



Contracting Authority :< Ministry of State for Development of Northern
Kenya and other Arid Lands >

Kenya Rural Development Programme

Guidelines
for grant applicants

European Development Fund

Reference: <KRDP/CfP/1/10/2011>

Deadline for submission of concepts: <31th January 2012>

NOTICE

Notice

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form. Further to the evaluation of the Full Applications, an eligibility check will be performed for those which are provisionally selected. This check will be undertaken on the basis of the supporting documents requested by the Contracting Authority and the signed "Declaration by the Applicant" sent together with the application.

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1. KENYA RURAL DEVELOPMENT PROGRAMME

1.1 BACKGROUND

The Kenya Rural Development Programme (KRDP) financed by 10th EDF focuses on securing long-term food security through improving agricultural productivity nationwide and better responses to drought and improved livelihoods in the Arid and Semi arid Lands (ASAL). It will also support the Government in providing policy direction and leadership in planning, implementation and coordination in the sector. The KRDP is a sector-wide programme which will complement and integrate into other actions financed by Government and development partners within the framework of the Agricultural Sector Development Strategy (ASDS).

Result two of KRDP : Increased capacity of ASAL communities to respond effectively to drought & other vulnerabilities will support the Government in the implementation of the sector-wide ASAL sessional paper and provide programme direction and strengthening coordination structures. The expected results of this component will improve sectoral policies related to livelihoods in the ASALs. The programme under this component will also support: i) the consolidation of early warning systems; ii) capacity building of the Drought Management Authority (DMA) and set up the National Drought Contingency Fund (NDCF); iii) funding for the contingency fund for drought mitigation; iv) consolidation of livestock insurance schemes; v) communities in improving their livelihood and disaster risk reductions strategies.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

This Call for Proposals is launched under the Result 2 of KRDP programme and targets Arid and Semi Arid Land (ASAL) counties in Kenya.

The **global objective** of this Call for Proposals is to:

Promote sustainable livelihood diversification in ASAL areas. Actions to be funded will operate within a programme framework and will therefore have to integrate with other actions funded through KRDP at national and local (ASAL) levels. In this sense proposals will have to clearly elicit their collaborating mechanisms with local institutions and show coherence with on going actions in the proposed areas of intervention. In addition all proposals must show how they contribute to identified strategic priorities of the ASDS ASAL and detail their alignment with the ASAL sessional paper. In addition, proposed actions are expected to maximise the potential inherently part of NGO's ability, to plan and implement innovative interventions. Moreover, and again underlying the above, the proposed interventions are not expected to be 'one-off' and/or 'stand alone' projects but should fill gaps and/or form a critical 'building stone', within the larger KRDP 'Result 2'.

The **specific objectives** of this Call for Proposals are:

- i. Strengthen drought preparedness mechanisms and related risk-minimizing strategies. Recurrent droughts are a substantial and recurrent feature of Arid and Semi Arid lands (ASAL) in Kenya. Actions under this objective will therefore support government and donor efforts to build the capacity of ASAL communities to cope with and recover from drought. It should be noted that, whilst drought has the potential to devastate livelihoods, there are a number of opportunities inherent in drought, based on significant livestock price fluctuations and increased demand for fodder and water. It is envisaged that improved capacities to cope with drought will not only focus on risk reduction but also incorporate abilities to engage with / exploit these opportunities. The impact of conflict on access to these resources is as yet an ill defined and poorly documented phenomenon and applicants are invited to look into this. Under this objective activities will have to integrate into the existing institutional framework of Government of Kenya for drought preparedness.
- ii. Promote and develop ASAL based value chains. Research undertaken by national (KARI - Kenya Agricultural Research Institute) and international (ILRI, ICRAF, ICRISAT) institutions show that there exists great potential for marketing of products from ASAL areas. There is however a

need to develop a comprehensive value chain approach to this knowledge basis and demonstrate how poor / marginalised pastoralists are able to engage with and benefit from market forces. Proposals under this objective must demonstrate a significant understanding of traditional institutions, the requirements that these place on individuals and the strengths, opportunities, weaknesses and threats incumbent in these systems. As the ASAL population comprises of mainly pastoralists and research has shown that livestock offer the best return on investment in ASAL areas, the predominant marketing opportunities will relate to livestock. This is however not exclusive, as diversification of income (particularly for pastoralists with few animals) is key to risk mitigation. Applicants are therefore encouraged to explore marketing opportunities inherent in appropriate livelihood diversification activities. Linked to this have been recent remarkable successes whereby the private sector has worked with communities in the creation of micro/very low water demand irrigation activities using water harvesting structures. Actions under this objective will therefore focus on ensuring that the target communities have sufficient income sources and opportunities for investment from existing value chains.

Priorities. This Call will target 23 counties defined as ASAL areas. However, given geographical coverage and the different features of the areas, this call will be divided into two separate lots. It is expected that actions under both lots will strengthen capacity of rural communities in arid areas of Kenya to mitigate the impact and/or recover from recurrent droughts. For maximizing their impact, actions will have to complement and/or integrate with on going GoK programmes. Priority will be however given to proposals presenting innovative approaches and based on a thorough stakeholder and value chain analysis.

Proposals may address one or more of the types of action listed below. The list however is indicative and other actions could be considered where appropriate provided that they contribute to achieving the objectives of the call

- Lot 1 - Arid areas

- Drought preparedness
- Animal health
- Livestock Marketing
- Value chains development (livestock related products)
- Fodder development
- Water conservation and harvesting
- Support to communities for Contingency Plans preparation
- Conflict resolution and access to resources

- Lot 2 Semi-arid areas.

- Value chains Development (orphan crops and/or fodder) including seeds production
- Storage
- Support to marketing
- Water conservation and harvesting
- Support to communities for Contingency Plans preparation

The choice of the geographical target and sectoral themes for the proposals will have to be presented and justified at Concept Note level in the Relevance chapter on the basis of the following priority criteria:

- a. Lot 1 :i) historical vulnerability to drought; ii) demonstrated coherence with GoK Asal sessional paper main priorities; iii) integration and complementarity with on going and proposed actions in the proposed areas; iv) potential for integration with on going and planned GoK actions in the proposed areas v) demonstrated contribution to a defined ASDS ASAL priority area, vi) potential for value chain development.
- b. Lot 2 :i) potential for value chain development; ii) demonstrated coherence with GoK ASAL sessional paper main priorities; iii) integration and complementarity with on going actions in the proposed areas; iv) potential for integration with on going and planned GoK actions in the proposed

areas, v) demonstrated contribution to a defined ASDS ASAL priority area.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is EUR 9,000,000. The Contracting Authority reserves the right not to award all available funds.

**Indicative allocation of funds by lot: Lot 1 EUR 6,000,000;
Lot 2 EUR 3,000,000**

In the case where the minimum percentage foreseen for a specific lot cannot be used due to insufficient quality or number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to another lot.

Size of grants

Any grant awarded under this Call for Proposals must fall between the following minimum and maximum amounts:

For Lot 1

- minimum amount: EUR 1,000,000
- maximum amount: EUR 2,000,000

For Lot 2

- minimum amount: EUR 500,000
- maximum amount: EUR 1,000,000

Any grant awarded under this Call for Proposals must fall between the following minimum and maximum percentages of total eligible costs of the action

- Minimum percentage: 80 % of the total estimated eligible costs of the action.
- Maximum percentage: 90 % of the total eligible costs of the action (see also section 2.1.4).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund¹.

¹ Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions financed under this Call, in conformity with the provisions of the Practical Guide to contract procedures for EU external actions, which is applicable to the present call (available on the Internet at this address: http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm).

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- applicant(s) which may request a grant (2.1.1), and their partners (2.1.2);
- actions for which a grant may be awarded (2.1.3);
- types of cost which may be taken into account in setting the amount of the grant (2.1.4).

2.1.1 *Eligibility of applicants: who may apply?*

(1) In order to be eligible for a grant, applicants **must**:

- be legal persons **and**
- be non profit making **and**
- be non-governmental organisations, public sector operators, local authorities, international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation² **and**
- be nationals³ of a Member State of the European Union, an official candidate country recognised by the EU, a Member State of the EEA (European Economic Area), ACP countries and a least developed country according to the UN **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary
- International organisations (as defined by EU rules) are also eligible to apply under this call; they should not fulfil eligibility rules as listed under the fourth bullet above

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations which are listed in Section 2.3.3 of the Practical Guide to contract procedures for EU external actions (available from the following Internet address: http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm);

In part A, section III of the grant application form (“Declaration by the applicant”), applicants must declare that they do not fall into any of these situations.

2 International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies, European Investment Bank (EIB) and European Investment Fund (EIF) are also recognized as international organisations.

3 Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the national law of the country concerned. 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.

2.1.2 Partnerships and eligibility of partners

Applicants may act individually or with partner organisations.

Applicants' partners participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the grant beneficiary. They must therefore satisfy the eligibility criteria as applicable on the grant beneficiary himself.

The following are not partners and do not have to sign the “partnership statement”:

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but 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 referred to in section 2.1.1. The associates have to be mentioned in Part B section IV - “Associates of the Applicant participating in the Action” of the Grant Application Form.

- Contractors

The grant beneficiaries have the possibility to award contracts. Contractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract.

The applicant will act as the lead organisation and, if selected, as the contracting party (the "Beneficiary").

2.1.3 Eligible actions: actions for which an application may be made

Definition: An action (or project) is composed of a set of activities.

Duration

The planned duration of an action may not exceed 48 months.

Sectors or themes

The section and themes must correspond to the objectives and priorities set out under points 1.2

Location

Actions must take place in ASAL areas in Kenya.

Types of action

The actions correspond to the objectives and priorities set out under points 1.2

Types of activity

Activities in the areas of action specified in section 1.2 may be financed under this call.

Note that the applicant must comply with the objectives and priorities and guarantee the visibility of the EU-financing (see the Communication and Visibility Manual for EU external actions laid down and published by the European Commission at (see http://ec.europa.eu/europeaid/work/visibility/index_en.htm).

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;

- actions concerned only or mainly with individual scholarships for studies or training courses;

Number of applications and grants per applicant

An applicant may not submit more than one application per lot under this Call for Proposals.

An applicant may not be awarded more than one grant per lot under this Call for Proposals.

An applicant may not at the same time be partner in another application

Partners may take part in more than one application

2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant

Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding applies).

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of the EU co-financing as a result of these corrections may not be increased.

It is therefore in the applicant's interest to provide a **realistic and cost-effective budget**.

Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex F of the Guidelines).

Contingency reserve

A contingency reserve not exceeding 5% of the estimated direct eligible costs (excluding taxes) may be included in the Budget of the Action. It can only be used with the **prior written authorisation** of the Contracting Authority.

Eligible indirect costs (overheads)

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding fixed at not more than 7% of the estimated total eligible direct costs (excluding taxes). Indirect costs are eligible provided that they do not include costs assigned to another heading of the budget of the standard grant contract. The applicant may be asked to justify the requested percentage before contracting. However, once the flat-rate has been fixed in the special conditions of the standard grant contract, no supporting documents need to be provided.

If the applicant is in receipt of an operating grant financed from the EU, no indirect costs may be claimed within the proposed budget for the action.

Contributions in kind

Contributions in kind are not considered actual expenditure and are not eligible costs. The contributions in kind may not be treated as co-financing by the Beneficiary.

Notwithstanding the above, if the description of the action as proposed by the Beneficiary foresees the contributions in kind, such contributions have to be provided.

Ineligible costs

The following costs are not eligible:

- debts and debt service charges
- provisions for losses or potential future liabilities;
- interest owed;
- costs declared by the beneficiary and covered by another action or work programme;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest by the end of the action;
- currency exchange losses;
- taxes, including VAT, except if Beneficiary can prove it cannot claim the VAT;
- credit to third parties.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

Prior registration in PADOR for this Call for Proposals is not obligatory. Information in PADOR will not be drawn upon in the present Call

2.2.1 Concept Note content

Applications must be submitted in accordance with the instructions on the Concept Note included in the Grant Application Form annexed to these Guidelines (Annex A).

Applicants must apply in English.

In the Concept note, the applicants must only provide an estimate of the total costs of the action together with the amount of contribution and percentage requested from the Contracting Authority. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The elements assessed on the basis of the concept note may not be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%. The applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in the present Guidelines under section 1.2-

Any error or major discrepancy related to the points listed in the instructions on the Concept Note may lead to the rejection of the Concept Note.

Clarifications will only be requested when information provided is unclear, thus preventing the Contracting Authority from conducting an objective assessment.

Hand-written Concept Notes will not be accepted.

Please note that only the Concept Note form will be evaluated. It is therefore of utmost importance that this document contain ALL relevant information concerning the action. No additional annexes should be sent.

2.2.2 Where and how to send concept notes

The Concept note together with the Checklist for the Concept Note (Part A section II of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section III of the grant application form) must be submitted in one original and three copies in A4 size, each bound.

Concept Notes must be submitted as well in electronic format (CD-Rom). The electronic format must contain **exactly the same** application as the paper version enclosed.

Where an applicant sends several different concept notes (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the lot number and title the full name and address of the applicant, and the words "Not to be opened before the opening session".

Concept Notes must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) at the address below:

Postal address

<Permanent Secretary, Ministry of State for Development of Northern Kenya and other Arid Lands, P.O. Box 79247, 00200 – Nairobi, Kenya>

Address for hand delivery or by private courier service

< Permanent Secretary's Office, Biashara Street/Moi Avenue, Bazaar Plaza, 3rd Floor >

Concept Notes sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

Applicants must verify that their Concept Note is complete using the Checklist for Concept Note (Part A section II of the grant application form). Incomplete concept notes may be rejected.

2.2.3 *Deadline for submission of the Concept Notes*

The deadline for the submission of Concept Note is <31.01.2012> as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at <1000 hours local time> as evidenced by the signed and dated receipt. Any Concept Note submitted after the deadline will automatically be rejected.]

However, for reasons of administrative efficiency, the Contracting Authority may reject any Concept Note received after the effective date of approval of the Concept note evaluation (see indicative calendar under section 2.5.2)

2.2.4 *Further information for Concept Note*

[An information session on this Call for Proposals will be held on < 30.11.2011> at <0900 hours>].

Questions may be sent by e-mail [or by fax] no later than 21 days before the deadline for the submission of concept notes to the below address(es), indicating clearly the reference of the Call for Proposals:

E-mail address: Mr. Julius Mburu cfpkrdp@dmikenya.or.ke

[Fax: <254 20 2211725>]

The Contracting Authority has no obligation to provide further clarifications after this date.

Replies will be given no later than 11 days before the deadline for the submission of concept notes.

In the interest of equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of an applicant, a partner, an action or specific activities.

Questions that may be relevant to other applicants, together with the answers as well as other important notices to applicants during the course of the evaluation procedure, may be published on the internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, as the need arises. It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

2.2.5 *Full Application form*

Applicants invited to submit a full application form following the pre-selection of the Concept Note must do so by using the Part B of the application form annexed to these Guidelines (Annex A). Applicants should keep strictly to the format of the application form and fill in the paragraphs and the pages in order.

The elements assessed on the basis of the concept note cannot be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%, while the applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines under section 1.2.

Applicants must submit their applications in the same language as their concept note.

Please complete the full application form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the Checklist (Part B, Section V of the Grant Application form) or any major inconsistency in the full application form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the full application form) may lead to the rejection of the application.

Clarifications will only be requested when information provided is unclear, thus preventing the Contracting Authority from conducting an objective assessment.

Hand-written applications will not be accepted.

Please note that only the full application form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators and assessors. It is therefore of utmost importance that these documents contain ALL relevant information concerning the action. **No supplementary annexes should be sent.**

2.2.6 *Where and how to send the Full Application form*

Applications must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) at the address below:

Postal address

<Permanent Secretary, Ministry of State for Development of Northern Kenya and other Arid Lands, P.O. Box 79247, 00200 – Nairobi, Kenya>

Address for hand delivery and by private courier service

< Permanent Secretary's Office, Biashara Street/Moi Avenue, Bazaar Plaza, 3rd Floor >

Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

Applications must be submitted in one original and three copies in A4 size, each bound. The full application form, budget and logical framework must also be supplied in electronic format (CD-Rom) in a separate and unique file (e.g. the full application form must not be split into several different files). The electronic format must contain **exactly the same** application as the paper version.

The Checklist (Section V of part B of the grant application form) and the Declaration by the applicant (Section VI of part B of the grant application form) must be stapled separately and enclosed in the envelope. Where an applicant sends several different applications (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer envelope must bear the **reference number and the title of the Call for Proposals**, together with the number and title of the lot, the full name and address of the applicant, and the words "Not to be opened before the opening session".

Applicants must verify that their application is complete using the checklist (section V of part B of the grant application form). Incomplete applications may be rejected.

2.2.7 Deadline for submission of the Full Application form

The deadline for the submission of applications will be indicated in the letter sent to the applicants whose application has been preselected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any application received after the effective date of approval of evaluation report for full applications (see indicative calendar under section 2.5.2)

2.2.8 Further information for the Full Application form

Questions may be sent by e-mail, or by fax, no later than 21 days before the deadline for the submission of applications to the addresses listed below, indicating clearly the reference of the Call for Proposals:

E-mail address: Mr. Julius Mburu <cfpkrdp@dmikenya.or.ke >
[Fax: <254 20 2211725 >]

Contracting Authority has no obligation to provide further clarifications after this date.

Replies will be given no later than 11 days before the deadline for the submission of applications. In the interest of equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of an applicant, a partner or an action.

Questions that may be relevant to other applicants, together with the answers, will be published on the internet at website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> . It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Contracting Authority with the possible assistance of external assessors. All actions submitted by applicants will be assessed according to the following steps and criteria.

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1.3, the application shall be rejected on this sole basis.

(1) STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Concept Note satisfies all the criteria specified in points 1-5 of the Checklist (section II of part A of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance and design of the action.

The Concept Note will be given an overall score out of 50 points in accordance with the breakdown provided in the Evaluation Grid below. The evaluation shall also verify the compliance with instructions provided in the guidance for Concept Note.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

		Scores	
1. Relevance of the action		Sub-score	30
1.1	How relevant is the proposal to the objectives and priorities of the Call for Proposals?*	5x2**	
1.2	How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal? (including synergy with other EU initiatives and avoidance of duplication)	5x2*	
1.3	How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5	
1.4	Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices and the other additional elements indicated under 1.2. of these guidelines?	5	
2. Design of the action		Sub-score	20
2.1	How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**	
2.2	Is the action feasible and consistent in relation to the objectives and expected results?	5x2**	
TOTAL SCORE			50

* Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses more than the required minimum number of priorities as indicated in section 1.2 (Objectives of the programme) of these guidelines.

** the scores are multiplied by 2 because of their importance

Once all Concept Notes have been assessed, a list will be established with the proposed actions ranked according to their total score.

First, only the Concept Notes which have been given a score of a minimum of 30 points will be considered for pre-selection.

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to <thrice > the available budget for this Call for Proposals, taking into account the indicative financial envelopes foreseen by lot.

Following the Concept Note evaluation, the Contracting Authority will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated and whether the Concept Note were evaluated and the results of that evaluation. The preselected applicants will subsequently be invited to submit full applications.

(2) STEP 2: EVALUATION OF THE FULL APPLICATION

First, the following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The full application form satisfies all the criteria specified in points 1-8 of the Checklist (Section V. of part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

An evaluation of the quality of the applications, including the proposed budget, and of the capacity of the applicant and its partners, will be subsequently carried out in accordance with the evaluation criteria set out in the Evaluation Grid included below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria are intended to help evaluate the applicants' financial and operational capacity to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the period during which the action is being carried out and, where appropriate, to participate in its funding;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This also applies to any partners of the applicant.

The award criteria allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the Call for Proposals. They enable the selection of applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover such aspects as the relevance of the action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

Scoring:

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

Section	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicant and, if applicable, partners have sufficient experience of project management?	5
1.2 Do the applicant and, if applicable partners have sufficient technical expertise? (notably knowledge of the issues to be addressed.)	5
1.3 Do the applicant and, if applicable, partners have sufficient management capacity? (including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the applicant have stable and sufficient sources of finance?	5
2. Relevance of the action	30
<i>Score transferred from the Concept Note evaluation</i>	
3. Effectiveness and feasibility of the action	20
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is evaluation foreseen?	5
3.4 Is the partners' level of involvement and participation in the action satisfactory?*	5
4. Sustainability of the action	15
4.1 Is the action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects? (Including scope for replication and extension of the outcome of the action and dissemination of information.)	5
4.3 Are the expected results of the proposed action sustainable: - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>) - environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	5
5. Budget and cost-effectiveness of the action	15
5.1 Are the activities appropriately reflected in the budget?	5x2*
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5
Maximum total score	100

*the scores are multiplied by 2 because of their importance

Note on Section 1. Financial and operational capacity

If the score is less than 12 points for section 1, the application will be rejected.

Provisional selection

Following the evaluation, a table listing the applications ranked according to their score and within the available financial envelope will be established as well as a reserve list following the same criteria.

(3) STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS

The eligibility verification, based on the supporting documents requested by the Contracting Authority (see section 2.4) will only be performed for the applications that have been provisionally selected according to their score and within the available financial envelope.

- The Declaration by the applicant (Section VI of part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of the applicant, the partners, and the action will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

Following the above analysis and if necessary, any rejected application will be replaced by the next best placed application in the reserve list that falls within the available financial envelope, which will then be examined for the eligibility of its applicant and the partners.

2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

Applicants who have been provisionally selected or listed under the reserve list will be informed in writing by the Contracting Authority. They will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicants and their partners:

1. The statutes or articles of association of the applicant organisation⁴ and of each partner organisation. Where the Contracting Authority has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g.: copy of the special conditions of a grant contract received during the reference period), unless a change in its legal status has occurred in the meantime.⁵
2. Where the grant requested exceeds EUR 500 000 (EUR 100 000 for an operating grant), an external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available.
3. Copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)⁶.
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by the applicant, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the Contracting Authority, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status occurred in the meantime.
5. A financial identification form conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank must be located in the country where the applicant is registered. If the applicant has already signed a contract with the European Commission or where the European Commission has been in charge of the payments of a contract, a copy of the previous financial identification form may be provided instead, unless a change in its bank account occurred in the meantime.

⁴ Where the applicant and/or (a) partner(s) is a public body created by a law, a copy of the said law must be provided

⁵ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

⁶ This obligation does not apply to natural persons who have received a scholarship, nor to public bodies nor to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to section 2.4.2.

Where the requested supporting documents are not uploaded in PADOR they must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals. However, the Legal entity sheet and the financial identification form must always be submitted in original.

Where such documents are not in one of the official languages of the European Union, a translation into English of the relevant parts of these documents, proving the applicant's eligibility, must be attached and will prevail for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than English, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicant's eligibility, into English.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the applicant by the Contracting Authority, the application may be rejected.

Based on the verification of the supporting documents by the Evaluation Committee it will make a final recommendation to the Contracting Authority which will decide on the award of grants.

2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1 Content of the decision

Applicants will be informed in writing of the Contracting Authority's decision concerning their application and, in case of rejections, the reasons for the negative decision.

Applicants believing that they have been harmed by an error or irregularity during the award process may file a complaint. See further section 2.4.15 of the Practical Guide.

2.5.2 Indicative time table

	DATE	TIME*
Information meeting (if any)	30.11.2011	0900hrs
Deadline for request for any clarifications from the Contracting Authority	10.01.2012	1600hrs
Last date on which clarifications are issued by the Contracting Authority	20.01.2012	1600hrs
Deadline for submission of Concept Notes	31.01.2012	1000hrs
Information to applicants on the opening & administrative checks and concept note evaluation (step 1)	29.02.2012	
Invitations for submission of Full Application Form]	15.03.2012	-
Deadline for submission of Full Application Form	02.05.2012	1000hrs
Information to applicants on the evaluation of the Full Application Form (step 2)	08.06.2012	1600hrs
Notification of award (after the eligibility check) (step 3)	06.07.2012	-1600hrs
Contract signature	31.08.2012	-

Provisional date. All times are in the time zone of the country of the Contracting Authority

This indicative timetable may be updated by the Contracting Authority during the procedure. In such case, the updated timetable shall be published on internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>.

2.6 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the Beneficiary will be offered a contract based on the Contracting Authority's standard grant contract (see Annex F of these Guidelines). By signing the Application form (Annex A of these Guidelines), the applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the standard grant contract.

If the successful applicant is an international organisation, the model Contribution Agreement with an international organisation or any other contract template agreed between the international organisation concerned and the Contracting Authority will be used instead of the standard grant contract provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide to contract procedures for EU external actions.]

The international organisation has to ensure that financial reporting against the submitted budget can be done as required per contractual clauses. Templates of contribution agreements can be found on the following link:

http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/index_en.htm

Implementation contracts

Where implementation of the action requires the Beneficiary to award procurement contracts, it must award the contract to the tenderer offering the best value for money, that is to say, the best price-quality ratio, in compliance with the principles of transparency and equal treatment for potential contractors, care being taken to avoid any conflict of interests. To this end, the Beneficiary must follow the procedures set out in Annex IV to the standard grant contract.

2.7 EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE

The applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125) or
- the Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

their personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the EWS only or both in the EWS and CED, and communicated to the persons and entities listed in the above-mentioned Decision and Regulation, in relation to the award or the execution of a grant agreement or decision.]

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

[ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)⁷]

[ANNEX D: LEGAL ENTITY SHEET (EXCEL FORMAT)⁸]

[ANNEX E: FINANCIAL IDENTIFICATION FORM]

DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD GRANT CONTRACT

- ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN UNION-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS
- ANNEX IV: CONTRACT AWARD PROCEDURES
- ANNEX V: STANDARD REQUEST FOR PAYMENT
- ANNEX VI: MODEL NARRATIVE AND FINANCIAL REPORT
- ANNEX VII: MODEL REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EU FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS
- ANNEX VIII: MODEL FINANCIAL GUARANTEE
- ANNEX IX: STANDARD TEMPLATE FOR TRANSFER OF OWNERSHIP OF ASSETS
- ANNEX G: DAILY ALLOWANCE RATES (PER DIEM), available at the following address:
http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm
- ANNEX I: STANDARD CONTRIBUTION AGREEMENT, APPLICABLE IN CASE WHERE THE BENEFICIARY IS AN INTERNATIONAL ORGANISATION
- ANNEX J: INFORMATION ON THE TAX REGIME APPLICABLE TO GRANT CONTRACTS SIGNED UNDER THE CALL.

PROJECT CYCLE MANAGEMENT GUIDELINES

http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm

⁷ Optional where the total amount of the grants to be awarded under the Call for Proposals is EUR 100 000 or less.

⁸ Only applicable where the European Commission is the Contracting Authority or will make the payments under the contracts to be signed.