

**Contracting authority**: **European Commission Represented by Delegation of the European Union to the Republic of Uganda**

Security, Protection and Economic Empowerment (SUPREME)

T05-EUTF-HOA-UG-68

Guidelines  
for grant applicants

European Union Trust Fund

T05-EUTF-HOA-UG-68

Reference: Call for Proposals – Access to Justice and Protection

Deadline for submission of Concept Note: 10/06/2020

13.00 Ugandan Time

NOTICE

This is a restricted call for proposals. In the first instance, only concept notes (Part A of the grant application form) must be submitted for evaluation. Thereafter, lead applicants who have been pre-selected will be invited to submit a 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.**

**Due to the Covid-19 situation, no information session is currently planned. Potential applicants are encouraged to regularly check the website of the EU Delegation to Uganda. Any plans to hold information sessions would be published on that website, along with clarifications, if any, on the Call for Proposals.**

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1. Security, Protection and Economic Empowerment (SUPREME)
   1. Background

On 12 December 2018, the EU Trust Fund (EU TF) Operational Committee adopted an Action Document for a programme in Uganda in support of refugees and host communities entitled **“Security, Protection and Economic Empowerment (SUPREME).**

The action is based on the EU Trust Fund for Africa Strategic Objectives 1 (create greater economic and employment opportunities, especially for young people and women, with a focus on vocational trainings and the creation of micro and small enterprises), 2 (strengthening resilience of communities and in particular the most vulnerable, as well as the refugees and displaced people) and 4 (improved governance and conflict prevention, and reduction of forced displacement and irregular migration).

**SUPREME** aligns with **Strategic Objectives 1, 2, and 4** of the EUTF, **Priority Domains 1 and 3 of the Valetta Action Plan[[1]](#footnote-2),** and **Sustainable Development Goals 8, 10, and 16.** It aims to support Uganda in the implementation of the Comprehensive Refugee Response Framework (CRRF)[[2]](#footnote-3) objectives and further development of an integrated and development-led approach to refugees hosting areas supporting both refugee and host populations.

The **overall objective** of **SUPREME** is to improve overall safety and security and well-being for refugees and host communities in Northern Uganda. The **intervention logic** of this programme is that strengthening access to justice, peaceful conflict resolution and the rule of law will have both a direct impact on people's overall safety and protection as well as support an environment conducive to enhancing economic opportunities of refugees and host communities through measures supporting financial inclusion, public private partnerships and overall livelihood support. In doing so, people will be able to enhance their material situation to their own benefit and the wider development of the refugee hosting regions. The action is fully in line with the agreed objectives outlined in the CRRF roadmap for Uganda and the European Union Humanitarian and Development Nexus Action Plan for Uganda.

Within this overall project there are two specific objectives:

* Specific Objective 1: Peaceful and safe co-existence under the rule of law within the refugee-hosting districts
* Specific Objective 2: Access to decent employment for refugees and host communities

**This specific call for proposals addresses exclusively Specific Objective 1 of SUPREME:** **Peaceful and safe co-existence under the rule of law within the refugee-hosting districts**

* 1. Objectives of the call

The background context to this call:

The **Justice, Law and Order Sector (JLOS)** ischarged with the mandate of providing safety of the person, security of property, observance of human rights and access to justice to accelerate growth, employment and prosperityand is recognised as essential to provide a conducive environment and framework for the efficient performance of all other sectors. JLOS, with an established technical assistance secretariat, provides a platform for a holistic approach to improving access to and administration of justice through the sector wide approach (SWAp) to planning, budgeting, programme implementation, monitoring and evaluation. The JLOS Strategic Development Plan IV (SDP IV) recognises the need to strengthen measures to address justice needs of refugees and host communities. Under the leadership of Line Ministries, and with support from the CRRF Secretariat, refugee-response sector plans are currently underway, including on livelihoods.[[3]](#footnote-4) These plans should serve as 'entry points' for development actors and, ultimately, be integrated in the Uganda NDP III (2020-2025).

One of the identified bottlenecks is a gap in the inclusion of refugees in formal and informal justice structures. Most of the support within the refugee response, in particular through the humanitarian assistance, has so far been addressing immediate needs. Only limited efforts have been made to date to comprehensively address the justice challenges both refugees and host communities face.[[4]](#footnote-5) This underlines the need for increased support to meet justice needs in the region without which social cohesion could be undermined in the long run.

Indeed the JLOS SDP IV highlights the challenges faced by refugees in accessing justice. These include language barriers, absence of suitable persons to stand surety, lack of knowledge of the laws and procedures and lack of means to secure legal representation. It advocates for meeting specific needs of refugees, as well as the need for robust structures to address conflict within the settlements and with neighbouring host communities. In its monthly 'Protection updates'[[5]](#footnote-6), UNHCR identified a range of challenges. It stated that corruption, bureaucratic tendencies within the police and judiciary, mismanagement of case files, poor investigative capacities resulting from inadequate facilitation and shortages of personnel were some of the challenges facing the formal justice mechanisms, and that child protection structures are weak. As a consequence, the local and institutional capacities are overstretched with refugees’ justice needs significantly unmet and Sexual and Gender Based violence (SGBV) prevention and response inadequately addressed. Furthermore, the updates noted that while the communities continue to demonstrate a preference for traditional justice systems, the role of community structures was hampered by limited incentives and support.

Although legal aid, a key element of access to justice, can ameliorate some of the challenges, it is currently limited to basic legal assistance only to persons charged with capital offences. The JLOS supported pilot legal aid Justice Centres lie outside the refugees hosting districts in Northern Uganda and efforts to expand to these districts by actors have been hampered by financial constraints.

The above pose particular challenges in the context of an overall weak formal justice system that is notoriously expensive, complicated and cumbersome. The system is characterised by lengthy delays and huge backlog in the different justice institutions as a result of resource constraints and inefficiencies within the justice chain. This situation is exacerbated in the often poorer refugee hosting regions. JLOS has adopted or proposed a number of initiatives and strategies to tackle impediments to access to justice. These include encouraging the use of Alternative Dispute Resolution mechanisms (ADR) and reaffirming the role of Local Council Courts as the most favoured avenue for dispute resolution, implementing plea bargaining, increasing physical presence of JLOS frontline institutions and one-stop service points and piloting the mobile courts system. In some of the refugee hosting districts, non-state actors have complemented the role of JLOS by providing critical legal aid and protection interventions but these too have been limited in scope.

In response to Uganda's history of political instability characterised by armed conflicts and gross human rights violation, Cabinet passed the National Transitional Justice Policy in June 2019 to provide a framework to enhance legal and political accountability, promote reconciliation, foster social integration and contribute to peace and stability. In addition, the National Action Plan on UN Council Resolution 1325 Women, Peace and Security will likely be passed by Cabinet in 2020. This action aligns, where applicable, to the national policy documents.

**The Overall Objective of this Call for Proposals is: Peaceful and safe co-existence under the rule of law within the refugee-hosting districts**

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

1. Strengthened capacities of formal and informal justice actors for coverage of additional population and for responding to specific justice and protection needs and vulnerabilities of refugees and host communities;
2. Strengthened capacities and knowledge of refugees and host/resident communities to access their rights and fulfil their legal obligations;
3. Increased support to refugee and host communities to peacefully resolve conflicts, have access to justice, and be protected from infringements of legal and human rights.

The proposed actions can choose to address one, two or all three of the specific objectives.

Below is a list of indicative activities that the proposed actions may choose to address. This is a non-exhaustive list of indicative activities and only serves to indicate possibilities for proposed actions.

*Indicative activities:*

1. Increase access to justice through, inter alia, expansion or improved reach of existing legal aid and counselling or paralegal services, translation services, training and support for duty bearers with a specific focus on gender
2. Strengthen child and family protection structures and services including community based child-protection groups
3. Support civic or peace education, anti-discrimination campaigns including in schools, settlements etc. to promote social cohesion and peaceful co-existence
4. Strengthen the sexual and gender based violence (SGBV) prevention, holistic response/support and coordination structures e.g. expansion of specialised services, establishment of gender sensitive reporting, medico-legal response, psychosocial support etc.
5. Increase access to information on rights and duties, the peace process, peaceful co-existence, legal or JLOS services, official/civil or legal documentation through innovative communication tools and media
6. Enhance access to community, local and national protection mechanisms (information campaigns and strengthened linkages to the communities' own protection structures)
7. Strengthen community, informal and collaborative or alternative conflict resolution mechanisms and structures (including Local Council Court, Refugees Welfare Committees etc.)
   1. Financial allocation provided by the contracting authority

The overall indicative amount made available under this call for proposals is EUR 3,100,000. The contracting authority reserves the right not to award all available funds. Similarly, this amount could be increased should more funds become available.

**Size of grants**

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

* minimum amount: EUR 450,000.
* maximum amount: EUR 750,000.

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: 50% of the total eligible costs of the action.
* Maximum percentage: 90% of the total eligible costs of the action (see also Section 2.1.5).

Wherever in the call for proposals a reference to the percentage of eligible costs is made, the further limitation to the percentage applicable to the total accepted costs will apply. As a reminder before sending your application, please check that the requested contribution is equal to or less than the maximum percentage of the estimated total accepted costs allowed.

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 Fund.

The grant may cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the lead applicant must justify full financing in Section 2.1 of Part B of the grant application form. The validity of the justification provided will be examined during the evaluation procedure. The absence of any justification may lead to the rejection of the application.

1. 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 <http://ec.europa.eu/europeaid/prag/document.do?locale=en>).[[6]](#footnote-7)

**As the Action Document states, the applicant/s must include at least one local actor.** **In addition,** t**he lead applicant must act with at least one co-applicant.**

Ideally, the applicants will have previous and/or ongoing implementation of humanitarian or development activities in the refugee hosting areas in Uganda clearly relevant to the specified objectives.

* 1. Eligibility criteria

There are three sets of eligibility criteria, relating to:

1. the actors:

* The ‘**lead applicant’**, i.e. the entity submitting the application form (2.1.1),
* 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)’**) (2.1.1),
* and, if any, **affiliated entity(ies)** to the lead applicant and/or to a co-applicant(s). (2.1.2);

1. the actions:

Actions for which a grant may be awarded (2.1.4);

1. the costs:

* types of cost that may be taken into account in setting the amount of the grant (2.1.5).
  + 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 non-profit-making, and
* be a Civil society organisation.
* Be established in Uganda where the action is taking place or be established in a Member State of the European Union or a member state of the European Economic Area or in a developing country as included in the list of ODA recipients, or in member countries of the OECD
* 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 representation in Uganda, and
* Have a demonstrated capacity in the area of the proposed action, including thematic and technical expertise.

**Additional criteria that will be assessed at Step 2 for those who are invited to submit fullproposals:**

1. Established presence in the targeted areas,
2. Technical competence in the sector, with the key stakeholders, including with national and local administration stakeholders, including technical expertise and sound experience in rights-based programs, conflict sensitivity and gender equality, and
3. Administrative capability and the experience to implement this type of intervention due to its mandate, experience and expertise, and
4. Demonstrated capacity to coordinate with minimum at least two stakeholders, and
5. Expertise within the proposed applicants and co-applicants covering the result areas which the specific application is proposed to address

**The Contracting Authority acknowledges that the current Covid-19 situation and limitations on movement of people, holding meetings etc. may pose challenges for the formulation of applications. Applicants are thus encouraged to explain in their submissions in how far their applications are based on knowledge of the intervention area, consultations with stakeholders on potential activities to address rule of law in the proposed intervention areas that may have been conducted prior to the restrictions on movement and meetings etc.**

(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, lead applicants, co-applicants and affiliated entities 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 60 000 or less, no declaration on honour is required.

Part A, Section 3 and Part B Section 8 of the grant application form (‘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 must act with at least one co-applicant. To be** **eligible, an action must include at least one local organization as a lead applicant or co-applicant.**

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 main 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 Part B Section 4 of the grant application form.

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

(3) Applicants included in the lists of EU restrictive measures (see Section 2.4. of the PRAG) at the  
 moment of the award decision cannot be awarded the contract[[7]](#footnote-8).

* + 1. Affiliated entities

Affiliated entity(ies)

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 delegatees 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) 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 Part B Section 5 of the grant application form.

* + 1. 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 Part B Section 6 — ‘Associates participating in the action’ — of the grant application form.

* 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.

* + 1. 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 be lower than 24 months nor exceed 36 months.

Location

Actions must take place in the Northern Uganda region – applicants are requested to select relevant districts. Applicants are required to propose districts (minimum 2) for implementation of their activities.

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;
* actions which consist exclusively or primarily in capital expenditure, e.g. land, buildings, equipment and vehicles;
* actions which discriminate against individuals or groups of people on grounds of gender, sexual orientation, political or religious beliefs or lack of them, or ethnic origin;
* actions supporting individual political parties;
* actions concerned only or mainly with sponsorship for pure research.

Types of activity

Please note that the indicative activities listed in section 1.2 of these guidelines are for guidance purposes only. Applicants are encouraged to suggest additional activities / adjust proposed activities to fit the objective of the programme.

**Beneficiaries of each proposed action must be both refugees and host communities (balanced targeting reflecting vulnerability and with special focus on women and youth).**

Interventions must focus not only on settlements, but also reflect the increasing mobility of refugees within the districts. Applicants are encouraged to take this into account in their proposed activities.

Financial support to third parties[[8]](#footnote-9)

Applicants may not propose financial support to third parties. Under this call, financial support to third parties is not considered essential to achieve the objective of the action.

Visibility

The applicants must take all necessary steps to publicise the fact that the European Union has financed or co-financed the action. As far as possible, actions that are wholly or partially funded by the European Union must incorporate information and communication activities designed 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.

Applicants 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 specified and published by the European Commission at <http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en>).

Number of applications and grants per applicants / affiliated entities

The lead applicant may not submit more than one application 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 one other application at the same time.

A co-applicant/affiliated entity may not be the lead applicant, co-applicant or affiliated entity in more than two applications under this call for proposals.

A co-applicant/affiliated entity may not be awarded more than two grants under this call for proposals.

* + 1. Eligibility of costs: costs that can be included

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’.

The reimbursement of eligible costs will be based on actual costs incurred by the beneficiary(ies) and affiliated entity(ies);

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**.

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).

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 normally not eligible costs.

As an exception, contributions in kind may include personnel costs for the work carried out by volunteers under an action or work programme (which are eligible costs).

Volunteers' work may comprise up to 50% of the co-financing. For the purposes of calculating this percentage, contributions in kind in the form of volunteers' work must be based on the unit cost provided by the contracting authority. This type of costs must be presented separately from other eligible costs in the estimated budget. 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.

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

Contributions in kind may not be treated as co-financing

However, if the description of the action as proposed includes contributions in kind, the contributions have to be made.

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;
* credit to third parties.
* salary costs of the personnel of national administrations

**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 and sexual abuse:**

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.

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 European Commission 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 breach of obligations, irregularities or fraud. If breach of obligations, irregularities or fraud are discovered after the award of the contract, the contracting authority may refrain from concluding the contract.

* 1. How to apply and the procedures to follow

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

1. Provide information about the organisations involved in the action. Please note that the registration of this data in **PADOR is obligatory[[9]](#footnote-10)** for this call for proposals:

**Concept note step:** Registration is obligatory for lead applicants applying for EU contributions of more than EUR 60 000.

**Full application step:** Registration is obligatory for co-applicant(s) and affiliated entity(ies). Lead applicants must make sure that their PADOR profile is up to date.

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: <http://ec.europa.eu/europeaid/pador_en>

**It is strongly recommended to register in PADOR well in advance.**

If it is impossible to register online in PADOR for technical reasons, the applicants and/or affiliated entity(ies) must complete the ‘PADOR off-line form[[10]](#footnote-11) attached to these guidelines. This form must be sent **together with the application,** by the submission deadline (see sections 2.2.2 and 2.2.5).

Before starting using PADOR, please read the user guides available on the website.

* + 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).

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. 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 replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. 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 replacement/adjustment shall be included in an accompanying letter or email.

Own contributions by the applicants can be replaced by other donors' contributions at any time.

1. 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.

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.

Hand-written concept notes will not be accepted.

* + 1. Where and how to send concept notes

**The concept note together with its relating checklist[[11]](#footnote-12), declaration by the lead applicant** (to be found in Part A sections 2 and 3 of the grant application form), and **the eligibility criteria – self assessment** (Annexed), **must be submitted in one original and 2 copies in A4 size, each bound.**

An electronic version of the concept note must also be submitted. A CD-Rom or a USB stick with the concept note in electronic format will be included, along with the paper version, in a sealed envelope as described below. The electronic file must contain exactly the same application as the paper version enclosed.

The envelope must bear the reference number and the title of the call for proposals, together with the full name and address of the lead 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) to the address below

For the attention of:

The Chairperson of the Evaluation Committee of the EUROPEAN UNION TRUST FUND SUPREME PROGRAMME

Finance, Contracts and Audit Section

Delegation of the European Union to Uganda

Crested Towers, 15th Floor, Plot 17-23

Hannington Road, P.O Box 5244, Kampala, Uganda

Working hours: Monday to Thursday: 8 am to 16:30 pm; Friday: 8 am to 13:30 pm (excluding public holidays)

Concept notes sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected. A corrigendum may be issued if the country wide lockdown is extended.

**Lead applicants must verify that their concept note is complete using the checklist for concept note (Part A Section 2 of the grant application form). Incomplete concept notes may be rejected.**

* + 1. Deadline for submission of concept notes

The applicants' attention is drawn to the fact that there are two different systems for sending concept notes: one is by post or private courier service; the other is by hand delivery.

In the first case, the concept note must be sent before the date for submission, as evidenced by the postmark or deposit slip, but in the second case it is the acknowledgment of receipt given at the time of the delivery of the concept note which will serve as proof.

The deadline for submission is **10/06/2020** (13:00h Ugandan time), 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 10/06/2020, before 13.00 hours Ugandan time, as evidenced by the signed and dated receipt.

Any concept note submitted after the deadline will be rejected. The contracting authority may, for reasons of administrative efficiency, reject any concept note submitted on time to the postal service but received, for any reason beyond the contracting authority's control, after the effective date of approval of the concept note evaluation, if accepting concept notes that were submitted on time but arrived late would considerably delay the evaluation procedure) or jeopardise decisions already taken and notified (see indicative calendar under Section 2.5.2)

* + 1. Further information about concept notes

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-uganda-finance@eeas.europa.eu](mailto:delegation-uganda-finance@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 EU Delegation in Uganda website as the need arises**. It is therefore advisable to consult the abovementioned website (<https://eeas.europa.eu/delegations/uganda_en>)) regularly in order to be informed of the questions and answers published

* + 1. Full applications

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using Part B of the grant application form annexed to these guidelines (Annex A). 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 cannot be modified by the lead applicant in the full application.The EU contribution may not vary from the initial estimate by more than 20 %, although 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 under Section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. 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 replacement/adjustment shall be included in an accompanying letter or email.

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 (Part B, Section 7 of the grant application form) 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.

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

**With the full application the lead applicant also has to submit completed PADOR registration form (Annex F) for the lead applicant, each (if any) co-applicants and each (if any) affiliated entities[[12]](#footnote-13).**

**No additional annexes should be sent.**

* + 1. Where and how to send full applications

Full applications (i.e. the full application form, the budget, the logical framework and the declaration by the lead applicant) **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) to the address below:

For the attention of : The Chairperson of the Evaluation Committee of the EUROPEAN UNION TRUST FUND SUPREME PROGRAMME

Finance and Contracts Section – EUTF SUPREME Call\_Full applications

Delegation of the European Union to Uganda

Crested Towers, 15th Floor, Plot 17-23 Hannington Road,

P.O Box 5244, Kampala, Uganda

Working hours: Monday to Thursday: 8 am to 16:30 pm; Friday: 8 am to 13:30 pm (excluding public holidays)

(Include **'NOT TO BE OPENED BEFORE THE OPENING SESSION**).

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 2 copies in A4 size, each bound. The full application form, budget and logical framework must also be supplied in electronic format (CD-Rom or USB) in a separate and single file (i.e. the full application must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version**.**

**The checklist (Section 7 of Part B of the grant application form) and the declaration by the lead applicant (Section 8 of Part B of the grant application form) must be stapled separately and enclosed in the envelope**

**The envelope must bear the reference number and the title of the call for proposals, , the full name and address of the lead applicant, and the words ‘Not to be opened before the opening session’**

**Applicants must verify that their application is complete using the checklist (Section 7 of Part B of the grant application form). Incomplete applications may be rejected.**

* + 1. Deadline for submission of full applications

The applicants' attention is drawn to the fact that there are two different systems for sending full applications in hard copy: one is by post or private courier service, the other is by hand delivery, as explained in section 1.5.6.

In the first case, the full application must be sent before the date for submission, as evidenced by the postmark or deposit slip, but in the second case it is the acknowledgment of receipt given at the time of the delivery of the full application which will serve as proof.

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.

The contracting authority may, for reasons of administrative efficiency, reject any application submitted on time to the postal service but received, for any reason beyond the contracting authority's control, after the effective date of approval of the full application evaluation, if accepting applications that were submitted on time but arrived late would considerably delay the award procedure or jeopardise decisions already taken and notified (see indicative calendar under Section 2.5.2).

* + 1. 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-uganda-finance@eeas.europa.eu](mailto:delegation-uganda-finance@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 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 EU Delegation (<https://eeas.europa.eu/delegations/uganda_en>). It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published

* 1. 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: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION**

During the opening and 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 Section 2 of Part A 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 Part A of the grant application form.

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.

|  |  |  |
| --- | --- | --- |
|  | **Scores\*** | |
| **1. Relevance of the action** | Sub-score | **20** |
| 1.1 How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? | 5 |  |
| 1.2 How relevant is the proposal to the particular needs and constraintsof 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)? | 5 |  |
| **2. Design of the action** | Sub-score | **30** |
| 2.1 How coherent is the overall design of the action?  Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? | 5x2\*\* |  |
| 2.2 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders? | 5 |
| 2.3 Does the design take into account external factors (risks and assumptions)? | 5 |  |
| 2.4 Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic? | 5 |  |
| 2.5 To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, 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)? | 5 |  |
| **TOTAL SCORE** | | **50** |

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

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 at least 200% 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.

After the evaluation of concept notes, the contracting authority will send letters to all lead applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the concept note was evaluated and the results of that evaluation. The pre-selected lead applicants will subsequently be invited to submit full applications.

**STEP 2: OPENING & ADMINISTRATIVE CHECKS AND] 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 (Section 7 of Part B 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 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).

**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 projectmanagement? | 5 |
| 1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house technical expertise? (especially knowledge of the issues to be addressed) | 5 |
| 1.3 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house management 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** | **20** |
| *Score transferred from the Concept Note evaluation* |  |
| **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 results satisfactory? | / 10 |
| **Maximum total score** | **100** |

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.

1. **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 8 of Part B of the grant application form) will be cross-checked with the supporting documents provided by the lead applicant. Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.
* The eligibility of applicants and the affiliated entity(ies) will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

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.

* 1. Submission of supporting documents for provisionally selected applications

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 in order to allow the contracting authority to verify the eligibility of the lead applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)[[13]](#footnote-14):

**Supporting documents must be provided through PADOR (see section 2.2).**

The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity[[14]](#footnote-15). 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[[15]](#footnote-16). This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.

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)[[16]](#footnote-17). A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).

Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the contracting authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.

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.

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).

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.

Where such documents are not in one of the official languages of the European Union, 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.

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.

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.

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

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.

* 1. Notification of the Contracting Authority’s decision
     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.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See further Section 2.4.15 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>

* + 1. Indicative timetable

|  |  |  |
| --- | --- | --- |
|  | **DATE** | **TIME** |
| **1. Information meeting (if any)** | N/A |  |
| **2. Deadline for requesting any clarifications from the contracting authority** | 19/05/2020- 21 days before the submission deadline | 16.30hrs Ugandan Time |
| **3. Last date on which clarifications are issued by the contracting authority** | 30/05/2020- 11 days before the submission deadline | - |
| **4. Deadline for submission of: concept notes** | 10/06/2020 | 13:00 hrs Ugandan Time |
| **5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)** | 03/07/2020 | - |
| **6. Invitations to submit full applications** | 10/07/2020 | - |
| **6. Deadline for submission of full applications** | 25/08/2020 | - |
| **7. Information to lead applicants on the evaluation of the full applications (Step 2)** | 11/09/2020 | - |
| **8. Notification of award (after the eligibility check) (Step 3)** | 02/10/2020 | - |
| **9. Contract signature** | 31/10/2020 | - |

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

This indicative timetable refers to provisional dates and may be updated by the contracting authority during the procedure. In such cases, the updated timetable will be published on the EU Delegation website (<https://eeas.europa.eu/delegations/uganda_en>))

* 1. 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 ).

1. 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)

Annex D: Legal entity sheet[[17]](#footnote-18)

Annex E: Financial identification form

**DOCUMENTS FOR INFORMATION[[18]](#footnote-19)**

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 VIII: model financial guarantee

-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: <http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en>

Annex J: Information on the tax regime applicable to grant contracts signed under the call.

Annex K: Guidelines for assessing Simplified costs options

**Useful links:**

**Project Cycle Management Guidelines**

[http://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1\_en](https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en)

**The implementation of grant contracts**

**A Users' Guide**

<http://ec.europa.eu/europeaid/companion/document.do?nodeNumber=19&locale=en>

**Financial Toolkit**

<http://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/financial-management-toolkit_en>

PRAG

http://ec.europa.eu/europeaid/prag/document.do?locale=en).

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.

\* \* \*

1. <https://www.africa-eu-partnership.org/en/stay-informed/news/joint-valletta-action-plan-conclusions-2018> [↑](#footnote-ref-2)
2. <https://ec.europa.eu/trustfundforafrica/all-news-and-stories/pioneering-comprehensive-refugee-response-framework-crrf-see-how-despite_en?page=1> [↑](#footnote-ref-3)
3. At various stages: *Education Response Plan* (launched on 14th of September, 389 million USD over 3.5years), *Water/environment* (launched on the 12th March 2020), Health Integrated Refugee Response Plan (launched on 25th January 2019, circa 500 million USD over 5 years), livelihoods (underway). [↑](#footnote-ref-4)
4. Background Document prepared for the Humanitarian – Development Nexus Workshop in Uganda (April 2018); also an outcome form sector WG sessions with EU MS and EU Services at the Nexus workshop. [↑](#footnote-ref-5)
5. Community Based Protection, September 2018; Urban Protection Response, January – September 2018; Legal and Physical Protection, September 2018; Sexual and Gender Based Violence, September 2018; and, Child Protection Thematic Report, September 2018. [↑](#footnote-ref-6)
6. 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. [↑](#footnote-ref-7)
7. The updated lists of sanctions are available at [www.sanctionsmap.eu](http://www.sanctionsmap.eu).

   Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails. [↑](#footnote-ref-8)
8. These third parties are neither affiliated entity(ies) nor associates nor contractors. [↑](#footnote-ref-9)
9. Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to register in PADOR. In this case, the information included in PROSPECT and the grant application form is sufficient. [↑](#footnote-ref-10)
10. Which corresponds to sections 3 and 4 of the full application form – Annex A.2. [↑](#footnote-ref-11)
11. Please note that the concept note / full application should not be rejected only because the lead applicant did not submit the checklist or the information in the checklist is not correct. [↑](#footnote-ref-12)
12. 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. [↑](#footnote-ref-13)
13. No supporting document will be requested for applications for a grant not exceeding EUR 60 000. [↑](#footnote-ref-14)
14. Where the lead applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided. [↑](#footnote-ref-15)
15. To be inserted only where the eligibility conditions have not changed from one call for proposals to the other. [↑](#footnote-ref-16)
16. This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt 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 2.4.2. [↑](#footnote-ref-17)
17. Only applicable where the European Commission will make the payments under the contracts to be signed. [↑](#footnote-ref-18)
18. These documents should also be published by the contracting authority. [↑](#footnote-ref-19)