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**Contracting authority:** European Commission

**Cross-border programme Kosovo\* – North Macedonia under IPA II 2019 and 2020**

**Annex A.1 – Grant application form - Concept note**

Budget line(s): BGUE-B2019-22.020401-C1-NEAR DELKOS

BGUE-B2020-22.020401-C1-NEAR DELKOS

Reference: **EuropeAid/175008/DD/ACT/XK**

Deadline for submission[[1]](#footnote-1) of concept notes:

20/09/2022 at 12:00 (Brussels date and time)

(in order to convert to local time click [here](http://www.timeanddate.com/worldclock/converter.html)[[2]](#footnote-2))

|  |  |  |
| --- | --- | --- |
| Number & title of specific objective |  | |
| Title of the action: |  | |
| Number(s) & title(s) of the expected results of the call[[3]](#footnote-3): | <…> | |
| Does the operation include the execution of works? (tick the right answer) | Yes 🞎 | No 🞎 |
| The following CBC criteria are met by this operation (tick the right ones)[[4]](#footnote-4): | Joint development 🞎  (mandatory) | Joint implementation 🞎  (mandatory) |
| Joint staffing 🞎  (optional) | Joint financing 🞎  (optional) |
| Location(s) of the action: | *<*specify country(ies), region(s), area(s), municipality(ies) or town(s) whose population will benefit from the action*>* | |
| Name of the lead applicant: | <…> | |
| Nationality of the lead applicant[[5]](#footnote-5): | <…> | |

|  |  |
| --- | --- |
| Dossier No |  |
| (for official use only) | |

**NOTICE**

If processing your reply to the call for proposals involves the recording and processing of personal data (such as names, contact details and CVs), they will be processed[[6]](#footnote-6) solely for the purposes of the management and monitoring of the calls for proposals and of the contract by the data controller without prejudice to possible transmission to the bodies in charge of monitoring or inspection tasks in application of EU law. In addition, as the contract relates to an external action in Partner Countries outside the EU and as the EU, represented by the European Commission, is acting as contracting authority on behalf and for the benefit of the Partner Countries, transmission of personal data may occur to the Partner Country, solely for the purpose of complying with its obligations under the applicable legislative framework and under the financing agreement concluded between the EU and the Partner Country with regard to this grant award procedure.

Details concerning processing of your personal data are available on the privacy statement at

<http://ec.europa.eu/europeaid/prag/annexes.do?chapterTitleCode=A> [[7]](#footnote-7)

In cases where you are processing personal data in the context of participation to a grant award procedure (e.g., contact details of legal representatives of co-applicants, CVs) and/or of the implementation of a contract you shall accordingly inform the data subjects of the details of the processing and communicate the above mentioned privacy statement to them.

The controller of call for tenders is the head of contracts and finance unit R4 of DG Neighbourhood and Enlargement Negotiations.

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## 1 CONCEPT NOTE

* 1. Summary of the action

|  |  |
| --- | --- |
| **Objectives of the action** | <*Overall objective(s) (i.e., Impact)*>  <*Specific objective(s) (i.e., Outcome(s))*> |
| **Target group(s)[[8]](#footnote-8)** |  |
| **Final beneficiaries[[9]](#footnote-9)** |  |
| **Expected outputs (please number them in relation to the specific objectives of the action)** |  |
| **Main activities (please number them in relation to the estimated outputs of the action)** |  |

* 1. Description of the action

(**maximum 3 pages** covering all the 7 points in the instructions)

<insert text here>

* 1. Relevance of the action

**(maximum 5 or 6 pages, if there are works)**

1.3.1. Relevance to the thematic priorities/specific objectives of the call for proposals

<insert text here>

1.3.2. Relevance to the particular needs and constraints of the programme eligible area and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)

<insert text here>

1.3.3. Describe and define the target groups and final beneficiaries, their needs and constraints, and state how the action will address these needs

<insert text here>

1.3.4. Particular added-value elements

<insert text here>

## 2 DECLARATION BY THE LEAD APPLICANT

**The lead applicant, represented by the undersigned, being the authorised signatory of the lead applicant, and in the context of the present application, representing any co-applicant(s) and affiliated entity(ies) in the proposed action, hereby declares that:**

1. the lead applicant has the sources of financing and professional competence and qualifications specified in Section 2 of the guidelines for applicants;
2. the lead applicant undertakes to comply with the obligations foreseen in the affiliated entities' statement of the grant application form and with the principles of good partnership practice;
3. the lead applicant is directly responsible for the preparation, management and implementation of the action with the co-applicant(s) and affiliated entity(ies), if any, and is not acting as an intermediary;
4. the lead applicant is able to provide proof of consent of the co-applicants and affiliated entities to be included in the present application;
5. the lead applicant, the co-applicant(s) and the affiliated entity(ies) are not in any of the situations excluding them from participating in contracts which are listed in Section 2.6.10.1. of the practical guide (available from the following Internet address: <http://ec.europa.eu/europeaid/prag/document.do?locale=en>.
6. the lead applicant and each co-applicant and affiliated entity are in a position to deliver immediately, upon request, the supporting documents stipulated under Section 2.4 of the guidelines for applicants;
7. the lead applicant and each co-applicant and affiliated entity accept that the contracting authority could share their contact data for research purposes with staff of the joint technical secretariats of the programme under which they submitted an application;
8. **the lead applicant and each co-applicant(s) and affiliated entity(ies) (if any) are eligible in accordance with the criteria set out under Sections 2.1.1 and 2.1.2 of the guidelines for applicants;**
9. if recommended to be awarded a grant, the lead applicant, the co-applicant(s) and the affiliated entity(ies) accept the contractual conditions as laid down in the standard grant contract annexed to the guidelines for applicants (Annex G) (or the Contribution Agreement where the lead applicant is an organisation whose pillars have been positively assessed by the European Commission);

We acknowledge that if we participate in spite of being in any of the situations listed in Section 2.6.10..1 of the practical guide or if the declarations or information provided prove to be false we may be subject to rejection from this procedure and to administrative sanctions in the form of exclusion and financial penalties up to 10 % of the total estimated value of the grant being awarded and that this information may be published on the Commission website in accordance with the Financial Regulation in force. We are aware that, for the purposes of safeguarding the EU’s financial interests, our personal data may be transferred to internal audit services, to the early detection and exclusion system, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.

Signed on behalf of the lead applicant

|  |  |
| --- | --- |
| **Name** |  |
| **Signature** |  |
| **Position** |  |
| **Date** |  |

**[Please delete the instructions below before submitting your concept note]**

## INSTRUCTIONS FOR DRAFTING THE CONCEPT NOTE

The lead applicant must ensure that the concept note:

* includes Pages 1 and 2 of this document, filled in and submitted as a cover page of the concept note;
* includes the table of the summary of the action (without any limitation of size);
* includes the description of the action (not exceeding 3 pages) and the relevance of the action (not exceeding 5 or 6 pages), the format for both documents being A4 size with 2 cm margins, Arial 10 font characters and single line spacing;
* provides the information requested under the headings below, in the order requested, and in proportion to its relative importance (see the relevant scores in the evaluation grid in the guidelines for applicants);
* provides full information (as the evaluation will be based solely on the information provided);
* is drafted as clearly as possible to facilitate the evaluation process.
  1. Summary of the action
  2. Description of the action: (max 3 pages)

Give the background to the preparation of the action, in particular on the sector/country/regional context (including key challenges). Mention any specific analysis/study carried out to inform the design (context analysis)

Explain the objectives of the action given in the table in Section 1.1.

Describe the key stakeholder groups, their attitudes towards the action and any consultations held.

Briefly outline intervention logic underpinning the Action, indicating the expected outputs, outcome(s) and impact as well as underlying the main risks and assumptions towards their achievement.

Briefly outline the type of activities proposed, including a description of linkages/relationships between activity clusters

Explain how the action will mainstream relevant cross-cutting issues such as promotion of minorities and human rights[[10]](#footnote-10), gender equality[[11]](#footnote-11) and equal opportunities, democracy, good governance, support to youth, children’s rights and environmental sustainability[[12]](#footnote-12).

Outline the broad timeframe of the action and describe any specific factor taken into account.

* 1. Relevance of the action (max 5 or 6 pages, if there are works)
     1. Relevance to the thematic priorities / specific objectives of the call for proposals

Please provide **all** the following information:

1. Describe and justify the relevance of the action to the thematic priorities/specific objective(s) of the call for proposals (see Section 1.2 and 2.1.4 of the guidelines). Please mind that you are expected to spell out the overall and specific objective(-s) of your concept note and to explain how they comply with and contribute to the achievement of your selected specific objective of the call. The link should be as much clearly described as possible. Simple, one-sentence statements, such as ‘the overall objective of our project will contribute in high degree to the achievement of the programme specific objective’ is insufficient.
2. Describe the relevance of the action to any specific requirements stated in the guidelines for applicants, e.g., local ownership, programme indicators, etc (see Section 2.1.4 of the guidelines).
3. Describe which of the expected results referred to in the guidelines for applicants will be addressed.
4. Explain which of the following cross-border cooperation criteria are fulfilled (minimum three): joint development, joint implementation and either joint staffing or joint financing, or both. Please give a brief justification on how the cross-border criteria will be respected. Avoid using simple sentences such as ‘the application was developed by all project partners’. You are advised to be more convincing by describing what has been the exact role of each partner organisation in the project development. The same recommendation refers to the other cross-border cooperation criteria.
5. Explain how the proposed action is going to contribute to intensifying neighbourly relations, creating sustainable partnerships for socio-economic development and/or the removal of obstacles to this development, as well as how you will measure or demonstrate this once the action will be implemented.
   * 1. Relevance to the particular needs and constraints of the programme eligible area and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)

Please provide **all** the following information:

1. State clearly the specific pre-project situation in the target eligible area and/or sectors (include quantified data analysis, that is socio-economic statistics where possible).
2. Provide a detailed analysis of the problems to be addressed by the action and how they are interrelated at all levels.
3. Refer to any significant plans undertaken at national, regional and/or local level relevant to the action and describe how the action will relate to such plans.
4. Where the action is the continuation of a previous action, clearly indicate how it is intended to build on the activities/results of this previous action; refer to the main conclusions and recommendations of any evaluations carried out.
5. Where the action is part of a larger programme, clearly explain how it fits or is coordinated with that programme or any other planned project. Specify the potential synergies with other initiatives, in particular by the European Commission.
6. Explain the complementarity with other initiatives supported by the EU and by other donors (Member States & others). For instance, where appropriate, describe and justify the relevance of the action to the objectives of any of the EU Strategies for the Danube Region or the Adriatic and Ionian Region (see the evaluation grid for step 1 in the guidelines). Please note that you are expected to spell out the overall and specific objectives of your concept note and to explain how they comply with and contribute to the achievement of the specific objectives of any of the two EU macro-strategies. The link should be as much clearly described as possible. Simple, one-sentence statements, such as ‘the overall objective of our project will contribute in high degree to the achievement of the objective X of the EU macro-strategy’ are not acceptable.
   * 1. Describe and define the target groups and final beneficiaries, their needs and constraints, and state how the action will address these needs

Please provide **all** the following information:

1. Give a description of each of the target groups and final beneficiaries (quantified where possible), including selection criteria.
2. Identify the needs and constraints (including capacity constraints) of each of the target groups and final beneficiaries.
3. Demonstrate the relevance of the proposal to the needs and constraints of the target groups and final beneficiaries.
4. Explain any participatory process ensuring participation by the target groups and final beneficiaries.
   * 1. Particular added-value elements

Indicate any specific added-value elements of the action, e.g. the promotion or consolidation of public-private partnerships, innovation and best practice.

* 1. Lead applicant, co-applicants and affiliated entities, if any

Any change in the addresses, phone numbers, fax numbers or e-mail, must be notified in writing to the contracting authority. The contracting authority will not be held responsible in the event that it cannot contact an applicant.

**[Please delete the checklist below before submitting your concept note]**

**Checklist for self-guidance**

**EuropeAid/175008/DD/ACT/XK**

*(To be filled in by the lead applicant only for self-guidance purposes)*

|  |  |  |  |
| --- | --- | --- | --- |
| **Title of the Proposal:** |  |  |  |
| **Before sending your concept note**  **check that each of the criteria below have been met in full:** | **Yes** | **No** | **N/A** |
| 1. The correct grant application form has been used. |  |  |  |
| 2. The Instructions for the concept note have been followed. |  |  |  |
| 3. The proposal is typed and is written in an eligible language for this call. (Where more than one language is allowed, the proposal is drafted in the language most commonly used by the target population in the country in which the action takes place.) |  |  |  |
| 4. An electronic version of the concept note (CD-ROM) is enclosed (Please write ‘Not applicable’ (N/A) if you are applying via PROSPECT). |  |  |  |
| 5. One original and the number of copy(ies) foreseen in section 2.2 of the guidelines are included (Please write ‘Not applicable’ (N/A) if you are applying via PROSPECT) |  |  |  |
| 6. The Declaration by the applicant has been filled in and has been signed. |  |  |  |
| 7. The action will be implemented in an eligible country(ies). |  |  |  |
| 8. The action will be implemented in the minimum number of countries required (If a minimum number of countries is not mandatory: Please write ‘Not applicable’ (N/A)) |  |  |  |
| 9. The duration of the action is equal to or higher than the minimum allowed in section 2.1.3 of the guidelines. |  |  |  |
| 10. The duration of the action is equal to or lower than the maximum allowed in section 2.1.3 of the guidelines. |  |  |  |
| 11. The requested EU contribution (amount) is equal to or higher than the minimum allowed in section 1.3 of the guidelines. |  |  |  |
| 12. The requested EU contribution (amount) is equal to or lower than the maximum allowed in section 1.3 of the guidelines. |  |  |  |

1. Online submission via PROSPECT is mandatory for this call for proposals (see section 2.2.2 of the guidelines). In PROSPECT all dates and times are expressed in Brussels time. Applicants should note that the IT support is open from Monday to Friday 08:30 to 18:30 Brussels time (except during European Commission public holidays in Belgium as published in the Official Journal). [↑](#footnote-ref-1)
2. An example of a time converter tool available online: <http://www.timeanddate.com/worldclock/converter.html> [↑](#footnote-ref-2)
3. Please note that the selection of up to two results under the same specific objective could be possible. [↑](#footnote-ref-3)
4. A genuine CBC operation must have both mandatory criteria plus at least one of the two optional criteria. [↑](#footnote-ref-4)
5. The nationality is to be determined on the basis of the organisation’s statutes and the registration certificate, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. The effective establishment of applicants should be proved not only with the statutes but with the registration certificate. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a ‘Memorandum of Understanding’ has been concluded. [↑](#footnote-ref-5)
6. Pursuant to Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC, OJ L 205 of 21.11.2018, p. 39. [↑](#footnote-ref-6)
7. This link will lead you to the "EuropeAid privacy statement" published in the Practical Guide General Annexes (see Annexe A13). [↑](#footnote-ref-7)
8. **Target groups** are groups/entities who will directly benefit from the action at the action purpose level. [↑](#footnote-ref-8)
9. **Final beneficiaries** are those who will benefit from the action in the long term at the level of the society or sector at large. [↑](#footnote-ref-9)
10. Including those of people with disabilities. For more information, see ‘Guidance note on disability and development’ at<https://ec.europa.eu/europeaid/disability-inclusive-development-cooperation-guidance-note-eu-staff_en> [↑](#footnote-ref-10)
11. See Guidance on Gender equality at <https://ec.europa.eu/europeaid/toolkit-mainstreaming-gender-equality-ec-development-cooperation_en> [↑](#footnote-ref-11)
12. See Guidelines for environmental integration at <https://ec.europa.eu/europeaid/sectors/economic-growth/environment-and-green-economy/climate-change-and-environment_en> [↑](#footnote-ref-12)