Training of Potential Applicants

How to prepare a successful application under the 3rd CfP

12 and 13 January 2021, 10:00 hrs

ZOOM

Joint Technical Secretariat Struga
(Antenna Elbasan)

Objective of the training

Enhanced knowledge and skills of the participants

to design and formulate project proposals in accordance with guidelines for applicants issued by the EC

Results of the training

1. Training participants familiarized with terms of project, programme, grant scheme and contents of the application package

2. Increased knowledge of participants about basics of logical framework approach

3. Improved practical skills of participants to formulate logical framework matrix of a project

4. Enhanced ability of participants to complete relevant parts of the application form for concept note and full application stages, based on the logical framework matrix developed

How shall we proceed?

- Presentations
- Exercises ???
- Discussions
- Learning
- Socializing - online

Before we start…

Code of conduct

- Be active
- Be positive
- One person speaks at the moment the others are in MUTE status
- Respect the time

Please introduce yourself before you ask a question

- Name and organisation
- Experience in preparing project proposals
- Experience in project implementation
  - EU funded (Yes/No)
  - Other donors (Yes/No)

  > Searching CBC Partner

Getting started

Introduction to IPA Cross Border

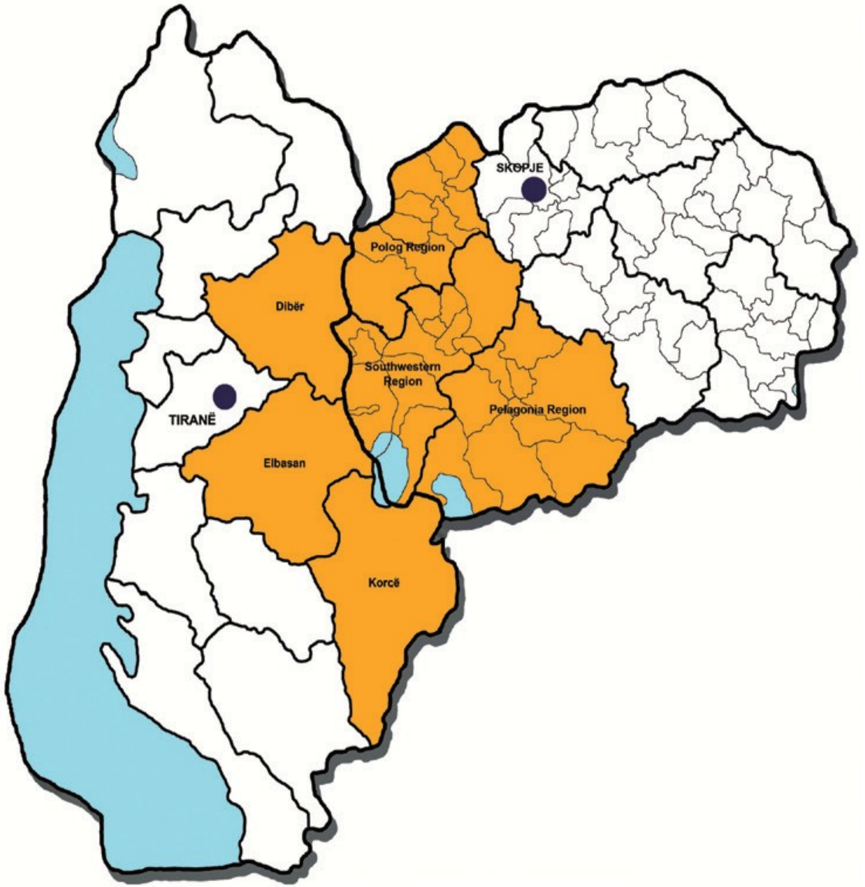
Cooperation Programme between

North Macedonia and Albania 2014 - 2020

Eligible Area size and number of inhabitants

Total cross border area = 19,969 km^2
MK 10,473 km^2 and AL 9,469 km^2
Total inhabitants in the cross-border area 1. 427. 675

Eligible areas indicated in the CBC Programme North Macedonia – Albania	
North Macedonia: Region of Pelagonia (includes 9 municipalities: Bitola, DemirHisar, Dolneni, Krivogastani, Krusevo, Mogila, Novaci, Prilep, and Resen) Region of Southwest (9 municipalities: CentarZupa, Debar, Debarca, Kicevo, MakedonskiBrod, Ohrid, Plasnica, Struga and Vevcani); Region of Polog (9 municipalities: Bogovinje, Brvenica, Gostivar, Jegunovce, Mavrovo and Rostusa, Tearce, Tetovo, Vrapciste and Zelino).	**Albania:** Region of Diber (includes 4 municipalities: Diber, Bulqizë, Mat, and Klos); Region of Elbasan (includes 7 municipalities: Elbasan, Cërrik, Gramsh, Librazhd, Peqin, Belsh and Prrenjas); Region of Korça (includes 6 municipalities: Korçë, Maliq, Pustec, Pogradec, Kolonjë and Devoll).



Objective of the CBC Programme

Overall Objective

Stimulate more balanced, inclusive and sustainable socio-economic development in the Border Area.

Specific objectives aimed to support:

- **Economic, social and territorial development with a view to a smart, sustainable and inclusive growth;**
- **Regional integration and territorial co-operation involving beneficiary countries.**

- **IPA II supports cross-border cooperation with a view to promoting good neighborly relations, fostering European Union integration and promoting socioeconomic development.**

CBC Definition

“**Joint implementation** and **financing** of activities by the partners resulting in the **intensification of neighborly relations, sustainable** partnerships for **socio-economic development** and/or the **removal of obstacles to this development**”.

Thematic priorities

1. **Encouraging tourism, culture and natural heritage;**

2. **Enhancing competitiveness, business, trade and investment;**

3. **Protecting environment, promoting climate change adaptation and mitigation, risk prevention and management ;**

4. **Technical Assistance.**

Target Groups

- Local and regional government units;
- Centres for Development of Planning Regions;
- Tourist service providers, Hospitality industry operators (SMEs);
- NGOs, CSOs;
- National parks;
- Chambers of commerce/crafts, Business member organisations, Associations of SMEs, their clusters, groups and networks;
- Other formal and non-formal educational and training institutions, Primary, secondary and tertiary education and research institutions, VET educational institutions, RDI organisations;
- Cultural institutions (museums, libraries, etc.);
- Public enterprises (owned in 50%+ by public bodies); – in case of development of cross-border markets and trade facilities (including fresh produce markets);
- Public utility companies;
- Farmers organisations;
- Associations of CBC residents, especially in rural areas;
- National and regional centres for disaster, management and monitoring.

What is Call for Proposals

- Competitive procedure for receiving a grant
- First step of a "Grant Scheme"
- Grant Scheme is a mechanism of EU support to projects of small and medium size on local and regional level
- Grant scheme is a part of a larger "programme" e.g. CBC Programme North Macedonia – Albania

What is Call for Proposals

General rules of grant schemes

- Widely publicized
- Equal opportunities for all applicants
- Criteria, rules and obligations of applicants defined in advance
- Evaluation criteria defined in advance
- Selection and award criteria defined in advance
- Everything described in the "Guidelines for Applicants"

What is Call for Proposals

Launching calls for proposals

There are 2 types of procedures applicable for calls for proposals:
- Restricted procedure (default) – **two-step procedure**: 1) concept notes and 2) full applications for pre-selected concept notes
- Open procedure – **one-step** procedure (both concept note and full application submitted). Still, evaluation is carried out in 2 steps: 1) concept note evaluation and 2) full application evaluation for concept notes that qualify.

Application package

-Set of documents defining the call for proposals (PRAG templates used):

- Guidelines for applicants
- Application form/s (including logical framework matrix and budget form)
- Other documents to be completed
- Documents for information (e.g. model contract with annexes, templates for the reports, other guides, instructions, information, etc.)

Definition of Grant (PRAG, Art. 6.1.1)

A grant is a financial donation/non-commercial payment by the contracting authority from the general budget of the European Union or the EDF given to a specific grant beneficiary to finance:

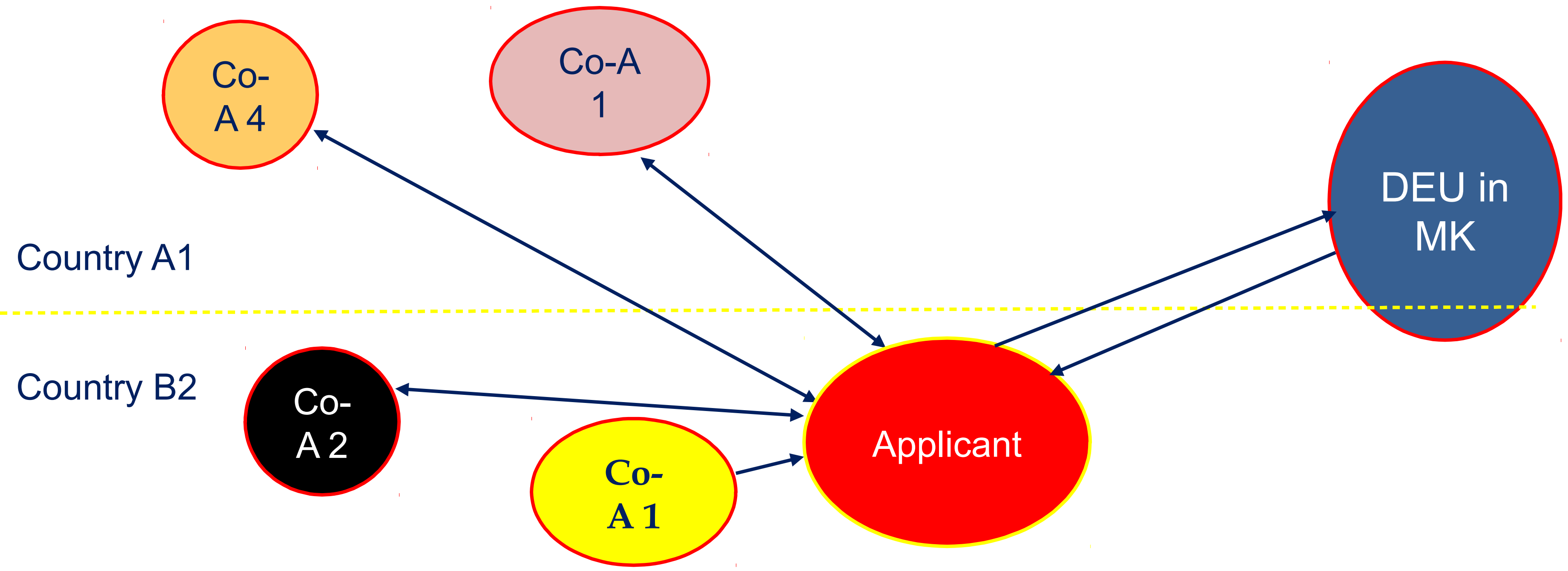
- **either an action intended to help achieve a European Union policy objective (action grant);**
- **or the operation of an entity that pursues an aim of general EU interest and supports a EU policy.**

Characteristics of a Grant Contract

- Role of the Beneficiary:
  - proposes the action
  - responsible for implementation
  - is “owner”
  - co-finances
- Action cannot give rise to profits; (profit not allowed)
- Number of awards

Partnerships

- The Applicant will submit application, sign the contract, receive the funds and be responsible for the reporting and the overall coordination of the activities on both side of the border.
- The Applicant must have at least one co-applicant from other side of the border.
- Total number of beneficiaries must not exceed 5 (five), including the Lead Applicant
- Each proposal must include at least one local authority (municipality in MK and municipality or District/Qark in Albania) as applicant or co-applicant per each country.


Co-
A 4
Co-A
1
DEU in
MK
Country A1
Country B2
Co-
A 2
Applicant
Co-
A 1

How to find appropriate partners

Terms of the partnership	Successful partnership
Common needs	Common goals
Commitment and trust	Cooperation and teamwork
Specific knowledge and expertise Resources (time, personnel, finance)	Spread of knowledge, experience

How to succeed

Create project together!

- ✓ Create a positive mission;
- ✓ Establish a strong management and leadership;
- ✓ Establish clear rules and procedures;
- ✓ Create a clear action plan;
- ✓ Recognize and respect for partners and staff;
- ✓ Solve administrative barriers;
- ✓ Turn on the community;
- ✓ Set realistic goals and expectations.

Methodology

- Actions implemented by local applicants;
- Actions that includes cross cutting areas, such as: gender equality, inclusion of minorities, inclusion of persons with disabilities, promotion of children's rights anti-discriminatory practices, protection of environment, involvement of the business community;

Methodology

- Foresee cooperation of the cross-border applicant and co-applicant(s) in either:
  - **joint staffing:** staff on both sides of the border act as one project team (e.g. some staffers carry out their duties for all entities in the partnership: procurement, financial management, overall coordination, training planning, etc.); or
  - joint financing: activities are financed by the applicant's and co-applicant(s)'s own budget;
- or both joint staffing and financing

3rd Call for Proposals: CBC Programme under the IPA II

Budget line(s): 22.020401

Reference: EuropeAid/170339/DD/ACT/MK

Deadline for submission of concept notes: 15.02.2021

Global Objective of the 3rd CfP:

To stimulate a balanced, inclusive and sustainable socio-economic development in the cross-border area.

3rd Call for Proposals: CBC Programme under the IPA II

- This is a restricted call for proposals. In the first instance, only concept notes (Annex A.1) must be submitted.
- To apply to this call for proposals organizations must register in PADOR and submit their application in PROSPECT (see Section 2.2.2 of the guidelines).
- Lead applicants who have been pre-selected will be invited to submit a full application.
- Eligibility check will be performed for those which have been provisionally selected (checked on the supporting documents requested by the contracting authority and the signed 'declaration by the lead applicant' sent together with the full application.

Guidelines for 3rd CfP

Rules of this Call for Proposals as for:

- Eligibility criteria
- How to apply and procedures to follow
- Evaluation and selection of applications
- Submission of supporting documents for provisionally selected proposals
- Notification of the Contracting Authority’s decision
- Conditions for implementing after the CA decision to award a grant.

Guidelines for 3rd CfP
Section 3: List of Annexes

- Annex A: Grant Application Form (Word format)
  - A.1. Concept note
  - A.2. Grant Application Form
- Annex B: Budget (Excel format)
- Annex C: Logical Framework (Word format)
- Annex D: Legal Entity Sheet
- Annex E: Financial Identification Form
- Annex F: PADDOR off Line form
- Etc.

Thematic priorities

All three (3) thematic priorities are covered with this Call, as per decision of the Joint Monitoring Committee,

ρ Priority 1: **Encouraging tourism, culture and natural heritage.**

ρ Priority 2: **Enhancing competitiveness, business, trade and investment.**

ρ Priority 3: **Protecting environment, promoting climate change adaptation and mitigation, risk prevention and management.**

Thematic priorities

SPECIFIC OBJECTIVES	RESULTS
1. To develop the potential of tourism by promoting cultural heritage and values	1.1.1. Business opportunities for local service providers and operators in the field of tourism are increased.
	1.1.2. Mutual cooperation, understanding and respect of cultural heritage and values are furthered.
2.1. To strengthen the SME productive capacity and access to markets	2.1.1. The SMEs and start-ups awareness and capacity to tap into new markets and value chains are enhanced
3.1. To enhance the awareness of a greener economy, cleaner environment and climate change	3.1.1. Awareness and knowledge of sustainable use of natural resources and environment is fostered. 3.1.2 Public infrastructure vulnerable to floods, soil erosion and wildfire is upgraded.

Any projects that contribute to achieving the overall objective within the listed thematic priorities will be eligible under this Call. Although the proposed project may address issues from more than one priority, it must clearly belong only to one of the priorities enumerated in the present Call for Proposals. Project results must be indisputably inscribed within this priority.

Eligible actions

Types of activities

- Indicative types of activities which may be financed under this call for proposals are given in section 2.1.4 of the Guidelines one page 14 and 15.
- Please consider those but be innovative with others which can clearly contribute to the achievement of the call's specific objectives and results.
- **The following list is not exhaustive**.

Activities related to the specific objectives & results

Result 1.1.1 Business opportunities for local service providers and operators in the field of tourism are increased:

- Design, development and promotion of joint tourism products and services and small scale investment for building or upgrading in public tourism infrastructure (walking paths, cycle routes, equipping visitors' centres, information points, networking tourism centres).
- Training, branding of regional products, marketing and facilitation of the business contacts, networking, partnerships
- Development of activities designed to support cooperation between SMEs, education and research & development organisations for improving business technology and support food supply chains.

Activities related to the specific objectives & results

Result 1.1.2 Mutual co-operation, understanding and respect of cultural heritage and values are furthered:

- Restoration/preservation, cleaning and maintenance of cultural and historical sites and associated built environment.
- Development of basic infrastructures for artistic and linguistic heritage

Activities related to the specific objectives & results

Result 2.1.1 The SMEs and start-ups awareness and capacity to tap into new markets and value chains are enhanced:

- Support to SMEs and start-ups as well as investment in small-scale cross-border market and trading facilities.
- Establishment of networks and associations for the purpose of joint entrepreneurial activity as well as know-how transfer of knowledge and skills of people in entrepreneurship, new technologies, marketing, promotion.
- Activities designed to support SMEs, education and research & development organisations for improving business innovativeness and technology and mutual cooperation.
- Supporting joint initiatives for establishing cross-border clusters (e.g. multi-media, ICT, food processing, electronics, biotechnology)
- Support/Stimulate use of ICT in manufacturing, for the marketing & management of SMEs.

Activities related to the specific objectives & results

Result 3.1.1 Awareness and knowledge of sustainable use of natural resources and environment is fostered:

- Promoting and supporting sustainable use of natural resources and environment as well as cooperation between bodies and organisations involved in environmental protection and management of protected sites
- Support to integrated protection and management of sensitive ecosystems and proper use of surface waters; Support the development of integrated environmental monitoring systems
- Actions designed to reduce the negative effects on environment and encourage environmentally-friendly economic activities
- Preparation of feasibility studies and other technical documentation for large-scale infrastructure interventions in environmental issues, to be financed by sources other than the cross-border programme
- Architecture and urban planning studies, Environmental impact assessment studies, Environmental strategic impact assessment studies
- Preserving, developing and restoring national parks and protected sites, flora, fauna, etc.

Activities related to the specific objectives & results

Result 3.1.2 Public infrastructure vulnerable to floods, soil erosion and wildfire is upgraded :

- Joint risk management activities (risk assessment, development of measures (including relevant infrastructure and equipment) for fire prevention, flooding, pollution, management and coordination, etc.)
- Demonstration projects of cross border relevance (implementation of measures, purchase of equipment, establishment of joint emergency centres, refurbishment of existing emergency centres etc.)
- Common capacity building (training on preparedness, rescuing, awareness raising among specific target groups, prevention, etc.)

Financial Allocations & Size of Grant

TOTAL EUR **4,930,000** (EU contribution 2018, 2019 & 2020)

Minimum EU Contribution (€): EUR **400,000**
Maximum EU Contribution (€): EUR **800,000**

Minimum (%): **60 %** of estimated eligible costs
Maximum (%): **85%** of estimated eligible costs

NOTE: minimum required co-financing is **15%.**

Please note that for applicants effectively established in the Republic of North Macedonia, their Ministry of Local Self-government may provide as co-financing up to a maximum of the 15% of the total eligible costs of the action. Applicants established in the Republic of Albania shall cover by their own resources the co-financing amount.

Section 2.1: Eligibility criteria:

There are three sets of eligibility criteria, relating to:

- **The actors - eligibility of applicants** (lead applicant, co-applicant(s) an if any, affiliated entity(ies) to the applicant or co-applicant(s) ;
- **The action – eligible actions** (actions for which a grant may be awarded - types of activities, sectors, themes, geographical areas)
- **The costs - eligibility of cost** (types of costs that may be taken into account in setting the amount of the grant, which must be real costs, actually incurred)

Section 2.1: Eligibility criteria: Eligibility of Applicants

Lead applicant

- ✓be a legal person;
- ✓be non-profit-making;
- ✓be established in either the Republic of North Macedonia or Republic of Albania;
- ✓be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary;

Section 2.1: Eligibility criteria: Eligibility of Applicants

Lead applicant

✓ **be one of the following institutions or organizations:**

- Central, regional and local government units (ministries, municipalities, departments, agencies) and agencies for local or regional development,
- Civil society organizations, as well as professional associations, farmers associations, chambers of commerce, chambers of crafts and trades and SMEs and association of SMEs;
- National and regional centers for disaster management, national parks and monitoring and other organizations for nature protection;
- Formal and non-formal education and training institutions (e.g. primary schools, VET schools, Universities, etc.) including research centers;
- Cultural institutions such as museums, libraries, institutions for protection of cultural heritage, etc.
- Public enterprises as well as emergency services, such as fire/emergency services and organizations for nature protection

Each grant applications must include at least one local authority as applicant or co-applicant per country (one municipality in North Macedonia and one municipality or District/Qark in Albania).

Section 2.1: Eligibility criteria: Eligibility of Applicants

Eligibility of Applicants (lead applicant and co-applicant(s): Who may apply?

Within the "Declaration by the lead applicant" in the CN and FA, the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of the situations listed in Section 2.6.10.1 of the Practical guide.

Guidelines for CfP
Section 2.1: Eligibility criteria:

Co-applicants:

- Co-applicants must satisfy the eligibility criteria as applicable to the lead applicant himslef.
- The applicant must act with at least one co-applicant as specified hereafter.
- If the applicant is established in North Macedonia, at least one co-applicant must be established in Albania, and vice versa.
- The maximum number of co-applicants that could be involved in the action is 4.
- The lead applicant and co-applicant(s) must represent different legal entities.
- Co-applicants participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the lead applicant.
- Co-applicant(s) must sign the mandate in Section 5.2 of Annex A.2 ‘full application form’.

Guidelines for CfP - Eligibility criteria:

Affiliated Entities:

- **Affiliated Entities –** must satisfy the eligibility criteria applicable to the lead applicant and co-applicant(s)
- Legal entities together forming one legal entity, including where it is specifically established for the purpose of implementing the action. In this case, the resulting legal entity may apply as a single applicant or co-applicant
- Legal entities having a link with the applicant, notably a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation on the condition that they satisfy the eligibility and non-exclusion criteria of an applicant

Guidelines for CfP - Eligibility criteria:

Associates and Contractors

- Other organisations involved in the action but who may not receive funding from the grant with the exception of **per diem or travel costs**. Associates do not have to meet the eligibility criteria of the applicant and co-Applicant(s).

- **Contractors** are neither co-applicants nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract.

Eligibility of the Action

Location *(see more details in section 2.1.4 of GfA page 13)*

- Actions must take place in one or more of the following territorial units:

- For the Republic of North Macedonia:
  - Pelagonia Region: Bitola, Demir Hisar, Dolneni, Krivogastani, Krusevo, Mogila, Novaci, Prilep, and Resen;
  - Polog Region: Bogovinje, Brvenica, Gostivar, Jegunovce, Mavrovo and Rostusa, Tearce, Tetovo, Vrapciste and Zelino; and
  - South-West Region: Centar Zupa, Debar, Debarca, Kicevo, Makedonski Brod, Ohrid, Plasnica, Struga and Vevcani.

- For the Republic of Albania:
  - Elbasan Region: Elbasan, Cerrik, Gramsh, Librazhd, Peqin, Belsh and Prrenjas,
  - Korçë Region: Korcë, Maliq, Pustec, Pogradec, Kolonjë and Devoll
  - Dibër Region: Dibër, Bulqizë, Mat and Klos

Eligibility of the Action

Types of action:

- **An Action (or project) is composed of a <u>set of activities</u>**
- **Take place <u>in the specific programme area.</u>**
- **Have <u>cross-border impacts and benefits</u> in the programme area**
- **An action shall be prepared in accordance <u>with the 4 Js (Joint development, Joint implementation, Joint staffing and Joint financing).</u>**
- Briefly, following the joint development of an operation by at least two cross-border partners, **full cross-border cooperation would mean the joint implementation and financing of activities by the partners resulting in the intensification of neighbourly relations, sustainable partnerships for socio-economic development and/or the removal of obstacles to this development.**

Eligibility of the Action

Types of action:

- ✓ **Falling within at least one of the 3 priorities of the 3rd CfP;**
- ✓ **Clearly defined operational objectives;**
- ✓ **Coherent set of activities;**
- ✓ **Clear target groups and tangible outcomes**
- ✓ **Clear indicators as per Annex L**
- ✓ **Designed to meet the specific needs of the target groups**

Duration:

Not be lower than 24 months nor exceed 48 months

Eligibility of the Action

Ineligible actions: (section 2.1.4 of GfA page 14)

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, etc;
- actions concerned only or mainly with individual scholarships for studies or training courses or research;
- actions aimed at the upgrading of infrastructure and equipment in privately owned facilities;
- preparatory studies or preparation of preliminary design for works to be carried out within the project;
- actions without a real cross-border impact;
- actions linked to political parties;
- actions including commercial and profit-making activities;
- actions which fall within the general activities of competent state institutions or state administration services, LGUs;
- actions confined to charitable donations;
- actions covered and financed by other EU funded programmes.

Eligible actions

Types of activities

- Indicative types of activities which may be financed under this call for proposals are given in section 2.1.4 of the Guidelines one page 14 and 15.
- Please consider those but be innovative with others which can clearly contribute to the achievement of the call's specific objectives and results.
- **The following list is not exhaustive**.

Eligibility of the Action

Programme indicators:

- **Refer the programme's**
  - specific objective under which their action is meant to contribute, as well as the - programme's result(-s) affected by the action, and the
  - programme's indicators (Annex L) that will be instrumental to measure the action's success.
- **For the sake of consistency and aggregation, applicants must have the same units to quantify their output, outcome and impact indicators in line with the programme output, outcome and impact indicators.**
- **The use of these indicators for preparation of the logical framework (annex C) is mandatory.**
- **Exceptionally new indicators may be proposed and shall be duly justified in the project proposal.**

Indicators will be discussed and eventually agreed prior contract signature.

Eligibility of the Action

Financial support to third parties (sub-granting)

Applicants **may not** propose financial support to third parties. In other words, sub-granting is not allowed under this call for proposals.

Visibility

- The applicants must take all necessary steps to publicise the fact that the European Union has financed the action.
- Applicants must comply with the objectives and priorities and guarantee the visibility of the EU financing (see the 2018 Communication and Visibility Requirements for EU External Actions: http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en).

Number of applications and grants per applicants

- The lead applicant **may not submit more than 1 (one) application** under this Call for Proposals.
- The lead applicant **may not be awarded more than 1 (one) grant** under this Call for Proposals.
- The lead applicant **may not be a co-applicant or an affiliated entity** in another application at the same time.
- **NB. <u>Municipalities (or District/Qark in Albania)</u>can submit maximum 2 (two) applications, 1 (one) as Lead applicant and 1 (one) application as co-applicant. This also means that municipalities(or District/Qark in Albania) may be awarded with maximum 2 (two) grants (one as alead applicant and one as a co-applicant).**

Number of applications and grants per applicants

- A co-applicant/affiliated entity **may not** be the co-applicant or affiliated entity in more than 1 (one) application under this call for proposals.
- A co-applicant/affiliated entity **may not** be awarded more than 1 (one) grant under this call for proposals.
- **Applicant/s failing to comply with the above requirement for submission of applications may lead to rejection of all applications where they appear.**

Eligibility criteria for Costs

- Applicants' interest to provide a **realistic and cost-effective budget**.
- To be eligible under this call for proposals, **costs must comply with the provisions of Article 14 of the general conditions to the standard grant contract** (see Annex G of the guidelines).
- Actual costs incurred by the beneficiaries and affiliated entity(ies).
- One or more simplified cost options.
- For the purpose of this call, the Contracting Authority authorises the use of **simplified costs options only to the following budget sub-headings: 1.3 Per diems, 2.2. Local transportation and 4.0 Local Office.**

(see more information in section 2.1.5. in the Guidelines)

Eligibility criteria for Costs
Important NOTES

The action must include an investment component.

- **The total costs for the investment - purchase of goods, works, or services strictly related to the investment(e.g supervision of works) (budget headings 3 and 6) must amount to at least 60% of the subtotal direct eligible costs (budget heading 7).**

- **The total costs for human resources (Budget Heading 1), local office (Budget Heading 4) and the indirect costs (Budget Heading 8) must not exceed 30% of the subtotal direct eligible costs (Budget Heading 7).**

Eligibility criteria for Costs Important NOTES

- **Salary costs of the personnel of national, regional or local administrations, as well as those of other publicly owned or controlled institutions or enterprises,** may be eligible to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action or operation were not undertaken.

- **This personnel shall not receive for the engagement in the project activities any other remuneration than their standard, regular salaries in their respective institutions.**

- **The total sum of the salaries of this personnel shall not exceed the amount of co-financing provided by the applicant, co-applicant(s) and affiliated entity(ies).**

Eligibility criteria for Costs

Contingency reserve

The budget may include a contingency reserve not exceeding 5 % of the estimated direct eligible costs. It can only be used with the **prior written authorisation** of the contracting authority.

Eligible indirect costs

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding, but the total must not exceed 7 % of the estimated subtotal eligible direct costs (budget heading 7).

The lead applicant may be asked to justify the percentage requested before the grant contract is signed.

Eligibility criteria for Costs

Contributions in kind

- As contributions in kind do not involve any expenditure for beneficiaries or affiliated entities, **they are normally not eligible costs**.
- **Contributions in kind may not be treated as co-financing**.
- As an exception, contributions in kind may include personnel costs for the **work carried out by volunteers** under an action or work programme (which are eligible costs).
- Volunteers' work may comprise **up to 50 % of the co-financing**.

Eligibility criteria for Costs

Ineligible costs

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a EU grant;
- the purchase of land not built on and land built on in the amount of more than 10% of the total eligible expenditure of the operation if it is justified by the nature of the operation;
- currency exchange losses;
- credit to third parties;
- in kind contributions (except for volunteers' work);

Eligibility criteria for Costs

Ineligible costs

- salary costs of the personnel of national administrations, unless otherwise specified in the special conditions and only to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action were not undertaken;
- performance-based bonuses included in costs of staff;
- fines, financial penalties and expenses of litigation.
- consultant fees between the beneficiaries for services or work carried out within the project;
- remuneration of any kind for staff of any of the beneficiaries being hired as external experts or freelance consultants;
- taxes, customs and import duties and levies and/or charges having equivalent effect. Please see Article 28(1) of the IPA II framework agreement

EXERCISE

Discuss with your cross border partner/s

What do you think are the most important parts of the guidelines – and why?

What are major decisions to be made?

Plenary discussion of findings

The Logical Framework Approach (LFA)

Annex C - Logical framework

Why Logical Framework Approach (LFA) ?

- LFA is a methodology mainly used for designing, monitoring, and evaluating international development projects. (Objectives Oriented Project Planning (OOPP).

- **What are we trying to accomplish and way? (Objectives)**
- **How we will measure our success? (indicators)**
- **What other conditions must exist? (assumptions)**
- **How we will get there? (resources)**

Why Logical Framework Approach (LFA) ?

- **Shows the essence of the entire project in a table**
- **Provides understanding and better communication between all project stakeholders**
- **It is the standard for project design required by many donors (EU included)**

The Logical Framework Approach (LFA) Annex C - Logical framework

…is an analytical process and set of resources that are used to support the process of planning and project management.

LFA process includes stakeholder analysis and problem, goal setting and strategy selection, and

Logical Framework (Logical Framework Matrix -LFM) is documented product of the analytical process.

The Logical Framework (Logframe)

Logical Framework includes the key elements in the planning of the project:

- **The hierarchy of objectives (Project Description or Intervention Logic);**
- **Key externals factors that may endanger the success of the project (Risks / Assumptions); and**
- **And how will the results of the project be monitored and evaluated (Indicators and Sources of verification).**

Logical Framework

Overall objective	Indicators	Sources of Verification	
Specific objectives	Indicators	Sources of Verification	Assumptions
Results	Indicators	Sources of Verification	Assumptions
Activities	Means	Costs	Assumptions
			Preconditions

Project definition

The project is a series of activities which aim to bring about the fulfillment of clearly defined goals in a given time frame with precisely defined budget.

Project must have a …

- Clearly identified stakeholders, including the primary target group and end-users;
- Clearly defined coordination, management and financial procedures;
- The system for monitoring and evaluation (to make management easier) and,
- An adequate level of financial and economic analysis, which will show that the benefits of the project will be higher than the real costs

The steps in creating Logical Framework

1. Stakeholder Analysis
2. Problem Analysis
3. Analysis of objectives
4. The decision on the project
5. Development of intervention logic
6. Risk analysis and assumptions
7. Defining indicators of progress
8. Developing a budget and determine the timing and duration of the activity

Who are the stakeholders?

- **Definition 1: persons, groups or institutions interested in planning and change.**

- **Definition 2: all those whose interests will positively or negatively impact the planned intervention**

Step 1: Stakeholder Analysis - Why?

1. Recognize the key problem which will be addressed by the project
2. Identify groups that are interested in the project
3. Investigate their roles, interests, importance and capacities (strengths and weaknesses)
4. Identify degree of cooperation and conflicts between stakeholders

Step 1: Stakeholder Analysis - Why?

5. Formulate conclusions so that they will provide:
   - Appropriate division of resources
   - Organisation and coordination of stakeholders in a way that will promote their ownership of project results
   - Identifying conflicting interests and plan the project in a way that will help solving them
   - Taking care of the cross-cutting issues

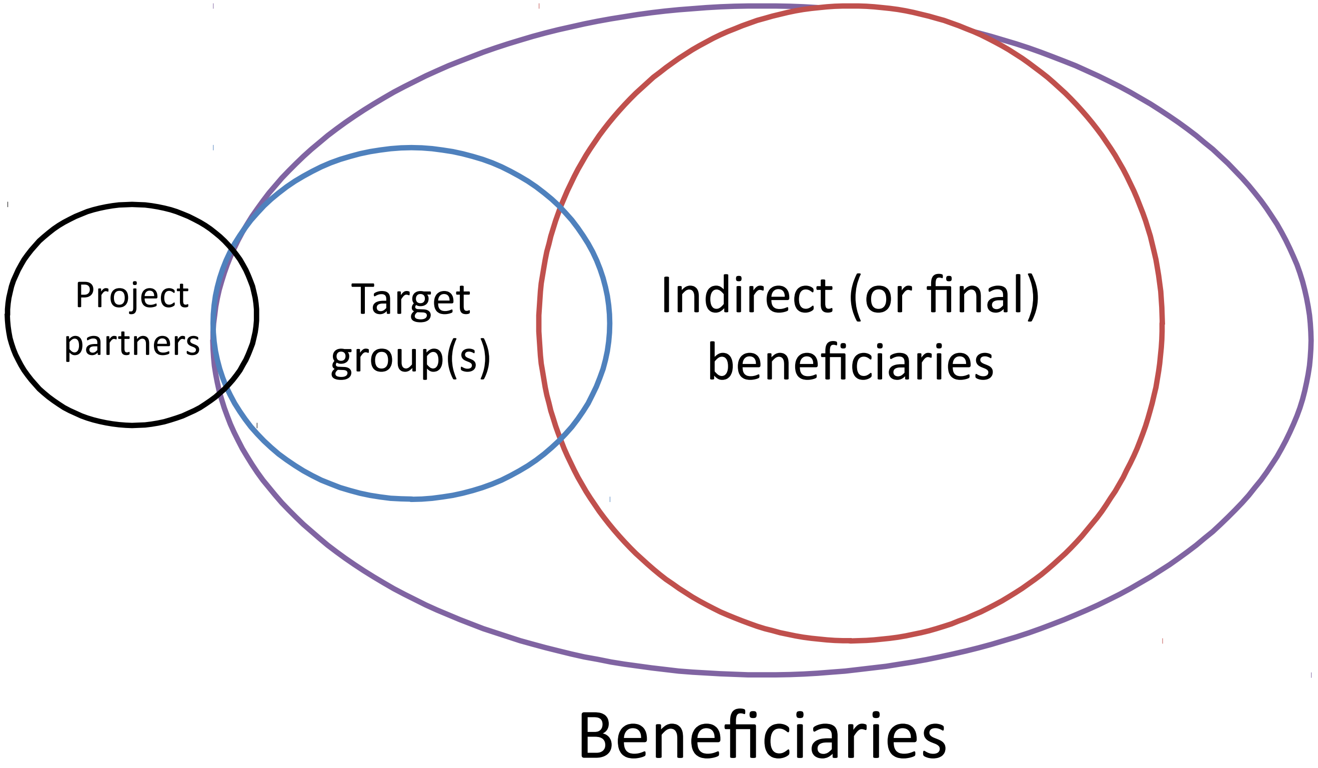
Step 1: Stakeholder Analysis - Why?

- **What do they expect from us?**
- **What can we do to meet their expectations?**
- **How can they influence us?**
- **What do we expect from them?**
- **How important are they for us?**

Types of stakeholders in the application Terminology

- <u>Beneficiaries</u>: those who benefit in whatever way from implementation of the project:
  a) Target group(s): will directly and positively be affected by the project at the level of project purpose (specific objective(s))
  b) Final beneficiaries: will benefit from the project in the long term at the level of society or sector at large (overall objective)
- <u>Project partners</u>: those who implement the project (applicants, co-applicants, affiliated entities)

Stakeholders



Team work: Exercise

- How did you identify the stakeholders / target groups in your past projects?

- List the stakeholders / target groups under the new projects?

What is the problem analysis?

- **No problem – No project**

- **Analysis of the problems, identifies the negative aspects of the existing situation, and establishes a cause-consequence relationship between them.**

Step 2: What is the problem analysis?

What is the purpose?

- ✓ **Determining the causes for the problem, so that the project would address them, rather than the consequences (or symptoms)**

When all stakeholders are identified, they are invited together on a meeting to have a guided discussion for further identification and clear definition of the problems that will be addressed

The steps in problem analysis

1. **Precise definition of the scope and subject of the analysis**
2. **Identification and formulation of the problems**
3. **Identifying central or “burning” problem**
4. **Developing the “problem tree” or “hierarchy of problems”**

How to identify and define the problem?

- Identification of existing problems should be made, not to the potential ones , or future or imaginary

- Every problem has a solution and shows the existence of a negative situation

- When creating the problem tree, each card should contain only one problem

Developing “problem tree”

1. Identification of central or “burning” problem
2. Identification of essential direct causes of the central problem – first degree causes
3. Identification of essential direct consequences of the central problem – first degree consequences
4. Identification of causes and consequences of second, third, etc. degree
5. Creating the problem tree – drawing cause-consequence connections, bottom-up
6. Revision of the problem tree

Example: Tree of problems

Limited tourism offer in CBC area

Recreational tourism on both sides of the border is on low quality

The existing bike paths do not attract enough tourists and cyclists

Connection

Cause

The existing infrastructure is poorly maintained

There is not a promotion of a joint tourism offers

Outdated labels on the existing bike trails...

There is not a joint promotion strategy...

Low level of knowledge of tourist workers on cross-border supply...

...

Practical exercise

Create the problem tree for the problem identified earlier

Duration: 20 minutes

Step 3: Objective analysis

Process to transform problem tree into objectives tree and analyse the product

Steps in developing objectives tree

1. Starting from top to the bottom, reformulate all elements of the problem tree to positive, desirable states
2. Instead of <u>cause-consequence relationship</u> in the problem tree, connections or now appear.
3. Starting from bottom to the top, check if the connections means-objectives are logical and valid
4. If needed:
   - revise the statements
   - delete unrealistic or unnecessary objectives/results
   - add new objectives/results where necessary
5. Use connection lines to indicate relation means-solution and means-objective

Formulation of objectives

- Objectives can be formulated using:
  - objective quality (increased employment)
  - objective activity (maintaining high employment rate)
- Important for adequate formulation of the objectives are also:
  - *outcomes* and
  - *outputs*
- Appropriate instruments need to be identified for achieving the objectives

Analysis of objectives

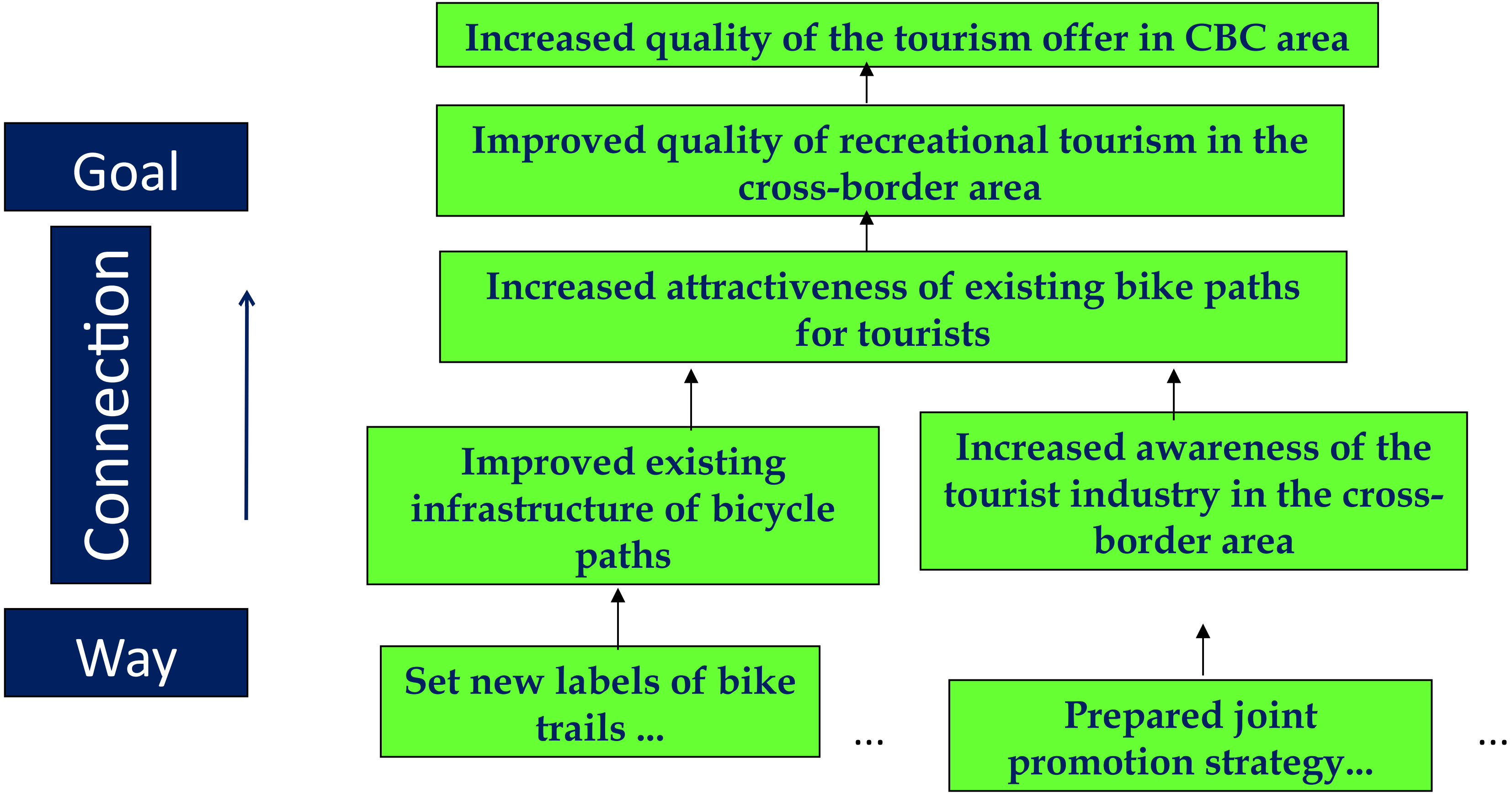
- Purpose:
  Describe the future positive situation
  Define a hierarchy of objectives
  Graphic display ratio means and ends
- The negative situation of the problem tree is transformed into solutions

Example:

PROBLEM → TARGET

Water quality in the river falls → Improved quality of the water in the river

Example: Tree of objectives



Step 4: Strategy analysis and intervention logic

Strategy Analysis

Final step in the situation analysis

- Identification of strategies or alternative options
- Choice of the strategy that will be used for achieving objectives based on criteria determined in advance
- Decision on, which solutions (objectives) will be included in the project, and which will not – comprehensive **overall objective** and **project purpose**/specific objective(s)

Why is strategy analysis important

- The objectives tree contains several possible strategies
- Due to the limited availability of resources (funds, HR, time…) options need to be analysed and one of them chosen as optimal
- Decision makers have to set the criteria based on which this analysis will be made

Possible criteria for the strategy analysis

- Benefits for the target groups (including vulnerable groups)
- Probability of feasibility/success
- Total price (budget)
- Cost-benefit relation
- Risks associated (social, institutional, political, etc.)
- Time needed for the implementation
- Complementarity with other ongoing projects/ programmes
- Environmental impact
- Contribution to decreasing inequality (including gender inequality)

Practical exercise

In the objectives tree that was created:

- Identify alternative strategies and
- Choose the strategy of the future project

Duration: 20 minutes

Logical framework matrix (LFM)

Why LFM?

- Shows the essence of the entire project in a table
- Provides understanding and better communication between all project stakeholders
- It is the standard for project design required by many donors (EU included)

Logical framework

	objectively verifiable indicators	sources of verification	Assumptions
Overall Objective			
Specific objectives			
Results			
Activities	Sources	Costs	
			Preconditions

Order for completing the LFM

Intervention logic		Objectively verifiable indicators	Sources of verification	Assumptions	
Overall objective: Impact	1	9	10		
Specific objective(s): Outcome(s)	2	11	12		8
Results: Outputs	3	13	14		7
Activities	4		15		6
				Preconditions	5

General characteristics of the LFM

- It allows the easier identification of project weaknesses
- Good tool for improving the project
- It cannot turn a bad project into a good one
- It is 1-4 pages long, depending on the complexity of the project
- It should be used creatively in order to help designing a good project

Logic of the LFM

- **Vertical logic:**
  - Achieving the purpose (SO) is *necessary but not sufficient* to attain the overall objective (OO)
  - Producing the project results is *necessary but may not be sufficient* to achieve the purpose (SO)
  - Carrying out project activities should be *necessary and sufficient* to deliver the results;
  - Inputs should be necessary and sufficient to implement the planned activities
- **Horizontal logic:**
  - Results on each level (outputs, outcomes and impacts) are verified by the *indicators* and their *sources of verification* written in the same raw as the respective result

Intervention Logic (Vertical logic)

- First column of the LFM – part of vertical logic
- Purpose:
  - Formulating major elements of the project (hierarchy of objectives)
  - Establishing hierarchical relations between the main elements of the project
  - Allows initial thinking about the horizontal intervention logic

How to complete 1st column?

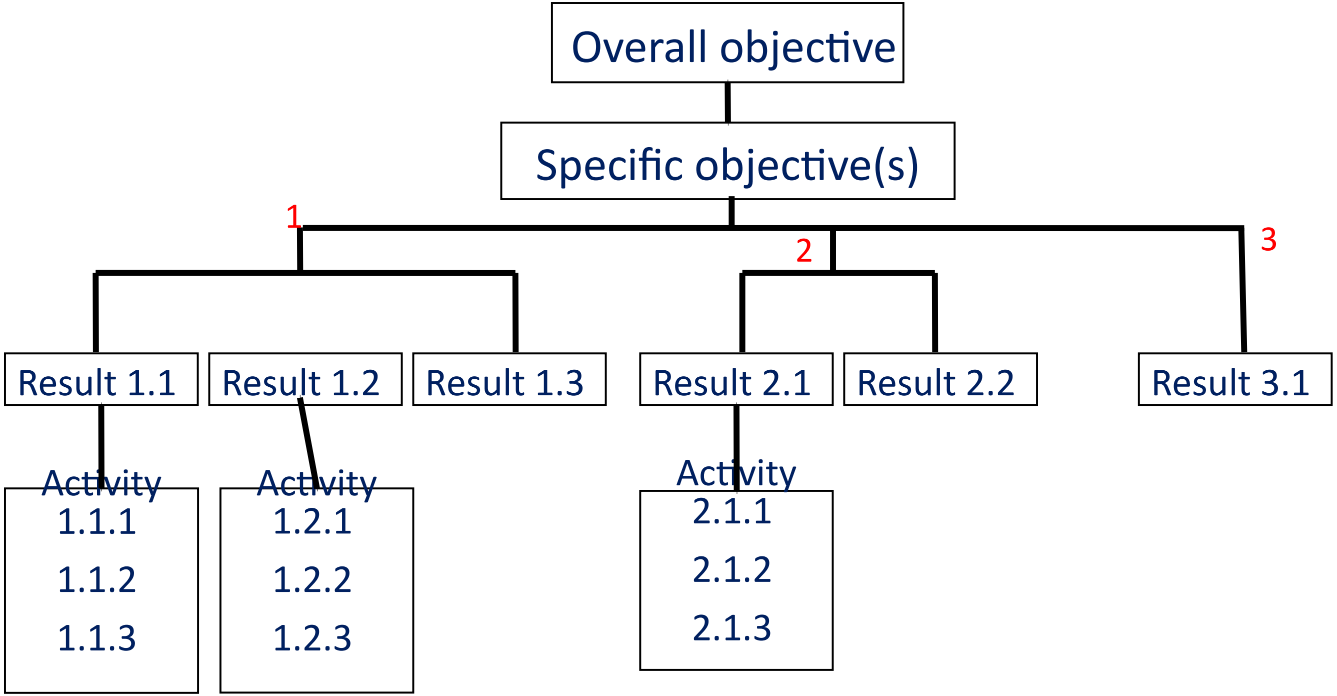
Based on the objectives tree and chosen strategy, main elements of the project are determined, starting from the top to the bottom

Higher level objectives	Overall objective
Central objective(s)	Specific objective(s)
Means to achieve objectives (first level)	Results (outputs)

Intervention logic

Intervention logic	Objectively verifiable indicators	Sources of verification	Assumptions
Overall objective: Impact Specific objective(s): Outcome(s) Results: Outputs Activities			
			Preconditions

Relations between objectives, results and activities…



What is an overall objective ?

- **Overall** = **comprehensive** = **long term** objective of the project
  - direction of the development
  - importance of the project for the society
  - long-term benefits for final beneficiaries and other stakeholders
- It is not achieved by only one project; the project contributes to its achievement
- Its achievement depends on a number of similar projects or processes that are out of the project's control

How to define the overall objective ?

- As a desirable, **final state** towards which we go and not as a way/process
- In line with the development policy of the country
- In line with the donor's instructions
- Clear formulations, precise, specific statements which are not too big nor too general
- Realistically defined, not too ambitious
- Clearly defined final beneficiaries

What is a specific objective ?

- Defines the expected change that will be made by implementing the project
- Describes the desired changes/benefits for target groups
- **Future state** and expected achievement of the operation that is under the project’s control
- In most cases, a project has only one specific objective/purpose

How to define the specific objective ?

- **Clear, specific and simple formulations**
- **Realistic, achievable (if the results are achieved)**
- **Relevant for the overall objective (contributes to the achievement of the overall objective)**
- **Clear definition of the target group**
- **Formulated as desired state and not as a way or process**

What are outputs (type of results)?

- **Achievable in short-term, during projects implementation**
- **Products/achievements of implemented activities**
- **Achievements that can be guaranteed by the project**

Example:

- **A project can guarantee that a certain number of beneficiaries will be trained for running their own businesses**
- **A project cannot guarantee that these beneficiaries will manage to start their own business within a year**

What are outputs v activities?

- **Results**: Products coming from the undertaking of a series of activities. The results are what the project will have achieved by its completion date.

- **Activities**: Work to be undertaken during the project to obtain results

Activities and outputs

- **Activities and outputs are often confused**
- **Completed activities are not outputs**
- **Outputs are actually the short term effects of completed activities**

More on results

The results chain

- There are different levels of results that seek to capture the development changes that occur.
  - Outputs: short-term results
  - Outcomes: medium-term results. The term “outcomes” is very often referred to as the results
  - Impacts: longer term results

More on results

- The project team is responsible for achieving project results (outputs and outcomes)
- One result is not sufficient – there has to be more than one
- Each result should be numbered
- Defined in past tense
  - e.g. "..are trained.. finished.. were accommodated"

What are activities

- **Actions or a number of actions and tasks in which we invest resources (*inputs)* and are done in order to achieve desired results and objectives**

- **Processes, not states**

- **For each result, one or more activities need to be defined**

- **Use the gerund (“building, maintaining, developing, training”) or the infinitive (“to build, to maintain, to develop, to train”)**

More on activities

- A training cycle or a training event is usually called an activity
- The delivery of the training activity is the completed activity
- The output identifies the new skill or ability that has resulted from the training

It is <u>important that the project is driven by results</u> and not by activities and this must be reflected in project and the definition of indicators

Example

Specific objective 1: Drivers stimulated to drive more carefully	
Results	**Activities**
1.1 Drivers are aware of the dangers in relation to the driving	1.1.1 To develop a TV programme about road safety 1.1.2 To develop and implement a campaign about the dangers of driving under substance influence
1.2 New drivers are more skilful	1.2.1 To introduce tougher tests for passing driver's exams 1.2.2 To implement a training on road safety in high schools

Assumptions (4. column)

Intervention logic	Objectively verifiable indicators	Sources of verification	Assumptions
Overall objective: Impact 1			
Specific objective(s): Outcome(s) 2			8
Results: Outputs 3			7
Activities 4			6
			Preconditions 5

Purpose of assumption

- Determining external (pre)conditions for achieving each level of the project's vertical logic
- Deciding if the project will be further elaborated or not
- Derived from a detailed risk analysis: negative statement – risk, positive statement – assumption related to this risk

  E.g. Potential applicants will not be interested to prepare and submit project proposals (risk)

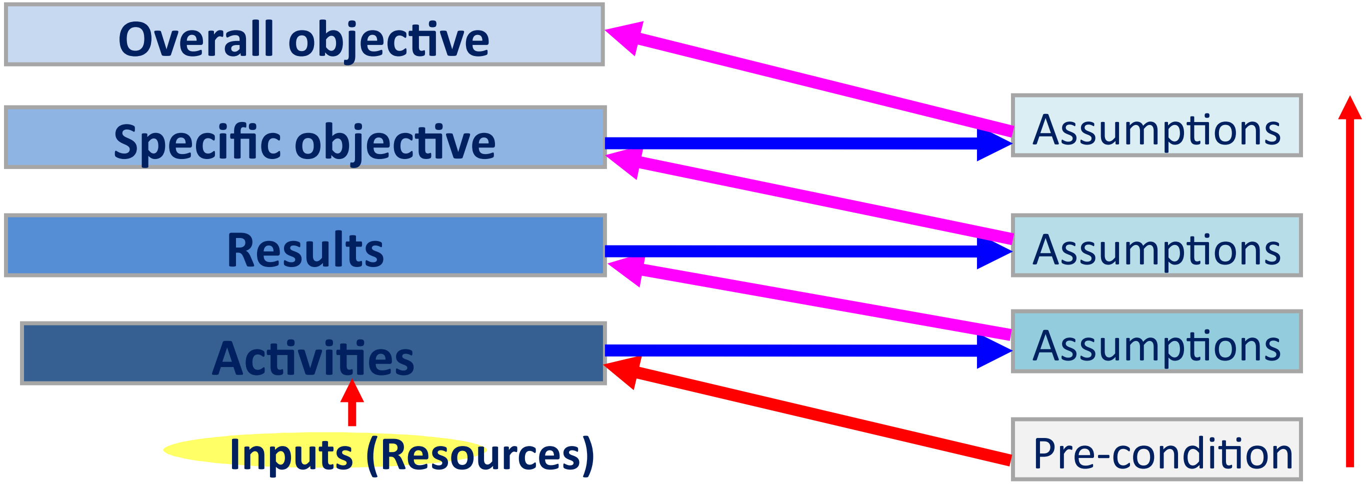
  E.g. Interest of potential applicants to submit project proposals will be high (assumption)

What are assumptions

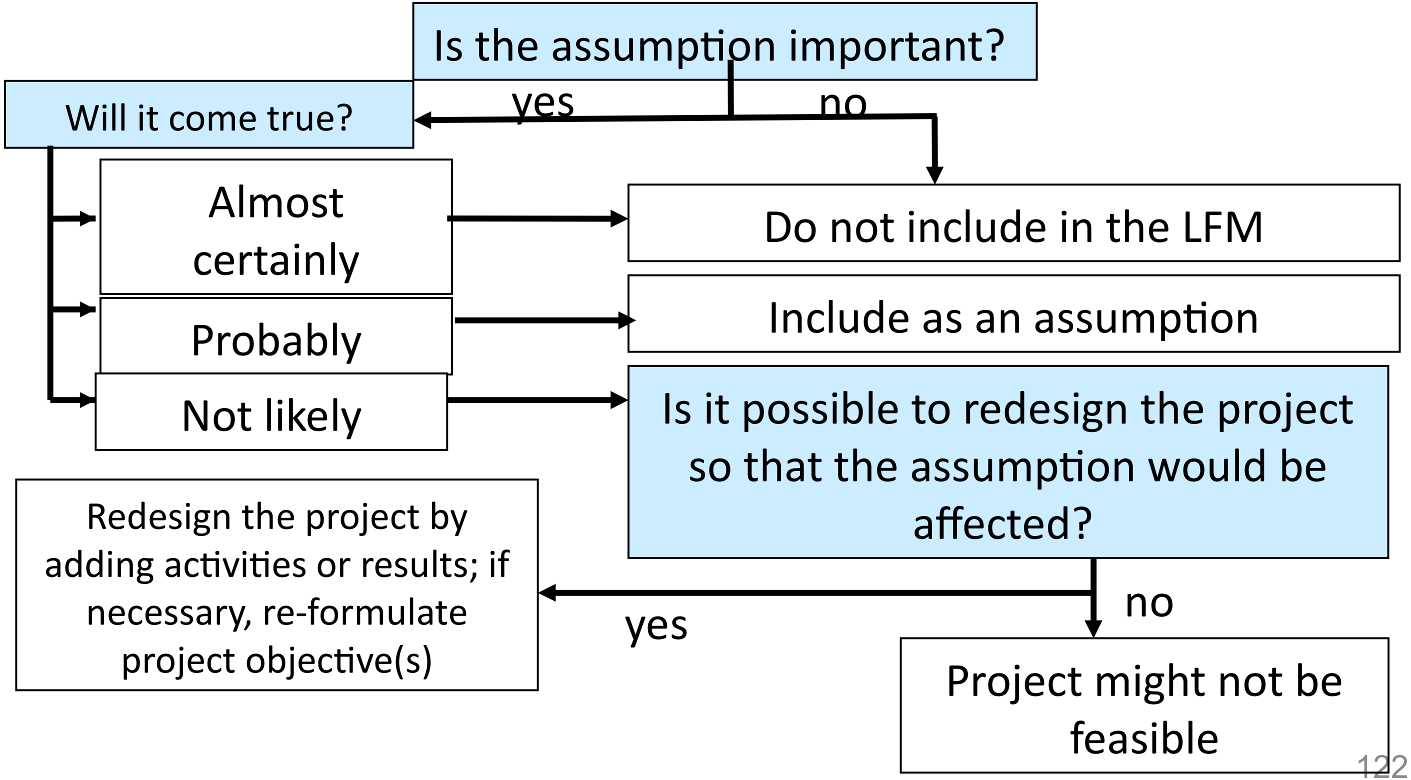
- External factors that can influence the implementation of the project and long term sustainability of its results and benefits
- Description of situations, occurrences, conditions and decisions necessary for project's success
- LFM includes assumptions that
  - Are assessed as important and true
  - Are most likely to materialize, but we cannot be absolutely sure of this

How to identify assumptions

From the bottom to the top of the LFM; part of the vertical logic



Assessment of assumptions



Indicators and sources of verification (2. and 3. column)

Intervention logic	Objectively verifiable indicators (OVI)	Sources of verification	Assumptions
Overall objective: Impact 1	9	10	
Specific objective(s): Outcome(s) 2	11	12	8
Results: Outputs 3	13	14	7
Activities 4	Means: Costs:		6
			Preconditions 5

What has been achieved so far…

Identification – sub-phase analysis

a) Stakeholders
b) Problems
c) Objectives
d) Strategies

Formulation – sub-phase planning

a) Project logic
   - Intervention logic
   - Assumptions/risks
   - **Indicators**
b) Draft action plan
c) Draft resource schedule

Objectively verifiable indicators

- Quantified measure of achieved results
- Allow us to answer the following questions:
  - How can we tell that the activities produce desired outputs/ results
  - How can we tell that produced outputs/results contribute to the achievement of our project's objectives/outcomes

Objectively verifiable indicators - example

- Result: Drivers are aware of the dangers related to driving
- Objectively verifiable indicators:
  - Number of people reached by the campaign
  - Level of awareness before and after the campaign
- Sources of verification:
  - Assessment of the campaign by an independent observer using the questionnaires filled out by citizens
  - Surveys before and after the campaign

Objectively verifiable indicators - example

- Specific objective 1:

Drivers stimulated to drive more carefully

- Objectively verifiable indicators:
  - Decreased number of fines issued by the traffic police
- Sources of verification:
  - Traffic police records

SMART indicators

A good indicator has to be:

- Specific – can only refer to one result (objective)
- Measurable – quantitatively or qualitatively
- Available at an acceptable cost
- Relevant to the information needs of managers
- Time-bound – so we know when we can expect target to be achieved

There is a table of indicators applicable for this call for proposals in the Annex L AP. You are strongly encouraged to use these indicators exclusively. Only in duly justified cases, introduction of indicators outside of the list is tolerated

Definition – Budget

Expression of the planned activities into the expected costs (and accounts) in an organized manner, covering a specific time period.

Budget

- After the initial plan (Logical Framework - Matrix)
- The consultation process >> make a choice
- Future financial costs
- Timetable for expenditures and revenues

Budget

- All costs needed for the implementation of the project, presented in an excel table
- Project budget is unique – all the costs necessary need to be listed as well as all sources of financing
- Use the format and instructions described in the GfAs
- Project account
- Pre-financing payment, further pre-financing and final balance payment

Budget

- All costs needed for the implementation of the project, presented in an excel table
- Project budget is unique – all the costs necessary need to be listed as well as all sources of financing
- Use the format and instructions described in the GfAs
- Project account
- Pre-financing payment, further pre-financing and final balance payment

Direct costs:

- Necessary for project implementation
- Identifiable and verifiable – complete documentation has to exist
- Directly contribute to the project
- Are incurred during the implementation period
- Contingency reserve up to 5% of the total direct eligible costs (requires prior approval in order to be used)

Indirect costs:

- Administrative costs – are not directly linked to any of the project activities
- Are not contained in any of the budget lines related to direct eligible costs
- Are calculated as a percentage of the total direct eligible costs – maximum 7%
- No supporting documents are required for these costs

Annex B of the AF - budget

- Human resources
- Travel
- Equipment and supplies
- Local office
- Other costs, services
- Other
- Indirect costs
- Contingency reserve
- Taxes

Worksheet 2 - Justification

- Clarification of budget items
- Justification of the estimated costs

- EU contribution sought
- Other contributions (Applicant, other donors, etc)
- Revenue from the Action (if applicable)

Human resources :

- **Salaries and per diems of staff engaged in project implementation**
- **Name their titles (roles): Project Manager, Coordinator, Assistant…**
- **Gross salaries are accepted (including all associated social contributions and charges)**
- **The salary and per diems rates have to be in line with those normally paid within the applicant organisations**

Travel:

- **International travel – e.g. return airplane ticket Tirana-Vienna-Tirana, 4 team members x 1 visit**

- **Local transportation – most commonly presented either per month or per number of kilometres envisaged**

Equipment and supplies:

Make sure to check what kind of tender procedure is required and calculate any costs related

- Purchase or rent of vehicles
- Furniture, computer equipment (can be further divided: Lap-top, printer, desk, chairs…)
- Spare parts for equipment
- Other – always specify what exactly

Subtotal equipment and supplies

Local office:

- Vehicle costs
- Office rent
- Office consumables
- Other services (tel/fax, utilities…)

***Remark**: local office costs relate only to the costs of local office established specifically for the purpose of the project, not existing offices of the organisation*

Subtotal local office

Other costs, services:

- Publication, studies, research – only if contracted
- Audit costs
- Evaluation costs – for external evaluation
- Translation, interpretation – specify number of days (or hours) amount per day, total amount
- Financial services – financial guarantees, opening and maintaining a especially dedicated project account (only if required by the EU)
- Conferences, seminars – only if contracted
- Visibility costs – press conferences, TV and radio shows, promotional materials..

Other :

All the costs that could not fit in in any of the categories above (e.g. works)

Subtotal other

Subtotal direct eligible costs

Indirect costs

Total eligible costs, excluding reserve

Provision for contingency reserve

Total eligible costs

Taxes

In-kind contributions

Total accepted costs

Sustainability of the projects

Sustainability - definition :

- Ability of the action to continue to produce results after the end of EU funding

- Estimation of possibilities that the results will still be used after external funding has ended

Success:

- **Successful project management**
  - Emphases on the process of implementation (costs, time, quality)
- **Lasting results**
  - Sustainability
  - Satisfaction of the stakeholders, beneficiaries
  - Satisfying the needs of the target groups
  - Replicability of the activities

What influences the sustainability:

- Institutional level
- Positions/beliefs/values
- Organisation
- Knowledge and skills gained
- Using of gained knowledge and skills
- Financial sustainability

Means for ensuring sustainability:

- Trainings
- Other income (other donors and ways of fund raising)
- PR/awareness raising
- Representation/lobbying – on national and local level
- Establishing of networks/connections

Sustainability in the AF:

- Max 3 pages
- Describe the impact at technical, economic, social and policy levels
- Describe a dissemination plan and possibilities for replication and extension of the outcomes (multiplier effects)
- Provide detailed risk analysis and contingency plan
- Main preconditions and assumptions

Economic and financial sustainability:

- **How will the activities be financed after completion of the project (will there be funded from the budget, how will the trainings be implemented, information activities, will you apply for new donations)?**
- **Could results bring any economic benefits after completion of the project?**
- **Main preconditions and assumptions**

Institutional sustainability:

- **Will the structures that will allow continuance of the activities will still be in place after the project ends?**
- **What are these structures? (list all the structures with which you will cooperate within the project that will continue to implement the activities after the end of the project)**
- **The issue of local ownership**

Policy-level sustainability:

- Will there be any structural impact, will it lead to the improved legislation, consistency with existing frameworks
- What impact is expected in improving codes of conduct or methods used by target groups and final beneficiaries

Environmental sustainability:

- What impact will the action have on the environment
- Have conditions been put in place to avoid negative effects on the natural resources on which the action depends and on the broader natural environment?
- Will there be any positive effects on the natural resources

Practical exercise

- Define one risk per each level of vertical logic of our project and propose mitigation measures

- Define the sustainability of our project through institutional, financial and policy-level aspect

Duration: 60 minutes

Grant Application form

Restricted Call for Proposals

(<u>on-line submission via PROSPECT</u>):

- **Step 1:**
  Submission of Concept Notes only
- **Step 2:**
  Only pre-selected applicants submit Full Application

PADOR:

Potential Applicant Data On-Line Registration Service

- **PADOR** is an on-line database for organisations (Potential Applicant Data On-Line Registration).
- The registration of the data information about the organisations involved in the action in **PADOR is obligatory** for this call for proposals;
  - ✓ **Concept note step:** Registration in **PADOR** is obligatory for lead applicants;
  - ✓ **Full application step:** Registration is obligatory for co-applicant(s) and affiliated entity(ies). Lead applicants must make sure that their PADOR profile is up to date;
- **It is strongly recommended to register in PADOR well in advance and not to wait until the last minute before the deadline to submit your application in PROSPECT.**
- **PADOR registration:** http://ec.europa.eu/europeaid/pador_en
- **PADOR helpdesk:** EuropeAid-IT-support@ec.europa.eu

Prospect

- **PROSPECT** is an electronic system developed for **the management of calls for proposals in the field of external action**
- The online submission via **PROSPECT is obligatory** for this call.
- **PROSPECT on-line submission of applications. It** allows applicants to submit the proposals online, follow up the status of the application in real time, and receive the evaluation results instantly online! The applicants will also receive an automatic notification in case a new document (Clarifications, Corrigendum, etc.) is published for your call.
- **PROSPECT information (manual, e-learning, FAQ, presentation, etc.) h ttps://webgate.ec.europa.eu/europeaid/prospect**
- **PROSPECT helpdesk: Europeaid-IT-support@ec.europa.eu**

Grant Application form

It consists of :

- **PART A1 Concept Note**
- **PART A2 Full Application Form**
  - **I Project**
  - **II Applicant**
  - **III Partners**
  - **IV Associates**
  - **V Control list**
  - **VI Declaration**
  - **VII Control matrix**

Part 1

CONCEPT NOTE

Concept Note content

- Using Annex A.1 Concept Note provided and follow the instructions given regarding the length of document;
- Applicants must apply in English;
- It must only mention an estimate of the EU contribution and the indicative percentage of EU contribution and co-financing.
- To contain all relevant information concerning the action;
- No additional annexes should be sent. A detailed budget is to be submitted only with the full application in the second phase.

Concept Note content

- Please do not forget the Checklist
- Incomplete Concept Notes / discrepancy related to the concept note instructions may lead to the rejection of the concept note.
- Clarifications will only be requested when information provided in the CN is not sufficient to conduct an objective assessment.
- Hand-written concept notes will not be accepted.
- Concept note should give a snapshot of the full grant application

Concept Note content

- Is drafted as clearly as possible to facilitate the evaluation process.
- Costs expressed in Euro;
- Do not forget the checklist;
- Respect layout parameters:

  - Font size cannot be smaller than Arial 10 with 2 cm margins
  - Page limit for the entire concept note
- Maintain section headings and provide responses immediately underneath the guide questions in each heading.
- You **must follow** the instructions at the end of this document on how to fill in the concept note.

Concept Note content

1.1 Summary of the action - Fill in the table

1.2 Description of the action (max 3 pages)

- Give the background to the preparation of the action;
- 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.
- Outline the broad timeframe of the action and describe any specific factor taken into account.
- Explain how the Action will mainstream relevant cross-cutting issues such as promotion of human rights, gender equality, Including those of people with disabilities.

Concept Note content

1.3 Relevance of the action (max 5-6 pages if there are works)

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

- 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).
- Describe which of the expected results referred to in the guidelines for applicants will be addressed.
- 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.
- Explain how the proposed action is going to contribute to intensifying neighbourly relations, creating sustainable partnerships for socio-economic development .....

Concept Note content

1.3.2 Relevance to the particular needs and constraints of the target country(s), region(s) and/or relevant sectors (including synergy with other EU initiatives and avoidance of duplication)

- State clearly the specific pre-project situation in the target eligible area and/or sectors.
- Provide a detailed analysis of the problems to be addressed by the action and how they are interrelated at all levels.
- 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.
- 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.
- 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.
- Explain the complementarily with other initiatives supported by the EU and by other donors (Member States & others).

Concept Note content

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

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

Concept Note content

1.3.4. 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.

1.4. 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.

Where and how to send concept note:

- The concept note together with the declaration by the lead applicant (Annex A.1 Section 2) **must be submitted online via PROSPECT** https://webgate.ec.europa.eu/europeaid/prospect following the instructions given in the PROSPECT user manual.
- Upon submission of a concept note online, the lead applicant will receive an automatic confirmation of receipt in its PROSPECT profile.
- **Concept notes sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.**
- **Please note that incomplete concept notes may be rejected. Lead applicants are advised to verify that their concept note is complete using the checklist for concept note (Annex A.1, Instructions).**

Deadline for submission of concept notes:

- The deadline for the submission of concept notes is 15th of February 2021 at 14:00 (Brussels date and time).
- The lead applicant is strongly advised not to wait until the last day to submit its concept note, since heavy Internet traffic, or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission.
- The Contacting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

Submission of Concept Note

Further information:

- Questions as regards concept notes may be sent **by e-mail only** no later than **21 days before** the deadline for the submission of concept notes to the address below, indicating clearly the reference of the call for proposals: E-mail: DELEGATION-NORTH-MACEDONIA-CALLS-FOR-PROPOSALS@eeas.europa.eu

- The CA has no obligation to provide clarifications to questions received after this date.

Submission of Concept Note

Further information:

- Replies will be given no later than 11 days before the deadline for submission of concept notes.
- No individual replies will be given to questions.
- All questions and answers as well as other important notices to applicants during the course of the evaluation procedure will be published on the website of EuropeAid website: https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome and the website of the CA https://eeas.europa.eu/delegations/republic-north-macedonia_en, and that of the programme: http://ipacbc-mk-al.net/,as the need arises.
- It is therefore advisable to consult the abovementioned websites regularly in order to be informed of the questions and answers published.

Full application preparation

Grant application form - sections

A 2 - Full application form

1. General information
2. Description of the action
   - 2.1. Description of the action
     - 2.1.1. Description (max 13 pages)
     - 2.1.2. Implementation approach (max 5 pages)
     - 2.1.3. Indicative action plan for implementing the action (max 4 pages)
     - 2.1.4. Sustainability of the action (max 3 pages)
     - 2.1.5. Logical Framework
     - 2.1.6. Budget
     - 2.2 Lead applicant’s experience
     - 2.3 Co-applicant(s) experience
     - 2.4 Affiliated entities experience

Grant application form - sections

Part A2 – Full application form

3. Lead applicant's, the Co-applicant(s) and the Affiliated entities

4. Associates participating in the action

5. Declarations

6. Principles of good partnership practice

Instructions for drafting the full application

Description of the action

- **Briefly outline the relevance of the action:**
  - **to the objectives/sectors/themes/specific priorities of the call for proposals**
  - **to the particular needs and constraints of the target country/countries, region(s)**
  - **including synergy with other development initiatives and avoidance of duplication**
- **Define and describe the target groups and final beneficiaries,**
  - **their needs and constraints**
  - **state how the action will address these needs and improve their situation**
  - **Describe the key stakeholder groups, their attitudes towards the action and any consultations held**
  - **Describe the technical and management capacities of target groups and/or any local co-applicants and affiliated entities**

Description of the action

- **Present the intervention logic, explaining how:**
  - **the activities will lead to the outputs**
  - **then the outputs to the outcome(s)**
  - **and finally the outcome(s) to the expected impact**
  - **making explicit the main assumptions and risks along this chain of results**

- **State how the action will improve the situation of the target groups and final beneficiaries and the technical and management capacities of target groups and/or any local co-applicants and affiliated entity(ies),**

Description of the action

- Identify and describe in detail each activity to be undertaken to produce results:
  - justifying the choice of activities
  - specifying the role of each co-applicant(s) and affiliated entity(ies)
  - and finally the outcome(s) to the expected impact
  - (and associates or contractors or recipients of financial support where applicable)

- Do not repeat the action plan to be provided in Section 2.1.3, but
  - demonstrate coherence and consistency of project design
  - List any publications proposed

- Indicate the main studies conducted in view of defining the scope of the action

- Describe/highlight eventual changes of the information provided in the concept note

Activity plan

- Achievable and realistic
- Derived from the LFM – defines activities, implementers and deadlines
- Determined by sequence and cause-consequence relation between activities
- Basis for project monitoring and reporting

Preparation of the action plan

1. List main activities (from LFM)
2. Break-down main activities into sub-activities and concrete tasks
3. Clarify sequence and cause-consequence relations
4. Determine the beginning and duration of each activity
5. Determine timeframe and milestones
6. Define expertise and qualifications necessary to implement each activity
7. Assign concrete tasks to project team members

Gantt chart

- **Gantt chart is a visual tool for planning the activities**

- **It is a linear calendar in which time is presented horizontally, while the activities are presented vertically**

Example of the gantt chart

Activities	Months												Implementing body
Preparation activity 1 – Training delivery	x	x											Local partner
Execution activity 1- Training delivery			x	x	x								Project team
Preparation activity 2				x	x	x							Municipality
Execution activity 2							x	x	x	x	x		

How detailed activities should be

Depends on:

- **The nature and size of the project**
- **Phase in the project cycle: in the planning phase – indicatively with no too much detail; later – in more detail**
- **Directly linked to project results**

Milestones – critical moments, key points during project implementation; used for monitoring of project progress and noticing trends

Milestones

Steps for the analysis of trends of milestones:

1. Defining milestones in terms of their “contents” and date
2. Periodical revision in order to verify the schedule of activities
3. Assessment of new possible milestones, if necessary
4. Entering milestones in the gantt chart
5. Analysis of deviations – consequences and taking corrective measures

Implementation approach

Methods of implementation and rationale for such methodology

Methods of implementation

- **Practical advice: describe methods used, techniques and ways of work, list of kinds of activities, know-how used, who will do, what and where.. Similar as with description of activities, but here methods are summarised**

Methodology

Methods of implementation and rationale for such methodology

Rationale for such methodology

- Practical advice: this is related to the description of context, target group and objectives. Emphasise contribution to the programme objectives, experience of similar environments or EU in using proposed methodology, adaptation to the target group and organisation’s resources (knowledge, skills, equipment, premises)

Financial means available as well as the time affect the choice of methodology, too

Examples of methods

- Research analysis, problem identification
- Transfer of good practices, knowledge and skills
- Study tours
- Trainings
- Media campaign
- Modernisation of the information system
- Surveys
- Cooperation with NGOs

A short description of methods used should be provided for specific phase of project implementation

Relation with previous actions (if applicable)

How the action is intended to build on the results of the previous action

- Practical advice: describe similar projects and activities which experience will be used to implement this project. Similarities should be looked for in every aspect: target groups, final beneficiaries, location, donors, thematic areas, standards of work, partners, etc
- Purpose of this section is building the credibility – references of all participants in the project are of importance here (partners, associates, external experts, etc)
- Give the main conclusions and recommendations of any evaluations carried out

How it fits in with a larger programme

- Explain how the project fits in or it is coordinated with the programme, or any other possibly planned project

- Emphasise synergies with other projects

Project team

- The organizational structure and the team proposed for the implementation of the action
  - By function: there is no need to include the names of individuals
  - You can provide a chart that illustrates the structure of the team proposed
  - Remember: joint staffing is one of the “4 J”
- The role and participation in the action of the various actors and stakeholders
  - (co-applicant(s), affiliated entity(ies), target groups, local authorities, etc.), and
  - the reasons why these roles have been assigned to them

Organisational structure and team proposed

- **Describe the team proposed for implementation – only functions, no need to provide specific names; you can specify the expertise required for each position**
- **Team usually has between 3 and 5 staff. This is the group of people that is permanently engaged in the project and is responsible for achieving the results.**
- **Possible functions: coordinator, assistant, administrative assistant, financial assistant. Briefly describe the role of each member of the team.**

Role and participation of other actors

Based on the activity plan and previous answers describe the level of involvement of partner organisations. It is recommended to include the partners in all phases of implementation – starting from planning and implementation.

- **Describe means for communication, frequency, decision making process, responsibilities and authorities of partners for certain activities, way of using the resources, etc..**

Role and participation of other actors

- **Reflect on strengths and capacities of partners, their resources, experience, knowledge, skills…**

- **Is there something that connects the partners (geography, culture, tradition, similar experience, needs…)**

- **What makes the partners unique and specific?**

Monitoring arrangements and follow-up

Briefly explain the monitoring and evaluation plan and answer the questions:

- **who? will do M&E (internal, external)**
- **when? periodically, monthly, at the end of project**
- **how? which methods will be used**
- **why? what is the purpose of M&E**
- **what? what will be monitored and evaluated – what are the indicators and sources of verification**
- **for whom? who will use the result**

Evaluation and visibility

- The planned internal/external evaluation processes
  - an evaluation should be foreseen for actions above EUR 500 000
  - Describe the planned activities in order to ensure the visibility of the action and the contribution of the EU to its funding

Evaluation and selection of applications

Administrative check (CN)

- **Applications submitted after the deadline are automatically rejected**
- **Administrative requirements described in the GfAs and the AF are checked – compliance with the checklist in the application form Annex A.1**
- **If any of the requested information is missing or is incorrect, the application may be rejected on that <u>sole</u> basis and the application will not be evaluated further.**
- **The concept notes that pass this check will be evaluated on the relevance and design of the proposed action**

Concept note evaluation

- The CN will receive an overall score out of 50 using the breakdown in the evaluation grid. The evaluation will also check on compliance with the instructions on how to complete the CN, which can be found in Annex A.1, Instructions of the concept note application form.
- Assessment of CN (evaluation grid) is performed:
  1. Relevance of the action
  2. Design of the action
- Firstly, only the concept notes with a score of at least 30 will be considered for pre-selection.
- For the rest a ranking list is made
- The highest scoring applications will be pre-selected until the limit of at least 200% of the available budget for this call for proposals is reached

Evaluation grid for concept notes

1. Relevance of the action	Sub-score	20
1.1 How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? Are the expected results of the action aligned with the priorities defined in the guidelines for applicants (section 1.2)?	5*	
1.2 How relevant is the proposal to the particular needs and constraintsof the eligible programme area and/or relevant sector (including synergy with other EU initiatives, in particular with the EU Strategy for the Danube Region and the one for the Adriatic and Ionian Region, as well as avoidance of duplication)?	5	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs and constraints been clearly defined and does the proposal address them appropriately?	5	
1.4 Does the proposal contain particular added-value elements (e.g. innovation, best practices)? [and the other additional elements indicated under 1.2. of the guidelines for applicants]	5	

Evaluation grid for CN evaluation

2. Design of the action	**Sub-score**	**30**
2.1. How coherent is the overall design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results?	5x2**	
2.2. Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5	
2.3 Does the design take into account external factors (risks and assumptions)?	5	
2.4 Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic?	5	
2.5 To which extent does the proposal integrate relevant cross-cutting elements? promotion of health, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and youth?	5	
TOTAL SCORE		**50**

Full application evaluation

- Applications submitted after the deadline are automatically rejected
- Administrative requirements described in the GfAs and the FA are checked – compliance with the checklist in the application form Annex A.2
- If any of the requested information is missing or is incorrect, the application may be rejected on that <u>sole</u> basis and the application will not be evaluated further.

Full application evaluation

- The quality of applications passing administrative check is assessed:

1. Selection criteria - Applicants capacity and experience (including any co-applicants and affiliated entities) on:

- have stable and sufficient sources of finance to maintain their activity throughout the proposed action and, where appropriate, to participate in its funding (this only applies to lead applicants);
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This applies to applicants and any affiliated entity(ies).

2. Award criteria - Description (including implementation approach, action plan, sustainability, logical framework matrix, budget)

Full application evaluation

- If the total score for Section 1 (financial and operational capacity) is less than 12 points, the application will be rejected. If the score for at least one of the subsections under Section 1 is 1, the application will also be rejected.
- The applications ranked according to their score.
- Applications which had obtained less than 70 points as score in the ranking list will not be recommended for funding by the Evaluation Committee.

Choose your lead beneficiary and partners very carefully (after a serious stakeholders analysis)

Conclusions of the evaluation committee

- **After approval, all applicants are notified**
- **Successful applicants undergo a contracting procedure which includes a “budget clarification process”.**

Evaluation grids

- **Published in advance, in the GfA**
- **Separate evaluation grids for**
  - **Concept note evaluation**
  - **Full application evaluation**

Evaluation grid for FA

Section	Maximum Score
1. Financial and operational capacity	**20**
1.1. Experience in project management?	5
1.2. Sufficient in-house technical expertise?	5
1.3. Sufficient in-house management capacity?	5
1.4. Stable and sufficient sources of finance?	5
2 Relevance of the action	**20**
Score transferred from Concept Note evaluation	
3. Design of the action	**15**
3.1. Coherence: are expected results indicated; rationale to achieve expected results; are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)?	5
3.2. credible baseline, targets and sources of verification? If not, is a baseline study foreseen (and is the study budgeted appropriately in the proposal)?	5
3.3. Robust analysis of the problems involved and stakeholders' capacities?	5

Evaluation grid for FA

Section	Maximum Score
4. Implementation approach	**20**
4.1 Action plan for clear and feasible? Is the timeline realistic?	5
4.2 Effective and efficient monitoring system? Evaluation planned?	5
4.3 Co-applicant(s)'s level of involvement and participation satisfactory?	5x2*
5. Sustainability	**15**
5.1. Is the action likely to have a tangible impact on its target groups?	5
5.2. Multiplier effects?	5
4.3. Are the activities sustainable (all 4 levels of sutainability)	5
6. Budget and cost-effectiveness of the action	**10**
5.1 Are the activities appropriately reflected in the budget?	/5
5.2. Ratio between the estimated costs and the expected results satisfactory?	1/5
Maximum total score	**100**

Full application evaluation

- Technical quality assessed
- Ranking and reserve lists of applications
- Eligibility check for selected applications
- Notification to all applicants
- Budget clearing and contracting

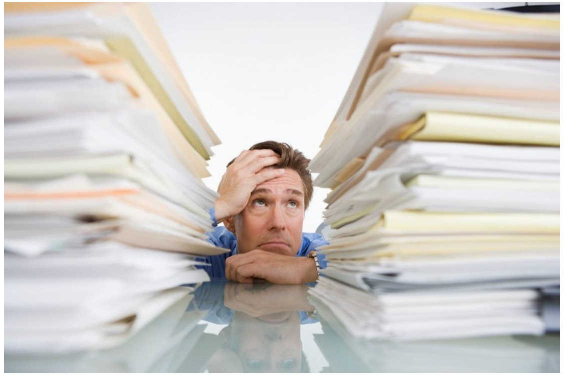
Eligibility check

- Only for the applications that have been provisionally selected according to their score and within the available budget for this call for proposals.
- The declaration by the lead applicant will be cross-checked with the supporting documents provided by the lead applicant.
- Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants and the affiliated entity(ies)will be verified according to the criteria set out in Sections 2.1.1 and2.1.2.

Questions…?

- **While filling in the new segment looks like a formality, it was here most of the errors!**

- **Therefore, filling should be approached very carefully.**



Thanks for the attention!!!

&

Good Luck

Joint Technical Secretariat
Email: jts_mkal@yahoo.com
Tel: +389 46 838 893