



Contracting Authority: European Commission

Peaceful and Resilient Borderlands in the Horn of Africa

Guidelines for grant applicants

Budget line:

14.020121 (Eastern and Central Africa)

Reference:

EuropeAid/176874/DD/ACT/Multi

Deadline for submission¹ of concept notes:

02/05/2023 at 12:00 (Brussels date and time)

(in order to convert to local time click [here](#)²)

¹ Online submission via PROSPECT is mandatory for this call for proposals (see Section 2.2.2). In PROSPECT all dates and times are expressed in Brussels time. Applicants should note that the IT support is open Monday to Friday from 08:30 to 18:30 Brussels time (except during European Commission public holidays in Belgium as published in the Official Journal). Applicants should take note of the weekly maintenance hours mentioned in the PROSPECT user manual.

² An example of a time converter tool available online: <http://www.timeanddate.com/worldclock/converter.html>

NOTICE

This is a restricted call for proposals. In the first instance, only concept notes (Annex A.1 – Grant application form - Concept note) must be submitted for evaluation. Thereafter, lead applicants who have been pre-selected will be invited to submit a full application (Annex A.2 – Grant application form – Full application). After the evaluation of the full applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the contracting authority and the signed ‘declaration by the lead applicant’ sent together with the full application.

To apply to this call for proposals organisations must register in PADOR and submit their application in PROSPECT (see section 2.2.2 of the guidelines). The aim of PROSPECT is to increase the efficiency of the management of the call for proposals and to offer a better service to civil society organisations through a new panel of functionalities such as the on-line submission and the possibility to follow up online the status of their application.

Preparation: Information session 18/04/2023 and user manuals

To help applicants familiarise themselves with the system before the online submission, an information session will be organised on 18/04/2023 at 14:00 East African Time.

Should you be interested in this session, please send an email by 14/04/2023 to **DELEGATION-KENYA-TENDERS-AND-CFP@eeas.europa.eu**, indicating: name, surname, nationality and email address of the persons who are going to participate as well as their organisation (max. two participants per organisation). No costs incurred by the applicants for attending this information session are reimbursable.

All organisations may find more information regarding PROSPECT in the [user's manual](#) and the [e-learning videos](#). You may also contact our technical support team via the online support form in PROSPECT³.

³ If PROSPECT is unavailable, the IT support can also be reached via email: INTPA-SUPPORT-SERVICES@ec.europa.eu

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1. PEACEFUL AND RESILIENT BORDERLANDS IN THE HORN OF AFRICA

1.1. BACKGROUND

Borderlands in Sub-Saharan Africa are often associated with conflict, violence and marginalisation. In addition, violent extremism is seen as an increasing threat in some regions. At the same time, livelihood systems and population movements tend to span beyond international borders. Recent research has underlined this, demonstrating how an important share of border areas and communities' livelihoods, resilience, peace and cultural patterns are cross-border by nature. In addition, borders imposed by colonial powers and/or central governments have often been perceived as artificial constructions which do not reflect those close transboundary ties. Hence, borderlands in the region are characterised by a mismatch between separate political and administrative systems and the interconnectedness of communities.

Even though cross-border dynamics can have a significant impact on national economies and stability, these regions have suffered from a lack of attention by their respective centres of national administration. Pastoralism and agro-pastoralism are the main economic activities in the Horn of Africa borderlands. With populations growing rapidly, and the increasingly visible impacts of climate change and environmental degradation, traditional livelihoods however provide generally low levels of income. Informal employment opportunities exist, but cannot meet the demand of youth seeking employment. Trade, often unregulated, in goods and animals, as well as relatively lucrative smuggling and human trafficking networks cannot be disregarded. In nearly all areas, a lack of adequate investment, ranging from infrastructure to Government services undermines the marginalisation borderland communities are faced with.

As a result, instability is common and often manifests itself in the form of clan conflict, with rival groups competing for scarce resources (especially land and water). The widespread availability of small arms and light weapons is also seen as a considerable concern. However, conflict varies in intensity, while occasionally being linked to developments at national or even regional level. For example, the Mandera region between Kenya, Ethiopia and Somalia has not only seen the presence of Al Shabaab but was also the centre of a conflict between the Somali Armed Forces and a local clan militia in 2020. The Government of Somalia accused Kenya of supporting the local leader, who was seeking refuge on the Kenyan side of the border. In the Moyale region, conflicts between the two main clans Borana and Gabra has led to widespread violence in the past years. In fact, a peace deal was signed in 2022 between the two communities. Instability is also linked to the incapacity of national Governments to effectively exercise control over their remote territories.

The Inter-governmental Authority on Development (IGAD) plays a critical role in convening national Governments at highest political level. Due to the inter-governmental nature of the organisation, it also has a focus on cross-border cooperation and targeting development initiatives for marginalised borderlands. In 2020, IGAD Member States finalised the IGAD Protocol on Transhumance, the ratification of which is still ongoing. In order to manage the cross-border regions, IGAD has developed a Cluster approach under the IGAD Drought Disaster Resilience Sustainability Initiative (IDDRSI) framework. The following clusters have been agreed upon, even though there are ongoing discussions on adding further areas:

- Cluster I: Karamoja/Kenya-Ethiopia-South Sudan-Uganda
- Cluster II: Moyale-Borana/Kenya-Ethiopia
- Cluster III: Somali/Kenya-Ethiopia-Somalia
- Cluster IV: Dakhil/Ethiopia-Somalia-Djibouti

The EU has been active in the above Clusters I-III since 2017 through the programme 'Collaboration in Cross-Border Areas of the Horn of Africa', funded under the EU Trust Fund for Africa.⁴

⁴ A Case Study on the programme was conducted in 2020/21 and is available here: https://ec.europa.eu/trustfundforafrica/sites/default/files/cross-border_case_study_final_20012021.pdf

1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

This Call for Proposals corresponds to the implementation of Specific Objective 1 of the Action ‘Peaceful and Resilient Borderlands’ (ACT-61057). A separate component not included under the Call will support the coordination and relationship with IGAD.

The **global objective** of this call for proposals is to enhance effectiveness of conflict prevention and mitigation, disaster risk reduction and management, and resilience-building in cross-border communities in select border areas in the Horn of Africa.

The **specific objectives** of this call for proposals are:

- Enhanced capacities of formal and informal cross-border stakeholders in conflict prevention and management and social cohesion building, with particular focus on women (and youth).
- Enhanced access to income generating opportunities and shared natural resources for borderlands community members.

The **priority(ies)** of this call for proposals is/are to:

- Work with the respective communities and local institutions in the targeted clusters, identifying the underlying causes of conflict prior to implementing conflict prevention and management measures. As previous experience has shown, only a very community-centred implementation model can succeed in the targeted areas.
- Support communities, local authorities and other relevant stakeholders in becoming more resilient towards both conflict as well as the impacts of other, often climate related, shocks. As outlined in section, 2.1.3, a number of complementing activities may contribute to this objective, including by working through Disaster Risk Reduction Committees (DRR), improved small-scale infrastructure, improved skills and knowledge and the support to obtain an income from alternative livelihoods to avoid sole dependence on keeping livestock.
- The proposals are expected to highlight the cross-border nature of the selected clusters. Despite the absence of formal border crossings (apart from Moyale), cross-border communities are very connected and depend on small-scale trade as well as frequently cross-borders to access certain services, such as health and education.
- Ensure that *cross-cutting elements* are strongly considered in the respective proposals:
 - *Environmental Protection & Climate Change*: The select border areas are located in arid and semi-arid lands which are vulnerable to climate change. Unpredictable weather patterns, such as long periods of drought followed by heavy rainfall, are leading to less predictable conditions, including on food and water security. Hence, the proposed activities must promote and support landscape approaches based on the dissemination/adoption of climate change adaptation practices (e.g. in agriculture and natural resources management). The proposals must also consider contributions to increased resilience, fighting against desertification and disaster risk reduction.
 - *Gender equality and empowerment of women and girls*: Gender equality is considered a deliberate objective throughout the programme, hence all activities must actively apply specific targeting and gender sensitive inclusion. This is in line with the EU Gender Action Plan - GAP III, notably area 3: ‘towards a gender-equal world’. Overall, the proposals are expected to consider gender considerations in all the components, phases, stages and activities. It shall draw attention to female-led peace initiatives as well as target female-headed households and women's empowerment when providing sustainable livelihoods interventions.
 - *Conflict sensitivity, peace and resilience*: Conflict sensitive approaches must guide the design of each proposal. For this, a good knowledge of the actors, causes, dynamics and consequences of conflicts is essential. In addition, it is key to ensure all activities are presented and discussed with community leaders from all involved communities, to ensure no misconceptions arise, especially with regard to access to resources, considered as a key driver of conflict.
 - *Human rights*: Proposals must be guided by a human rights-based approach with a specific focus on supporting ethnic minority groups.

- Show willingness to coordinate with successful implementing partners in other lots as well as the foreseen coordination component and IGAD. A Steering Committee will be set up across the programme, as well as coordination meetings for each Cluster.
- The proposals should take into consideration the work completed under phase one of the programme: *Collaboration in Cross-border areas in the Horn of Africa*. Yet, it must consider local and geo-political developments that have occurred since the adoption of the previous programme, while taking into account the severe impact of the ongoing drought and include activities that can strengthen the resilience towards climatic shocks, which are becoming increasingly frequent in the Horn of Africa.

1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is EUR 34,000,000. The contracting authority reserves the right not to award all available funds.

Indicative allocation of funds by lot/geographical distribution:

If the allocation indicated 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 other lots.

Size of grants

Any grant requested under this call for proposals must fall between the following minimum and maximum amounts:

Lot 1: Karamoja Cluster (focusing on the border region of South Omo/Ethiopia, Turkana/Kenya and Eastern Equatoria/South Sudan)

- minimum amount: EUR 13,000,000
- maximum amount: EUR 14,000,000

Lot 2: Moyale-Borana Cluster (focusing on the Moyale border area of Kenya and Ethiopia)

- minimum amount: EUR 5,000,000
- maximum amount: EUR 6,000,000

Lot 3: Somali Cluster (focusing on the Mandera triangle between Kenya, Ethiopia and Somalia)

- minimum amount: EUR 13,000,000
- maximum amount: EUR 14,000,000

Any grant requested 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 eligible costs of the action.
- Maximum percentage: 90 % of the total eligible costs of the action (see also Section 2.1.4).

- Maximum percentage: 95 % of the total eligible costs of the action (see also Section 2.1.4.) in case of applicant(s) (and affiliated entity(ies) where applicable) established⁵ in any of the locations laid down in Section 2.1.3.

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 sources other than the general budget of the Union or the European Development Fund⁶.

⁵ As evidenced by the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned. See also footnote n. 9. For avoidance of doubt, international organisations, where eligible, are not entitled to claim the different maximum co-financing rate.

⁶ 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 the actions financed under this call, in conformity with the practical guide, which is applicable to the present call (available on the internet at this address <https://wikis.ec.europa.eu/display/ExactExternalWiki/ePRAG>).⁷

2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors (2.1.1.):

- The **'lead applicant'**, i.e. the entity submitting the application form;
- if any, its **co-applicant(s)** (**where it is not specified otherwise the lead applicant and its co-applicant(s) are hereinafter jointly referred as 'applicant(s)'**);
- and, if any, **affiliated entity(ies)** to the lead applicant and/or to a co-applicant(s);

(2) the actions (2.1.3.):

- actions for which a grant may be awarded;

(3) the costs (2.1.4.):

- types of cost that may be taken into account in setting the amount of the grant.

2.1.1. Eligibility of applicants (i.e. lead applicant and co-applicant(s))

Lead applicant

(1) In order to be eligible for a grant, the lead applicant must:

- be a legal person **and**
- be a non-governmental organisation, local authorities, economic operators such as SMEs, international (inter-governmental) organisation as defined by Article 156 of the EU Financial Regulation⁸ **and**
- be established in⁹ a Member State of the European Union or any other country¹⁰ as stipulated in the Neighbourhood, Development and International Cooperation Instrument (NDICI - Global Europe), see PRAG Annex A2a1.

⁷ Note that a lead applicant (i.e. a coordinator) whose pillars have been positively assessed by the European Commission and who is awarded a grant will not sign the standard grant contract published with these guidelines but a contribution agreement based on the contribution agreement template. All references in these guidelines and other documents related to this call to the standard grant contract shall in this case be understood as referring to the relevant provisions of the contribution agreement template.

⁸ 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 are also recognised as international organisations.

⁹ To be 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 and that its head office is located in an eligible country. 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.

and

- 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 **and**
- have previous experience in the sectors and geographical areas to be addressed under this call for proposals.

The role the lead applicant should not be limited to the overall coordination, management, monitoring and evaluation of the proposed intervention. In case the lead applicant acts with co-applicants, it needs to be involved in direct joint implementation of the proposed activities based on clear sharing of tasks.

In the case of consortium, there should be a clear thematic sharing of tasks among the lead applicant and the co-applicants. It is important to sign preliminary agreement/Memorandum of Understanding that clearly reflects the sharing of project roles and responsibilities.

- (2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in Section 2.6.10.1 of the practical guide:

Lead applicants, co-applicants, affiliated entities and, in case of legal entities, persons who have powers of representation, decision-making or control over the lead applicant, the co-applicants and the affiliated entities are informed that, should they be in one of the situations of early detection or exclusion according to Section 2.6.10.1 of the practical guide, 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 early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract. In this respect, provisionally selected lead applicants, co-applicants and affiliated entities or those placed in the reserve list are obliged to declare that they are not in one of the exclusion situations through a signed declaration on honour (PRAG Annex A14). For grants of EUR 15 000 or less, no declaration on honour is required. See section 2.4.

In Annex A.1 Section 2 and Annex A.2 Section 5 ('declaration(s) by the lead applicant'), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The lead applicant may act individually or with co-applicant(s).

If awarded the grant contract, the lead applicant will become the beneficiary identified as the coordinator in Annex G (special conditions). The coordinator is the sole interlocutor of the contracting authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinate the design and implementation of the action.

Co-applicant(s)

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-applicants must satisfy the eligibility criteria as applicable to the lead applicant himself.

Co-applicants must sign the mandate in Annex A.2 Section 5.

If awarded the grant contract, the co-applicant(s) (if any) will become beneficiary(ies) in the action (together with the coordinator)

¹⁰ With regard to Israeli entities, please follow Guidelines on the eligibility of Israeli entities and their activities in the territories occupied by Israel since June 1967 for grants, prizes and financial instruments funded by the EU from 2014 onwards (OJ C 205, 19.7.2013, p. 9).

(3) In addition, please note that contracts cannot be awarded to or signed with applicants included in the lists of EU restrictive measures (see Section 2.4. of the PRAG).

Affiliated entities

The lead applicant and its co-applicant(s) may act with affiliated entity(ies).

Only the following entities may be considered as affiliated entities to the lead applicant and/or to co-applicant(s):

Only entities having a structural link with the applicants (i.e. the lead applicant or a co-applicant), in particular a legal or capital link.

This structural link encompasses mainly two notions:

- (i) Control, as defined in Directive 2013/34/EU on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings:

Entities affiliated to an applicant may hence be:

- Entities directly or indirectly controlled by the applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by the applicant (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
 - Entities directly or indirectly controlling the applicant (parent companies). Likewise, they may be entities controlling an entity controlling the applicant;
 - Entities under the same direct or indirect control as the applicant (sister companies).
- (ii) Membership, i.e. the applicant is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the applicant participates in the same entity (e.g. network, federation, association,...) as the proposed affiliated entities.

The structural link shall as a general rule be neither limited to the action nor established for the sole purpose of its implementation. This means that the link would exist independently of the award of the grant; it should exist before the call for proposals and remain valid after the end of the action.

By way of exception, an entity may be considered as affiliated to an applicant even if it has a structural link specifically established for the sole purpose of the implementation of the action in the case of so-called 'sole applicants' or 'sole beneficiaries'. A sole applicant or a sole beneficiary is a legal entity formed by several entities (a group of entities) which together comply with the criteria for being awarded the grant. For example, an association is formed by its members.

What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

- Entities that have entered into a (procurement) contract or subcontract with an applicant, act as concessionaires or delegates for public services for an applicant,
- Entities that receive financial support from the applicant,
- Entities that cooperate on a regular basis with an applicant on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract (unless this consortium agreement leads to the creation of a 'sole applicant' as described above).

How to verify the existence of the required link with an applicant?

The affiliation resulting from control may in particular be proved on the basis of the consolidated accounts of the group of entities the applicant and its proposed affiliates belong to.

The affiliation resulting from membership may in particular be proved on the basis of the statutes or equivalent act establishing the entity (network, federation, association) which the applicant constitutes or in which the applicant participates.

If the applicants are awarded a grant contract, their affiliated entity(ies) will not become beneficiary(ies) of the action and signatory(ies) of the grant contract. However, they will participate in the design and in the implementation of the action and the costs they incur (including those incurred for implementation contracts and financial support to third parties and subcontractors) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the beneficiary(ies) under the grant contract.

Affiliated entity(ies) must satisfy the same eligibility criteria as the lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Annex A.2 Section 5.

2.1.2. Associates and contractors

The following entities are not applicants nor affiliated entities and do not have to sign the 'mandate for co-applicant(s)' or 'affiliated entities' statement:

- Associates

Other organisations or individuals 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. Associates must be mentioned in Annex A.2 Section 4 — 'Associates participating in the action'.

- Contractors

The beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot be also contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

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

Definition:

An action is composed of a set of activities.

Duration

The initial planned duration of an action may not exceed 36 months.

Sectors or themes

Conflict prevention and peace building, and resilience-building.

Location

Actions must take place in the following regions:

- Lot 1 = Cluster I: Karamoja (focusing on the border regions of South Omo/Ethiopia, Turkana/Kenya and Eastern Equatoria/South Sudan);
- Lot 2 = Cluster II: Moyale-Borana (focusing on the Moyale border area of Kenya and Ethiopia);
- Lot 3 = Cluster III: Somali Cluster (focusing on the Mandera triangle between Kenya, Ethiopia and Somalia).

Types of action

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;

Types of activity

- Identify current drivers of instability and particularly conflict and historic grievances; Revise project documents to reflect outcomes of research conducted during the evaluation phase; Design regional and local contingency plans in the case of unforeseen circumstances including natural disasters, such as large-scale conflict and displacement;
- Sensitize stakeholders on conflict sensitivity and peace responsiveness; Support cross-border peace actors (formal and informal institutions) with logistical support and capacity building on conflict prevention; Introduce peace education in schools to educate new generations; Enable women-led peace initiatives and forums; Support dialogue and exchange of information between local authorities across borders to improve cross-border coordination and communication; Establish links with early-warning mechanism such as CEWARN; Promote dialogue and reconciliation between local authorities, host communities and displaced people to improve social cohesion and facilitate the attainment of durable solutions to displacement.
- Support negotiation, establishment and dissemination of local and cross-border peace agreements; If already in place, support maintenance of peace agreements such as possible reviews; Support peace-dividends, for example shared infrastructure, required for local peace agreements; Provide logistical support to authorities and informal cross-border groups to respond to conflict and manage displacement.
- Identify sources of shocks and establish DRR committees across borders, including early warning mechanisms; If DRR committees already exists, identify gaps/additional support; Provide training on climate resilience and other practical skills and support the adoption of climate smart agriculture practices (for example fodder production, bee keeping, green businesses); Provide support to Village Saving and Loan Associations (VSLAs); Provide access or links to existing financial services (formal/informal), if depending on the location to be Shariah compliant, and business skills facilities; Promote weather-based insurance for example for livestock; Include a crisis modifier in the case of unforeseen climate shocks.
- Through a community-led approach, identify and implement key livelihoods support measures, such as access to water/irrigation schemes or animal health clinics, in coordination/complementarity with any existing DG ECHO / humanitarian operations; Identify and implement climate-resilient income-generation activities, particularly for women and youth (for example: TVET, small-scale trading, business start-up support, creating linkages to other institutions); Apply cash-for-work implementation model; Support natural resource sharing committees and restore degraded landscapes/fight invasive species and promoting soil health and water conservation/management for fighting against desertification.

Financial support to third parties¹¹

Applicants may propose financial support to third parties.

Applicants may propose financial support to third parties in order to help achieving the objectives of the action.

¹¹ These third parties are neither affiliated entity(ies) nor associates nor contractors.

The maximum amount of financial support per third party is EUR 60 000 except where achieving the objectives of the actions would otherwise be impossible or overly difficult, in which case this threshold can be exceeded. A threshold below EUR 60 000 can be set if appropriate.

In compliance with the present guidelines and notably of any conditions or restrictions in this Section, the lead applicant should define mandatorily in Section 2.1.1 of Annex A.2 (Grant application form – Full application):

- (i) the overall objectives, the specific objective(s) and the outputs¹² (i.e. the results) to be achieved with the financial support
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support
- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.

In all events, the mandatory conditions set above for giving financial support (points (i) to (vi)) have to be strictly defined in the grant contract as to avoid any exercise of discretion.

Visibility

The applicants must take all necessary steps to publicise the fact that the European Union has financed or co-financed the action. Unless the European Commission agrees otherwise, actions that are wholly or partially funded by the European Union must ensure the visibility of EU financing by displaying the EU emblem in accordance with the guidelines set out in the Operational guidelines for recipients of EU funding, published by the European Commission. If applicable, communication activities may be undertaken to raise the awareness of specific or general audiences of the reasons for the action and the EU support for the action in the country or region concerned, as well as the results and the impact of this support.

All measures and activities relating to visibility and, if applicable, communication, must comply with the latest Communication and Visibility Requirements for EU-funded external action, laid down and published by the European Commission [Communication and Visibility Requirements for EU External Actions | International Partnerships \(europa.eu\)](https://ec.europa.eu/europeaid/visibility-requirements).

Number of applications and grants per applicants / affiliated entities

The lead applicant may not submit more than one application per lot under this call for proposals.

The lead applicant may not be awarded more than one grant under this call for proposals.

The lead applicant may be a co-applicant or an affiliated entity in another application at the same time.

A co-applicant/affiliated entity may not be the co-applicant or affiliated entity in more than two application(s) under this call for proposals.

A co-applicant/affiliated entity may not be awarded more than 2 grant(s) under this call for proposals.

¹² As per OECD DAC definition, the term ‘results’ includes: ‘impact’ (overall objective), ‘outcome(s)’ (specific objective(s) and ‘output(s)’.

2.1.4. Eligibility of costs: costs that can be included

Union contribution under this call for proposals take the following form(s):

- Financing not linked to costs of the relevant operations based on¹³:
 - (i) either the fulfilment of conditions set out in sector specific legislation or Commission Decisions;
or
 - (ii) the achievement of results measured by reference to the previously set milestones or through performance indicators;
- Reimbursement of eligible costs that may be based on any or a combination of the following forms:
 - (i) actual costs incurred by the beneficiary(ies) and affiliated entity(ies);
 - (ii) one or more simplified cost options (see below).

Only 'eligible costs' can be covered by a grant. The categories of costs that are eligible and non-eligible are indicated below. The budget is both a cost estimate and an overall ceiling for 'eligible costs'.

Simplified cost options may take the form of:

- **unit costs:** covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
- **lump sums:** covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.
- **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

Simplified costs options (SCOs) which can be proposed are the following :

"output or result based SCOs": they include costs linked to outputs, results, activities, deliverables in the framework of a specific project (for example the determination of a lump sum for the organization of a conference, or for the realisation of a determined output/activity). Where possible and appropriate, lump sums or unit costs shall be determined in such a way to allow their payment upon achievement of concrete outputs and/or results. This type of SCO can be proposed by the beneficiary (no threshold is applicable) at proposal's stage (in Annex A.2 – Grant application form – Full application). In case the evaluation committee is not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

¹³ Such performance-based financing is not subject to other sub-articles of Article 14 of the General Conditions to the grant contract. The relevant results and the means to measure their achievement shall be clearly described in Annex I to the contract.

The amount to be paid per achieved result shall be set out in Annex III. The method to determine the amount to be paid per achieved result shall be clearly described in Annex I, take into account the principle of sound financial management and avoid double-financing of costs. The beneficiary shall not be obliged to report on costs linked to the achievement of results. However, it shall submit any necessary supporting documents, including where relevant accounting documents, to prove that the results triggering the payment as defined in Annex I and III have been achieved.

Articles 15(1) (schedule of payment), 15(7) (expenditure verification), 17(3) (no profit) of the General Conditions do not apply to the part of the action supported by way of result-based financing.

Refer to Annex K for the details of the procedure to be followed depending on the type and amount of the costs to be declared as SCO.

Applicants proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital letters to 'UNIT COST', 'LUMPSUM' in the Unit column (see example in Annex K).

Additionally in Annex B, in the second column of worksheet no.2, 'Justification of the estimated costs' per each of the corresponding budget item or heading applicants must:

- describe the information and methods used to establish the amounts of unit costs and/or lump sums, to which costs they refer, etc for output or result based SCO;
- clearly explain the formulas for calculation of the final eligible amount for output or result based SCO.

In case of output or result based SCOs the evaluation committee decides whether to accept the proposed amounts or rates on the basis of the provisional budget submitted by the applicants, by analysing factual data of grants carried out by the applicants or of similar actions. In case the evaluation committee is not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

No threshold is set ex-ante for the total amount of financing that can be authorised by the contracting authority on the basis of simplified cost options.

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the grant contract do not reveal problems requiring changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and 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. It is not possible to increase the grant or the percentage of EU co-financing as a result of these corrections.

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

The grant may take the form of a single lump-sum covering the entire eligible costs of an action or a work programme.

Single lump sums may be determined on the basis of the estimated budget, which should comply with the principles of economy, efficiency and effectiveness. Compliance with these principles shall be verified ex ante at the time of evaluation of the grant application.

When authorising single lump sums the authorising officer responsible shall comply with the conditions applicable to output or result based SCOs.

When using this form of financing, the description of the action shall include detailed information on the essential conditions triggering the payment, including, where applicable, the achievement of outputs and/or results.

Eligible direct costs

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).

Salary costs of the personnel of national administrations 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 were not undertaken.

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 total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the flat rate has been fixed in the special conditions of the grant contract, no supporting documents need to be provided.

If any of the applicants or affiliated entity(ies) is in receipt of an operating grant financed by the EU, it may not claim indirect costs on its incurred costs within the proposed budget for the action.

Contributions in kind

Contributions in kind mean the provision of goods or services to beneficiaries or affiliated entities free of charge by a third party. As contributions in kind do not involve any expenditure for beneficiaries or affiliated entities, they are not eligible costs (except for personnel costs for the work carried out by volunteers under an action or operating grant if so authorised).

The contracting authority may accept co-financing in kind in the form of volunteers' work. Volunteers' work may comprise up to 50 % of the co-financing. For the purposes of calculating this percentage, contributions in kind in the form of volunteers' work must be based on the unit cost per volunteer per day as defined and authorised by the European Commission with decision: COMMISSION DECISION of 10.4.2019 authorising the use of unit costs for declaring personnel costs for the work carried out by volunteers under an action or a work programme. This type of costs must be presented separately from other eligible costs in the estimated budget, in the dedicated budget line 10.2 of the budget template (Annex B). The value of the volunteer's work must always be excluded from the calculation of indirect costs. When the estimated costs include volunteers' work, the grant shall not exceed the estimated eligible costs other than the costs for volunteers' work.

If co-financing in kind is proposed, it must be included in Annex B (Worksheet 3) to the guidelines for applicants on the expected sources of funding for the action. The same amount must be indicated in the budget (worksheet 1).

Other co-financing shall be based on estimates provided by the applicant.

Ineligible costs

The following costs are not eligible:

- 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 European Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred in accordance with Article 7.5 of the general conditions of the standard grant contract, at the latest at the end of the action;
- currency exchange losses;
- in kind contributions (except for volunteers' work);
- bonuses included in costs of staff;
- negative interest charged by banks or other financial institutions;

- credit to third parties

2.1.5.Ethics clauses and Code of Conduct

a) Absence of conflict of interest

The applicant must not be affected by any conflict of interest and must have no equivalent relation in that respect with other applicants or parties involved in the actions. Any attempt by an applicant to obtain confidential information, enter into unlawful agreements with competitors or influence the evaluation committee or the contracting authority during the process of examining, clarifying, evaluating and comparing applications will lead to the rejection of its application and may result in administrative penalties according to the Financial Regulation in force.

b) Respect for human rights as well as environmental legislation and core labour standards

The applicant and its staff must comply with human rights. In particular and in accordance with the applicable act, applicants who have been awarded contracts must comply with the environmental legislation including multilateral environmental agreements, and with the core labour standards as applicable and as defined in the relevant International Labour Organisation conventions (such as the conventions on freedom of association and collective bargaining; elimination of forced and compulsory labour; abolition of child labour).

Zero tolerance for sexual exploitation, abuse and harassment:

The European Commission applies a policy of 'zero tolerance' in relation to all wrongful conduct which has an impact on the professional credibility of the applicant.

Physical abuse or punishment, or threats of physical abuse, sexual abuse or exploitation, harassment and verbal abuse, as well as other forms of intimidation shall be prohibited.

Applicants (and affiliated entities) other than (i) natural persons (ii) pillar-assessed entities and (iii) governments and other public bodies whose application has been pre-selected or placed in a reserve list, shall assess their internal policy against sexual exploitation, abuse and harassment (SEA-H) through a self-evaluation questionnaire (Annex L). For grants of EUR 60 000 or less no self-evaluation is required. Such self-evaluation questionnaire is not part of the evaluation of the full application by the contracting authority, but is an administrative requirement. See section 2.5.6 of the PRAG.

c) Anti-corruption and anti-bribery

The applicant shall comply with all applicable laws and regulations and codes relating to anti-bribery and anti-corruption. The contracting authority reserves the right to suspend or cancel project financing if corrupt practices of any kind are discovered at any stage of the award process or during the execution of a contract and if the contracting authority fails to take all appropriate measures to remedy the situation. For the purposes of this provision, 'corrupt practices' are the offer of a bribe, gift, gratuity or commission to any person as an inducement or reward for performing or refraining from any act relating to the award of a contract or execution of a contract already concluded with the contracting authority.

d) Unusual commercial expenses

Applications will be rejected or contracts terminated if it emerges that the award or execution of a contract has given rise to unusual commercial expenses. Such unusual commercial expenses are commissions not mentioned in the main contract or not stemming from a properly concluded contract referring to the main contract, commissions not paid in return for any actual and legitimate service, commissions remitted to a tax haven, commissions paid to a payee who is not clearly identified or commissions paid to a company which has every appearance of being a front company.

Grant beneficiaries found to have paid unusual commercial expenses on projects funded by the European Union are liable, depending on the seriousness of the facts observed, to have their contracts terminated or to be permanently excluded from receiving EU/EDF funds.

e) Breach of obligations, irregularities or fraud

The contracting authority reserves the right to suspend or cancel the procedure, where the award procedure proves to have been subject to substantial breach of obligations, irregularities or fraud. If substantial breach of obligations, irregularities or fraud are discovered after the award of the contract, the contracting authority may refrain from concluding the contract.

2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

To apply for this call for proposals the lead applicants need to:

- I. Provide information about the organisations involved in the action. To this end, lead applicants, co-applicants and affiliated entities must register in PADOR. Lead applicants must register at the concept note step. Co-applicants and affiliated entities must register at the full application step; lead applicants must make sure that their PADOR profile is up to date. Please note that the registration of this data in **PADOR is obligatory** for this call for proposals:

PADOR is an on-line database in which organisations register and update information concerning their entity. Organisations registered in PADOR get a unique ID (EuropeAid ID) which they **must mention** in their application. PADOR is accessible via the website: <https://webgate.ec.europa.eu/pador>

If it is impossible to register online in PADOR for technical reasons, lead applicants, co-applicants and/or affiliated entity(ies) must complete the ‘PADOR registration form¹⁴ attached to these guidelines. This form must be sent **together with the full application**, by the submission deadline (see section 2.2.5).

- II. Provide information about the action in the documents listed under sections 2.2.2 (Where and how to send concept notes) and 2.2.5 (Full applications). Please note that online submission via **PROSPECT is obligatory** for this call.

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.

Before starting using PADOR and PROSPECT, please read the user guides available on the website. All technical questions related the use of these systems should be addressed to the IT helpdesk at INTPA-SUPPORT-SERVICES@ec.europa.eu **via the online support form in PROSPECT.**

2.2.1. Concept note content

Applications must be submitted in accordance with the concept note instructions in the grant application form annexed to these guidelines (Annex A). Lead applicants should then keep strictly to the format of the concept note and fill in the paragraphs and pages in order.

Applicants must apply in English.

Please note that:

1. In the concept note, lead applicants must only provide an estimate of the requested EU contribution as well as an indicative percentage of that contribution in relation to the eligible costs of the action. A detailed budget is to be submitted only by the lead applicants invited to submit a full application in the second phase.
2. The elements outlined in the concept note may not be modified in the full application, except for the changes described below:

¹⁴ Which corresponds to Annex F – PADOR off-line form (PRAG annex e13).

- The EU contribution may not vary from the initial estimate by more than 20 %. Lead applicants are 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 in Section 1.3.
- The lead applicant may add, remove or replace one or more co-applicant(s) or affiliated entity (ies) only in duly justified cases.
- The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases, the duration must remain within the limits imposed by the guidelines for applicants. Own contributions by the applicants can be replaced by other donors' contributions at any time.

An explanation/justification of the relevant replacements/adjustments shall be included in Annex A.2 – Instructions for drafting the Full Application, section 2.1.1, point viii. Should the explanation/justification not be accepted by the evaluation committee, the proposal may be rejected on that sole basis.

Only the concept note form will be evaluated. It is therefore of utmost importance that this document contains ALL relevant information concerning the action. No additional annexes should be sent.

Please complete the concept note carefully and as clearly as possible so that it can be assessed properly.

Any error or major discrepancy related to the concept note instructions may lead to the rejection of the concept note.

Clarifications will only be requested when information provided is not sufficient to conduct an objective assessment.

2.2.2. Where and how to send concept notes

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/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.

Please note that incomplete concept notes may be rejected. Lead applicants are advised to verify that their concept note is complete by using the checklist for concept note (Annex A.1, Instructions).

2.2.3. Deadline for submission of concept notes

The deadline for the submission of concept notes is 02/05/2023 at 12:00 (Brussels date and time). In order to convert this deadline to local time you can use any online time converter tool that takes into account timezones and winter/summer time changes (example available [here](#)) **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 contracting authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

Any concept note submitted after the deadline will be rejected.

2.2.4. Further information about concept notes

An information session on this call for proposals will be held on 18/04/2023 at 14:00 East African Time hosted as a virtual meeting via WebEx.

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

E-mail address: **DELEGATION-KENYA-TENDERS-AND-CFP@eeas.europa.eu**

The contracting authority has no obligation to provide clarifications to questions received after this date.

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

To ensure equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), an action or specific activities.

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 where the call was published: website of DG International Partnerships https://ec.europa.eu/international-partnerships/home_fr or Funding & Tender opportunities (F&T Portal) <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home>, as the need arises. It is therefore advisable to consult the abovementioned website(s) regularly in order to be informed of the questions and answers published.

All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk at INTPA-SUPPORT-SERVICES@ec.europa.eu **via the online support form in PROSPECT**: Please note that the working languages of the IT support are English French and Spanish. Therefore users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time.

Please note that the contracting authority may decide to cancel the call for proposals procedure at any stage according to the conditions set out in Section 6.5.9 of the PRAG.

2.2.5. Full applications

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using the grant application form annexed to these guidelines (Annex A.2 – Grant application form – Full application). Lead applicants should then keep strictly to the format of the grant application form and fill in the paragraphs and pages in order.

The elements outlined in the concept note may not be modified in the full application, except for the changes described below:

- The EU contribution may not vary from the initial estimate by more than 20 %. Lead applicants are 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 in Section 1.3.
- The lead applicant may add, remove or replace one or more co-applicant(s) or affiliated entity(ies) only in duly justified cases.
- The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases, the duration must remain within the limits imposed by the guidelines for applicants.

An explanation/justification of the relevant replacements/adjustments shall be included in Annex A.2 – Instructions for drafting the Full Application, section 2.1.1, point viii. Should the explanation/justification not be accepted by the evaluation committee, the proposal may be rejected on that sole basis.

Lead applicants must submit their full applications in the same language as their concept notes.

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 (Annex A.2, Instructions) or any major inconsistency in the full application (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

Clarifications will only be requested when information provided is unclear and thus prevents the contracting authority from conducting an objective assessment.

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, if used). It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action.

If it is impossible to register online in PADOR for technical reasons, **the lead applicant has to submit with the full application the completed PADOR form (Annex F) for the lead applicant, each (if any) co-applicants and each (if any) affiliated entities¹⁵.**

Please note that the following documents¹⁶ shall be uploaded in PADOR by the full application deadline or submitted together with the PADOR registration form with the full application form:

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity . Where the contracting authority has recognised the lead applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. Legal entity form (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and by each co-applicant, if any), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the contracting authority, instead of the legal entity form and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
3. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached as Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

In addition, for the purpose of the evaluation of the financial capacity, the following documents should be submitted¹⁷:

1. For action grants exceeding EUR 750 000 and for operating grants exceeding EUR 100 000, the lead applicant must provide an audit report produced by an approved external auditor where it is

¹⁵ Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to provide an organisation data form. In this case, the information included in the grant application form is sufficient.

¹⁷ No supporting documents will be requested for applications for a grant not exceeding EUR 60 000.

available, and always in cases where a statutory audit is required by EU or national law. That report shall certify the accounts for up to the last 3 financial years available.

In all other cases, the lead applicant shall provide a self-declaration signed by its authorised representative certifying the validity of its accounts for up to the last 3 financial years available.

This requirement shall apply only to the first application made by an applicant to the contracting authority in any one financial year.

The external audit report as well as the self-declaration certifying the validity of the accounts are not required from the co-applicant(s) or affiliated entities (if any).

This obligation does not apply to pillar assessed entities.

2. A copy of the lead applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)¹⁸. A copy of the latest account is neither required from the co-applicant(s) (if any) nor from affiliated entity(ies) (if any).

The requested supporting documents (uploaded in PADOR or sent together with the PADOR offline form) must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals. Originals should be kept on file for controls.

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 lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, must be attached 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 lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into English.

Applicants have to take into consideration the time necessary to obtain official documents from national competent authorities and to translate such documents in the authorised languages while registering their data in PADOR.

If the abovementioned supporting documents are not provided by the deadline for the submission of the full application, the application may be rejected.

No additional annexes should be sent.

2.2.6. Where and how to send full applications

Full applications (i.e. the full application form, PADOR registration form (where applicable), the budget, the logical framework, and the declaration by the lead applicant) must be submitted online via PROSPECT <https://webgate.ec.europa.eu/prospect> following the instructions given in the PROSPECT users' manual.

Upon submission of the full application online, the lead applicants will receive an automatic confirmation of receipt in their PROSPECT profile.

Please note that incomplete applications may be rejected. Lead applicants are advised to verify that their application is complete using the checklist (Annex A.2, Instructions).

¹⁸ This obligation does not apply to natural persons who have received a scholarship or that are in most need of direct support, nor to public bodies and 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 2.2.5, point 1.

2.2.7. Deadline for submission of full applications

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected. This letter will appear online automatically in the PROSPECT profile of the lead applicant.

Lead applicants are strongly advised not to wait until the last day to submit their full applications, 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.

Any application submitted after the deadline will be rejected.

2.2.8. Further information about full applications

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

E-mail address: **DELEGATION-KENYA-TENDERS-AND-CFP@ec.europa.eu**

The contracting authority has no obligation to provide clarifications to questions received after this date.

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

To ensure equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), or an action.

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 DG International Partnerships: https://ec.europa.eu/international-partnerships/home_fr as appropriate], as the need arises. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk at INTPA-SUPPORT-SERVICES@ec.europa.eu **via the online support form in PROSPECT**. Please note that the working languages of the IT support are English French and Spanish. Therefore users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time.

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 applications 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 Section 2.1, the application will be rejected on this sole basis.

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

During the administrative check the following will be assessed:

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the concept note satisfies all the criteria specified in the checklist in Annex A.1, Instructions of the grant application form. This includes also an assessment of the eligibility of the action. 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 concept notes that pass this check will be evaluated on the relevance and design of the proposed action.

The concept notes will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on how to complete the concept note, which can be found in Annex A.1.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

Section	Maximum Score
1. Relevance of the action	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 constraints of the target country(ies), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)?	5
1.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) 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
2. Design of the action	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 such as environmental/climate change issues, promotion of gender equality and equal opportunities,	5

needs of disabled people, rights of minorities and rights of indigenous peoples, youth, combating HIV/AIDS (if there is a strong prevalence in the target country/region)?	
Maximum total score	50

****:** this score is multiplied by 2 because of its importance

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.

Once all concept notes have been assessed, a list will be drawn up with the proposed actions ranked according to their total score.

Firstly, only the concept notes with a score of at least 30 will be considered for pre-selection.

Secondly, the number of concept notes will be reduced, taking account of the ranking, to the number of concept notes whose total aggregate amount of requested contributions is equal to 300% of the available budget for this call for proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot, where relevant.

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant.[Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post, private courier service or hand-delivery will receive the letter by email or by post if no e-mail address was provided.]

The pre-selected lead applicants will subsequently be invited to submit full applications.

(2) STEP 2: EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- If the submission deadline has been met. Otherwise, the application will automatically be rejected.
- If the full application satisfies all the criteria specified in the checklist (Annex A.2, Instructions). This includes also an assessment of the eligibility of the action. 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 full applications that pass this check will be further evaluated on their quality, including the proposed budget and capacity of the applicants and affiliated entity(ies). They will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the lead applicant's financial capacity and are used to verify that they:

- 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).

For the purpose of the evaluation of the financial capacity, lead applicants must ensure that the relevant information and documents (i.e. accounts of the latest financial year and external audit report, where applicable) are up to date either in their PADOR profile or when submitting the requested documents with PADOR registration form. If the information and documents requested are outdated and do not allow for a proper evaluation of the financial capacity, the application may be rejected.

The award criteria help to evaluate the quality of the applications in relation to the objectives and priorities set forth in the guidelines, and to award grants to projects which maximise the overall effectiveness of the call for proposals. They help to select applications which the contracting authority can be confident will comply with its objectives and priorities. They cover 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 grid is divided into Sections and subsections. Each subsection will be given a score between 1 and 5 as follows: 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 applicants and, if applicable, their affiliated entity(ies) have sufficient in-house experience of project management?	5
1.2. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical in-house expertise (especially knowledge of the issues to be addressed)?	5
1.3. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management in-house capacity (including staff, equipment and ability to handle the budget for the action)?	5
1.4. Does the lead applicant have stable and sufficient sources of finance?	5
2. Relevance of the action	20
2.1. 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
2.2. How relevant is the proposal to the particular needs and constraints of the target country(ies), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)?	5
2.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately?	5
2.4. 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
3. Design of the action	15
3.1. How coherent is the 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? Are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)?	5
3.2. Does the proposal/Logical Framework include 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. Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5
4. Implementation approach	15
4.1. Is the action plan for implementing the action clear and feasible? Is the timeline realistic?	5
4.2. Does the proposal include an effective and efficient monitoring system? Is there an evaluation planned (previous, during or/and at the end of the implementation)?	5

4.3. Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
5. Sustainability of the action	15
5.1. Is the action likely to have a tangible impact on its target groups?	5
5.2. Is the action likely to have multiplier effects, including scope for replication, extension capitalisation on experience and knowledge sharing?	5
5.3. Are the expected results of the proposed action sustainable?- Financially (e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs)- Institutionally (will structures allow the results of the action to be sustained at the end of the action? Will there be local 'ownership' of the results of the action?)- At policy level (where applicable) (what will be the structural impact of the action — e.g. improved legislation, codes of conduct, methods) - Environmentally (if applicable) (will the action have a negative/positive environmental impact?)	5
6. Budget and cost-effectiveness of the action	15
6.1. Are the activities appropriately reflected in the budget?	5
6.2. Is the ratio between the estimated costs and the expected results satisfactory?	5x2**
Maximum total score	100

** : this score is multiplied by 2 because of its importance

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.

If the lead applicant applies without co-applicants or affiliated entities the score for point 4.3 shall be 5 unless the involvement of co-applicants or affiliated entities is mandatory according to these guidelines for applicants.

Provisional selection

After the evaluation, a table will be drawn up listing the applications ranked according to their score. The highest scoring applications will be provisionally selected until the available budget for this call for proposals is reached. In addition, a reserve list will be drawn up following the same criteria. This list will be used if more funds become available during the validity period of the reserve list.

(3) STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS AND AFFILIATED ENTITY(IES)

The eligibility verification will be performed on the basis of the supporting documents requested by the contracting authority (see Section 2.4). It will by default only be performed 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 (Section 5 of Annex A.2) 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 Section 2.1.1.

Any rejected application will be replaced by the next best placed application on the reserve list that falls within the available budget for this call for proposals.

2.4. SUBMISSION OF SUPPORTING DOCUMENTS

The lead applicant shall submit the documents listed in section 2.2.5.

In addition, a lead applicant whose application has been provisionally selected or placed on the reserve list will be informed in writing by the contracting authority. It will be requested to supply the following documents via PROSPECT:

1. Declaration on honour: the lead applicant as well as all co-applicants and affiliated entities shall fill in and sign the declaration on honour certifying that they are not in one of the exclusion situations (see Section 2.6.10.1 of the PRAG) where the amount of the grant exceeds EUR 15 000. Please note that the declaration on honour should be submitted via PROSPECT.
2. Self-evaluation questionnaire on SEA-H: the lead applicant as well as all co-applicants and affiliated entities shall fill in the self-evaluation questionnaire assessing the organisation's internal policy and procedure against sexual exploitation, abuse and harassment (SEA-H) (Annex L) where the amount of grant exceeds EUR 60 000 (see Section 2.5.6 of the PRAG)¹⁹. Please note that the self-evaluation questionnaire on SEA-H should be submitted via PADOR.

If it is impossible for the lead applicants to supply the abovementioned documents via PROSPECT or PADOR for technical reasons, they must submit the requested supporting documents in a sealed envelope by registered mail, private courier service or by hand-delivery to the postal address described in sections 2.2.2 and 2.2.6 and according to the instructions therein.

After verifying the supporting documents, the evaluation committee will make a final recommendation to the contracting authority, which will decide on the award of grants.

NB: In the eventuality that the contracting authority is not satisfied with the strength, solidity, and guarantee offered by the structural link between one of the applicants and its affiliated entity, it can require the submission of the missing documents allowing for its conversion into co-applicant. If all the missing documents for co-applicants are submitted, and provided all necessary eligibility criteria are fulfilled, the above mentioned entity becomes a co-applicant for all purposes. The lead applicant has to submit the application form revised accordingly.

2.5. NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1. Content of the decision

The lead applicants will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision. This letter will be sent by e-mail and will appear online automatically in the PROSPECT profile of the user who submitted the application. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post, private courier or hand-delivery, will be informed by email or by post if they did not provide any e-mail address. Therefore, please check regularly your PROSPECT profile, taking into account the indicative timetable below. Please note that the lead applicant is the intermediary for all communications between applicants and the contracting authority during the procedure.

¹⁹ Applicants, co-applicants and affiliated entities who are (i) natural persons (ii) pillar-assessed entities and (iii) governments and other public bodies do not have to submit the self-evaluation questionnaire.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See further Section 2.12 of the practical guide.

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 of early detection or exclusion, 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 early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract. For more information, you may consult the privacy statement available on http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm

2.5.2. Indicative timetable

	DATE	TIME
1. Information meeting (if any)	18/04/2023	14:00 (EAT)
2. Deadline for requesting any clarifications from the contracting authority	11/04/2023	17:00 (EAT)
3. Last date on which clarifications are issued by the contracting authority	21/04/2023	-
4. Deadline for submission of concept notes	02/05/2023	12:00 (CET)
5. Information to lead applicants on [opening,] administrative checks and concept note evaluation (Step 1)	May 2023	-
6. Invitations to submit full applications	26/05/2023	-
7. Deadline for submission of full applications	11/07/2023	-
8. Information to lead applicants on the evaluation of the full applications (Step 2)	August 2023	-
9. Notification of award (after the eligibility check) (Step 3)	04/08/2023-18/08/2023	-
10. Contract signature	By 31/12/2023	-

All times are in the time zone of the country of the contracting authority.

This indicative timetable refers to provisional dates (except for dates 2, 3, and 4) and may be updated by the contracting authority during the procedure. In such cases, the updated timetable will be published on the web site where the call was published: website of DG International Partnerships https://ec.europa.eu/international-partnerships/home_fr or Funding & Tender opportunities (F&T Portal) <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home>.

2.6. CONDITIONS FOR IMPLEMENTATION AFTER THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the beneficiary(ies) will be offered a contract based on the standard grant contract (see Annex G of these guidelines). By signing the application form (Annex A of these guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract. Where the coordinator is an organisation whose pillars have been positively assessed, it will sign a contribution agreement based on the contribution agreement template. In this case, references to provisions of the standard grant contract and its annexes shall not apply. References in these guidelines to the grant contract shall be understood as references to the relevant provisions of the contribution agreement.

Implementation contracts

Where implementation of the action requires the beneficiary(ies) and its affiliated entity(ies) (if any) to award procurement contracts, those contracts must be awarded in accordance with Annex IV to the standard grant contract.

In this context, a distinction should be made between awarding implementation contracts and subcontracting parts of the action described in the proposal, i.e. the description of the action annexed to the grant contract, such subcontracting being subject to additional restrictions (see the general terms and conditions in the model grant contract).

Awarding implementation contracts: implementation contracts relate to the acquisition by beneficiaries of routine services and/or necessary goods and equipment as part of their project management; they do not cover any outsourcing of tasks forming part of the action that are described in the proposal, i.e. in the description of the action annexed to the grant contract .

Subcontracting: Subcontracting is the implementation, by a third party with which one or more beneficiaries have concluded a procurement contract, of specific tasks forming part of the action as described in annex to the grant contract (see also the general terms and conditions in the model grant contract).

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

- Annex A: Grant application form (Word format)
A.1 – Concept note
A.2 – Full application form
- Annex B: Budget (Excel format)
- Annex C: Logical framework (Excel format)
- Annex D: Legal entity sheet
- Annex E: Financial identification form
- Annex F: PADOR registration form

DOCUMENTS FOR INFORMATION²⁰

- Annex G: Standard grant contract
- Annex II: general conditions
 - Annex IV: contract award rules
 - 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 action
 - Annex IX: standard template for transfer of ownership of assets
- Annex H: Declaration on Honour
- Annex I: Daily allowance rates (per diem), available at the following address: https://international-partnerships.ec.europa.eu/funding/guidelines/managing-project/diem-rates_en
- Annex J: Information on the tax regime applicable to grant contracts signed under the call.
- Annex K: Guidelines for assessing simplified cost options.
- Annex L: Self-evaluation questionnaire on SEA-H

Useful links:

Project Cycle Management Guidelines

https://ec.europa.eu/international-partnerships/funding/managing-project_en

The implementation of grant contracts

A Users' Guide

<https://wikis.ec.europa.eu/pages/viewpage.action?pageId=48169235>

Financial Toolkit

https://ec.europa.eu/international-partnerships/financial-management-toolkit_en

²⁰ These documents should also be published by the contracting authority.

Please note: the toolkit is not part of the grant contract and has no legal value. It merely provides general guidance and may in some details differ from the signed grant contract. In order to ensure compliance with their contractual obligations beneficiaries should not exclusively rely on the toolkit but always consult their individual contract documents.

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