

## 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 <sup>1</sup>
<b>A. Administrative criteria</b> Please be aware that – only in case of the 1 <sup>st</sup> Restrictive Call for Proposals relaunched – official documents issued by public authorities by deadlines set in the framework of the first launch of the call will be accepted as such, with the exception when modifications have occurred (e.g. <b>Title deed</b> ( <i>extras de carte funciară / tulajdoni lap másolat</i> ) issued by the Land Registry, not older than 30 calendar days <sup>2</sup> , of each real estate (land and / or building) affected by the investment is attached)						
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"/>	

<sup>1</sup> 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.

<sup>2</sup> In case the submission deadline is extended, for the applications already submitted at the time of extension, the documents will not be renewed until pre-contracting.

No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
A.2	Application Form is correctly filled in.	All applicable sections of the Application Form are correctly filled in (no missing <sup>3</sup> information).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.3	Where the case, the provided templates <sup>4</sup> 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 <b>pre-agreement</b> signed among participating partners <sup>5</sup> .	Annex V.1 To be provided in EN language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.5	<b>Project (Lead) Applicant Declaration<sup>6</sup>/Associated Partners Declaration (if the case)</b> 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	<b>Copies of the establishing documents</b> of the Applicants/Associated Partners <sup>7</sup> are included: Articles of Association, Statutes, Deed of foundation, establishing resolution law, or equivalent documents	<b>Exception:</b> public institutions, authorities do NOT need to submit this document!	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<sup>3</sup> 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.

<sup>4</sup> The applications are not to be rejected based on not using the provided templates, but clarification/completion is to be requested

<sup>5</sup> Stipulating the partners' commitment to develop and submit the complete project documentation

<sup>6</sup> Stipulating that all eligibility criteria are properly complied with; to be submitted for Lead Applicant and all Applicants/Associated Partners (if the case) also.

<sup>7</sup> To be submitted for Lead Applicant and all Project Applicants/Associated Partners (if the case) also.

No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
	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 <sup>8</sup> .	With regard to Churches in Hungary: In case the religious organization is listed in the register kept by the Minister of Human Capacities ( <a href="http://egyhazi.emmi.gov.hu/">http://egyhazi.emmi.gov.hu/</a> ), the extract issued by the Minister must be attached. In case the Church is not listed in the register, official confirmation issued by the Main Church must be attached. To be provided in RO/HU language.				
A.7	<b>The official statement<sup>9</sup></b> 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. If the document is not submitted until the submission deadline, it shall be the subject of completion and the document can be produced and dated even in the completion phase. If the document is not submitted in the completion phase due to time limitation the project can go further with the assessment process	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"/>	

<sup>8</sup> Please see GfA, section 2.2.1.1 Eligibility of applicants

<sup>9</sup> To be submitted for Lead Applicant and all Project Applicants also.

No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
	and even be selected by the Monitoring Committee, under the condition that the applicant will submit the document in the pre-contracting phase.					
A.8.	<p><b>Compliance letters<sup>10</sup></b>, 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.</p> <p>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. In particular cases of areas where County Councils/Ministries – as applicants - are the only competent authority, they may issue the relevant Compliance Letter, as such (e.g. county roads infrastructure).</p>	<p>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, Prime Minister's Office - etc.</p> <p>Annex V.2 To be provided in EN language.</p>				

<sup>10</sup> 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 <sup>1</sup>
A.9	<b>Extracts of relevant strategies</b> 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: <b>Justifying document</b> <sup>11</sup> stating the method of representation (according to the national legislation). In case of Hungarian applicants: <b>Original specimen of signature</b> , 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	<b>Letter of empowerment:</b> For RO applicants: signed and stamped (if the case, according to the legislation in force) by the legal representative of the applicant institution For HU applicants: Certified by a public notary in original language	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 <b>job descriptions</b> for all positions included in the proposed management team AND/OR the <b>Terms of references</b> , in case the management is externalized <sup>12</sup> are included;	The tasks / requirements will be proportionate with the complexity of the project. To be provided in EN language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<sup>11</sup> Minister Order, Local/County Council, Board of Directors Decision, etc

<sup>12</sup> 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 <sup>1</sup>
A.13	<p><u>In case of Romanian Applicants:</u> Urban planning certificate (<b>certificat de urbanism</b>) is attached.</p> <p><u>In case of Hungarian Applicants:</u> <b>Preliminary declaration of construction works</b> is attached.</p> <p>If the document is not submitted until the submission deadline, it shall be the subject of completion and the document can be produced and dated even in the completion phase. If the document is not submitted in the completion phase due to time limitation the project can go further with the assessment process and even be selected by the Monitoring Committee, under the condition that the applicant will submit the document in the pre-contracting phase.</p>	Annex V.8, for Hungarian Applicants To be provided in RO/HU language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.14	<p><b>Title deed</b> (<i>extras de carte funciară / tulajdoni lap másolat</i>) issued by the Land Registry, not older than 30 calendar days<sup>13</sup>, of each real estate (land and / or building) affected by the investment is attached.</p> <p>In case the land and / or building is in concession / administration, etc it must be proved that the duration of the concession / administration of the land and / or building is based on a <b>long term contract/enactment</b> (i.e. <b>min. 5 years after the</b></p>	<p>Exceptions: title deeds for road construction where land acquisition (purchase/expropriation) deems necessary, in case they are not yet available due to non-completion of the acquisition procedures. See Criterion A.16.</p> <p>To be provided in RO/HU language.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<sup>13</sup> In case the submission deadline is extended, for the applications already submitted at the time of extension, the documents will not be renewed until pre-contracting

No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
	<p><b>estimated month for the financial closure of the project)</b> and that the <b>owner of the real estate</b> has given his <b>written agreement (no standard format)</b> that the applicant is free to perform the investment.</p> <p>If the document is not submitted until the submission deadline, it shall be the subject of completion and the document can be produced and dated even in the completion phase. If the document is not submitted in the completion phase due to time limitation the project can go further with the assessment process and even be selected by the Monitoring Committee, under the condition that the applicant will submit the document in the pre-contracting phase.</p>					
A.15	<p><b>Declaration from the land and / or building/ item of infrastructure owner</b> 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.</p> <p>If the document is not submitted until the submission deadline, it shall be the subject of completion and the document can be produced and dated even in the completion phase. If the document is not submitted in the completion phase due to time limitation the project can go further with the assessment process and even be selected by the Monitoring Committee,</p>	<p>Exceptions for purchase/ expropriation, in case of roads, as described above, under A.13</p> <p>To be provided in RO/HU language.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
	under the condition that the applicant will submit the document in the pre-contracting phase.					
A.16	<p>At least the <b>administrative act</b> 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)</p> <p>If the document is not submitted until the submission deadline, it shall be the subject of completion and the document can be produced and dated even in the completion phase. If the document is not submitted in the completion phase due to time limitation the project can go further with the assessment process and even be selected by the Monitoring Committee, under the condition that the applicant will submit the document in the pre-contracting phase.</p>	<p>In case of road infrastructure. To be provided in RO/HU language.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.17	<b>Affidavit</b> regarding the land acquisition (purchase / expropriation) process	<p>Annex V.9</p> <p>Only in case the road infrastructure involves purchase / expropriations of land.</p> <p>The document will state that purchase /</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
		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 fail. To be provided in EN language.				
A.18	Copy of the prior <b>bilateral agreement</b> 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 <b>bilateral agreement</b> , 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 <b>total project estimated budget</b> is attached.	Annex V.4 To be provided in EN language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A.21	<b>Programme output indicators - project</b>	Annex V.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
	<b>commitment</b> is attached.	To be provided in EN language.				
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 <sup>14</sup> , 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>B. Eligibility criteria</b>						
B.1	The Lead Applicant is Romanian or Hungarian public body.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.2	The Applicants (other than Lead Applicant)/Associated Partners <sup>15</sup> 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 <sup>16</sup> has legal competencies the project relevant field <sup>17</sup> .	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,	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<sup>14</sup> Ministry Order 3427/2012

<sup>15</sup> 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.

<sup>16</sup> Idem footnote 8 above.

<sup>17</sup> The criterion applies to all Applicants/Associated Partners.

No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
		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.				
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) 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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B.5	The Associated Partner <sup>18</sup> 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"/>	

<sup>18</sup> 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 <sup>1</sup>
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"/>	
B.10	The full project implementation period 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 <sup>19</sup> 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 information provided states a level of proportionality of at least 40% between the contribution to the programme' output indicators and the necessary financial resources	To be analysed: Application Form – Project summary/Workplan and Project budget; Annex V.4 (estimated total budget of the project (CN+FA)) Proposals demonstrating a level of proportionality lower than 40% shall	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<sup>19</sup> In case an Associated Partner fails to comply with the eligibility rules of the present Call for proposals, the project can be approved by the Monitoring Committee under the condition that the respective associated partner is eliminated as such.

No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
		not be further assessed, and may not be recommended for support				
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 <sup>20</sup> 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). Minor deviations, not having significant impact on the project's budget are accepted if they occur due to material errors (ie. rounding)	Concept Note budget.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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). Minor deviations, not having significant impact on the project's budget are accepted <sup>21</sup> if they occur due to material errors (ie. rounding)	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"/>	

<sup>20</sup> 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

<sup>21</sup> The project will be accepted for the quality assessment phase, conditioned by necessary budget-cuts

No.	Criteria	Description	Yes	No	NA	Comments <sup>1</sup>
	Minor deviations, not having significant impact on the project's budget are accepted if they occur due to material errors (ie. rounding)					
B.18	The total estimated budget of the project (CN+FA) is between the limits set in the GfA Minor deviations, not having significant impact on the project's budget are accepted if they occur due to material errors (ie. rounding)	Concept Note Budget Annex V.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>The project proposal is formally compliant.</b>			<input type="checkbox"/> <sup>22</sup>	<input type="checkbox"/>		
<b>Recommendations:</b>						

<sup>22</sup> Conditioned by the formulated recommendations (if any).