organizations' branch offices)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

¹⁰ In case an Associated Partner fails to comply with the eligibility rules of the present Call for Proposal, the project can be approved by the Monitoring Committee under conditions that the respective associated partners is eliminated as such.

¹¹ Idem footnote 8 above.

¹² The criterion applies to all Applicants/Associated Partners.

No.	Criteria	Description	Yes	No	NA	Comments ¹
		are located in the eligible area of the programme. In case the public entity's headquarter is registered outside the eligible programme area, the public entity has legal competencies for implementing operations in the programme area.				
B.5	The Associated Partner ¹³ fulfils the location criteria, set out in section 2.2.1.1. Eligibility of applicants.	The Associated Partners (including the national / regional organizations' branch offices) are located in the eligible area of the programme.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.6	There are at least two eligible partners, one from each country, involved in the project.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.7	The maximum number of partners in the project is 8, including the Lead Applicant.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.8	The maximum number of Associated Partners in the project is 4: 2 RO and 2 HU.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.9	The partnership has maximum one potential beneficiary with previous average weighted financial execution rate (considering the value of their part of the projects' budgets) of less than 50% for projects financed under HURO Programme 2007-2013. The respective potential beneficiary, if the case, is not the Lead Applicant.	Annex V.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

¹³ In case an associated partner fails to comply with the eligibility rules of the present Call for Proposal, the project can be approved by the Monitoring Committee under conditions that the respective associated partners is eliminated as such.

No.	Criteria	Description	Yes	No	NA	Comments ¹
B.10	The full project implementation period reaches the limit of the minimum and does not exceed the limit of the maximum monthly limits set in the Call.	Start and end dates (i.e. depending on the closure of the Call of proposals or the end of the programme period) and duration of the project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.11	All the 4 joint criteria are described, involving all Applicants (including the Lead).	Joint development, joint implementation, joint staffing and joint financing.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.12	Minimum 2 joint criteria are described, in case of Associated Partners.	Joint financing is not applicable in case of Associated Partners.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.13	The proposal demonstrates a level of proportionality of at least 40% between the contribution to the programme' output indicators and the necessary financial resources	Annex V.4 (estimated total budget of the project (CN+FA)) Proposals demonstrating a level of proportionality lower than 40% shall not be further assessed, and may not be recommended for support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.14	In case of Ip 7/b, the road proposed to be developed provides or improves direct access of secondary and tertiary nodes to TEN-T ¹⁴ core or comprehensive network and related infrastructure (as settled in the Cooperation Programme).		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.15	The total amount of the budget for Concept Note is ranged between the limits set in the Guide for Applicants (0-350,000 Euro)	Concept Note budget.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

¹⁴ The maps of the TEN-T core and comprehensive networks in Romania are provided by the Transport Master Plan, published in the Romanian Official Monitor nr. 778bis/14.X.2016

No.	Criteria	Description	Yes	No	NA	Comments ¹
B.16	The percentage of the financial support requested from ERDF and state budgets are within the limits indicated in the Guide for Applicants (GfA).	Concept Note budget.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.17	The estimated amounts/percentages of the financial support requested from ERDF and state budgets (CN+FA) is between the limits set in the GfA.	Annex V.4., chapter 1.4 of GfA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.18	The proposal complies with the rule setting the maximum ceiling for the small-scale infrastructure investments (Ip 6/c and 8/b).	Annex V.4. This limitation concerns exclusively investments in cultural and tourism infrastructure.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.19	The total estimated budget of the project (CN+FA) is between the limits set in the GfA	Concept Note Budget Annex V.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.20	Total budget of activities to be carried out outside the programme area is up to maximum 10% from the total support requested from ERDF at project level.	Concept Note Budget Annex V.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.21	Total cost of investments in roads under Investment priorities other than Priority Axis 2 does not exceed 30% of the total eligible budget of the project.	Annex V.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.22	If any, the costs of land acquisition (purchase /expropriations) will be included in the CN/AF budget up to 5% of the ERDF estimated costs for the investment objective.	Concept Note Budget/AF Budget Annex V.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.23	The value of site supervision is limited to 5% of the total estimated works related cost.	Annex V.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

No.	Criteria	Description	Yes	No	NA	Comments ¹
	The project proposal is formally compliant.		<input type="checkbox"/> ¹⁵	<input type="checkbox"/>		
	Recommendations ¹⁶ :					

¹⁵ Conditioned by the formulated recommendations (if any).

¹⁶ In case the proposal is not fully compliant, in the case of the costs limitations (criteria B20-B23), the project proposal will be passed for quality assessment under the condition that the necessary budget-cuts will be made in the quality assessment phase.