

**Questions and Answers from Information Sessions in Addis Ababa and Nairobi on
Guidelines for Applicants under the EU Trust Fund Collaboration in Cross-Border Areas
programme**

On Monday 3rd April, the EU Delegations to Kenya and Ethiopia held two separate information sessions to inform interested participants about the negotiated procedure for the award of grants that was launched on 24th March under the Collaboration in Cross-Border Areas programme.

The following tables list the questions that were raised during both of these sessions pertaining to these procedures. The written responses provided in the tables should be considered the final official answers to each question.

Table 1- EU Delegation to Kenya

	Questions	Answers
1.	Can you provide more information on Cluster IV? Can you explain why GIZ and UNDP were chosen as implementing partners and why there is no similar procedure for grant proposals for this cluster?	<p>Cluster IV includes the Marsabit County, Kenya and Borana and Dawa Zones, Ethiopia. As outlined in the Action Document, the EU will make a contribution of EUR 3. 5 million to the existing UNDP-led cross-border programme in this area.</p> <p>The choice of implementing partner and modality is based on an assessment of various aspects including financial and operational capacity of the implementing partner, the specific environment within which operations must take place and the relevance, feasibility, sustainability and cost-effectiveness of the action. A variety of implementing modalities are used under the EU Trust Fund, including delegation of funds to pillar-assessed agencies.</p>
2.	Will the applicants be required to cover the entire geographical area of the cluster? Can they pick only certain locations within the cluster boundaries?	<p>Reference is made to section 2.1.4 of the guidelines which specifies "<i>The activities which will be considered eligible under this procedure will have to be implemented within these geographical boundaries</i> [illustrated on the cluster maps]. <i>It is not expected that the proposed activities would be implemented across the whole geographical area covered but it is crucial that they reflect the cross border nature of this procedure.</i>" Therefore they must encompass areas and beneficiaries within all the countries of the cluster area.</p>
3.	The lead applicant needs to have implemented at least one action in the cluster area in the last 5 years to be eligible for cluster 2. Does this activity have to be in the same thematic area as under this procedure?	<p>The lead applicant must prove that they have implemented at least one action within the geographical cluster area in the last 5 years. The thematic area is not specified.</p>

4.	Do the consortia in Ethiopia interested in cluster II have to bring their applications to Nairobi?	Applications for cluster I must be submitted to the EU Delegation in Addis Ababa, Ethiopia and those for Cluster II must be submitted to the EU Delegation in Nairobi, Kenya, as per the instructions in the guidelines.
5.	Can we have IGAD as a partner and is there a specific foreseen role that IGAD will play in this project?	<p>IGAD has played an important role in the design of the programme. The cluster areas are closely aligned to priority areas under the IDDRSI framework. IGAD will continue to be closely involved, through component 3 of the programming on transboundary cooperation and coordination between clusters (to be implemented by UNDP).</p> <p>The eligibility criteria need to be met for any lead or co-applicant. However, there may be a potential risk of conflict of interest in the case of organisations/authorities that have been involved in the design of the programme.</p>
6.	Would refugees/asylum seekers be considered as eligible beneficiaries?	It is up to the applicants to propose the direct beneficiaries based on their needs assessment. There are no specific types of beneficiaries identified in the guidelines.
7.	Is there a specific criterion behind the inclusion of the area around L. Turkana in cluster I?	There is no specific criterion, but it is intended that the programme benefits the communities based around Lake Turkana.
8.	After identification and negotiation with the best applicant, a 6 month inception phase is foreseen. Will there be a contract signed accepting the inception report? After the acceptance of the inception report do we go directly into implementation after submission?	Only one contract will be signed at the beginning of implementation. Implementation commences at the start of the 6 month inception phase. The inception phase may be used to inform and adapt the rest of implementation.
9.	The eligibility for applicants in the guidelines include organisations from any country considered eligible for less developed countries under the revised Annex IV to the Cotonou Agreement. However, the Annex IV also mentions that in the case of a contract implemented in regional or global programs which include at least one least developed country, an organisation from an OECD Member State is also eligible. Since Ethiopia and Somalia are listed as Least Developed Countries, can we assume that an organisation for an OECD Member State will be eligible for a regional proposal including in Kenya (which is not considered as a less developed country as mentioned in the eligibility criteria)?	<p>According to the guidelines, applicants, except international organisations, have to be <i>"established in a Member State of the European Union or any country considered eligible for less developed countries under the revised Annex IV to the Cotonou Agreement"</i>. This is coherent with the European Commission's Practical Guide, stating that the applicants must be established in:</p> <ul style="list-style-type: none"> (a) <i>an ACP State</i> (b) <i>a Member State of the European Union</i> (c) <i>Beneficiaries of the Instrument for pre-accession assistance ;</i> (d) <i>a Member State of the European Economic Area ;</i>

		<p>(e) <i>Overseas Countries and Territories</i> ;</p> <p>(f) developing countries and territories, as included in the OECD-DAC list of ODA Recipients, which are not members of the G20 group, without prejudice to the status of the <i>Republic of South Africa</i>, as governed by Protocol 3 of the partnership Agreement ;</p> <p>(g) countries for which Commission has adopted a decision approving the request for <i>reciprocal access</i> to external assistance in agreement with ACP countries;</p> <p>(h) <i>a Member State of the OECD</i>, in the case of contracts implemented in a Least Developed Country (LDC)¹ or a Highly Indebted Poor Country (HIPC)², or in the case of contract implemented in regional or global programmes which include at least one LDC or HIPC country.</p> <p>Therefore organisations established in a member state of the OECD are also eligible for the two clusters.</p>
10.	The guidelines mention that applications should demonstrate synergy and complementarity within the lots and the clusters. Will the EU Delegation facilitate any meetings for the participants in this information session and other eligible applicants to discuss the possibility of forming consortia?	In addition to the time allowed at the end of each session for discussion among participants, the EU Delegation will also publish on its website a list of the organisations having participated in the meetings.
11.	If an organisation has presence in all three countries, could it select one of its in-country offices as a lead applicant and could the other country offices be included in the applications as co-applicant or affiliates? Should such an organization just apply as one regionally based organisation?	As long as the eligibility criteria are met for lead applicants and co-applicants, the application can be considered. The EU is not in a position to comment on the different administrative set-up of specific organisations.
12.	When partnering with either local partners or international ones, will each organisation be required to register in PADOR or should it be just the lead applicant?	Each organisation involved in an application must register in PADOR.

¹ See [appendix 4](#) for the full list of LDCs.

² See full list of HIPCs in [footnote 4](#).

13.	Will an application from an organisation interested in implementation of interventions within only 2 of the 3 countries (Kenya, Ethiopia and Somalia) be considered?	To ensure the cross-border dimension of the project, activities must be implemented in all countries of the cluster area.
14.	Are either local or international organisations allowed to apply in more than one proposal?	According to the guidelines, section 2.1.4: <ul style="list-style-type: none"> • The lead applicant may submit more than one application(s) under this procedure. • 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 be the co-applicant or affiliated entity in more than one application under this procedure
15.	Proposals covering the two lots are welcome. Can one application cover both lots?	Lot 1 and 2 will be evaluated separately. Separate applications are therefore expected for each Lot.
16.	Can the EU elaborate on cases where 100% of the costs will be covered by the EU funds? Will a proposal for 100% use of EU funds be disadvantaged during evaluation compared to a co-financed proposal?	According to the guideline, section 1.3, the minimum amount for co-financing to be provided by the applicants is 5% of the eligible costs. The EU grant may cover the entire eligible costs of the action if a convincing and well-substantiated justification is provided in the grant application form. There is no selection criteria pertaining to co-financing but the budget and cost-effectiveness of the action will be evaluated (see section 2.3).
17.	Could you kindly clarify why the two lots were split as they are?	Several factors were considered, i.e. the size of the grant and the activities foreseen under each lot.

Participating organisations

ICRAF – World Agroforestry Centre
 ACTED
 IOM Kenya
 ARCHE NOVA
 GRT Italia
 Jesuit Refugee Service
 Danish Demining Group
 CEFA (The European Committee for Training And Agriculture)
 Embassy of Portugal
 Norwegian Refugee Council
 Save the Children
 ACORD (Agency for Co-operation and Research in Development)
 WYG consultancy
 Pactworld
 Fondazione Albero della Vita
 Italian Agency for Development Cooperation
 International Labour Organization (ILO)

Catholic Relief Services Kenya
 Adam Smith International
 IPB Italia
 AMREF Health Africa
 Nordic International Support Foundation (NIS)
 VSF Suisse
 AU-IBAR
 Friends of Children AiBi Kenya
 FCA (Finn Church Aid)
 World Vision East Africa
 AVSI Foundation
 Hanns Seidel Foundation
 Terra Nuova East Africa
 Islamic Relief Worldwide - Kenya
 VSF Germany
 Living Water Africa Region
 CIRAD (Centre de coopération internationale en recherche agronomique pour le développement)
 IRD (Institut de recherche pour le développement (IRD)
 CARE Somalia/Somaliland
 Action for Social and Economic Progress (ASEP)
 DSDMI
 COOPI
 Dorcas Aid International
 CCM (Comitato Collaborazione Medica)
 Christian Aid Kenya
 Dan Church Aid (DCA) Kenya
 Africa Education Trust
 Trade Mark East Africa
 UNOPS
 IRC (International Rescue Committee)
 WHH/GAA (German Agro Action)
 IFRC
 Africon Universal Consulting

Table 2- EU Delegation to Ethiopia

	Questions	Answers
1	If an organisation has presence in all three countries, could it select one of its in-country offices as a lead applicant and could the other country offices be included in the applications as co-applicant or affiliates? Should such an organization just apply as one regionally based organisation?	Please refer to the guidelines for applicants section 2.1 on eligibility rules. As long as the eligibility criteria are met for lead applicants and co-applicants, the application can be considered. The EU is not in a position to comment on the different administrative set-up of specific organisations.
2	How is the "expression of interest" which was submitted to the EU Delegation back in December 2016 considered in the framework of this procedure?	The EU delegation never requested any expression of interests. In December 2016, the EU delegation proposed to any organisation potentially interested to the cross border initiative to send a one pager allowing the EU to get information about organisations' areas of

		expertise, current projects in the clusters, etc. This will not be taken into consideration in the framework of this negotiated procedure for the award of grants.
3	Are government offices eligible?	<p>Please refer to section 2.1.1 of the guidelines. The applicant should be a legal person. It is not specified in the guidelines if applicants must be private, non-profit, governmental, etc.</p> <p>However, attention of the applicants is drawn to the rules regarding eligibility of costs as set out in article 14 of the General Conditions for grants. Especially article 14.9 f) regarding salaries of personnel of National Administration.</p>
4	Where should the applicant be established to be considered eligible?	Please refer to section 2.1.1 of the guidelines. It shall be established in EU member states and any country considered eligible for LDCs under the revised Annex IV to the Cotonou Agreement. This obligation does not apply to international organisations. Please also see answer to Question 9 in the table for the information session in Nairobi.
5	As far as Lot 1 is concerned, is it the lead applicant which should get a proof from government on exemption to CSP provisions?	No, it is not necessarily the lead applicant. To be eligible for the implementation of Lot 1, a consortium should include at least one consortium member (lead applicant or co-applicant) exempted from the 2009 Charities and Societies Proclamation provisions allowing the member to work on conflict prevention and resolution in Ethiopia
6	Is this criterion (exception to CSP provisions) together with the 95% co-funding, making it impossible to find such a consortium member?	<p>It is understood that the number of exempted organisations is limited and the guidelines for applicants have been written taking into account this constraint (e.g. number of applications allowed per organisation).</p> <p>The 95% EU co-funding is a ceiling; moreover, it applies to the totality of the eligible costs (not necessarily to each consortium member).</p>
7	Can co-financing be in kind?	Please refer to the guidelines for applicants section of 2.1.5 on eligibility of cost : Contribution in kind may not be treated as co-financing
8	How is the co-financing distributed among members of the consortium?	Under section 1.3 of the guidelines it is mentioned that the minimum amount of co-

		financing to be contributed by the applicant is 5%. This is the total part to be financed by the consortium as a whole. How the 5% co-financing contribution is to be shared among consortium members has to be agreed between the different partners.
9	Why are cluster III and IV not mentioned in the presentation?	Cluster III and cluster IV are not funded through the same instrument. Delegation agreements will be concluded for the implementation in these clusters. This info session deals only with the content of the published guidelines for objectives 1 and 2 in clusters I and II. However, it is important for the applicants to know what will be covered in cluster III and IV to ensure coordination/complementarity.
10	What is the status of cluster III?	As far as Cluster III (East Sudan-Western Ethiopia cluster) is concerned, preliminary assessments by GIZ are ongoing.
11	Is there a share of activities or budget to be made between the concerned countries?	Sharing of project activities or budget between countries it is up to the applicants. Each proposal will define and justify beneficiaries for proposed activities in line with the project's intervention logic. The cross border nature of the activities is fundamental.
12	Is undertaking research an eligible activity?	Please refer to section 2.1.4 of the guidelines stating that "data collection, analysis and research if directly required and linked to improve the evidence-base for the achievement of the results of the action" are eligible actions. Moreover, in section 1.2 it is mentioned that "The inception phase will include activities such as local stakeholder engagement; further sectorial analysis ..."
13	Cluster I has a border with South Sudan. Are cross border activities to be implemented also with South Sudan?	Although cluster I is bordering with South Sudan, the cross border activities eligible for this action are the ones between Kenya and Ethiopia.
14	Is there any policy framework agreed between the EU and the governments of the benefiting countries? Would that agreement facilitate the action implementation?	There is a policy framework fostered by UNDP on the Kenya-Ethiopia border. An MoU on working on cross border areas was signed by the governments of Kenya and Ethiopia. The EU met the relevant ministers of the 3 concerned countries (Kenya, Ethiopia and Somalia) to discuss the programme and its implementation modalities, and the operation is welcomed by all parties.

		The project is also closely aligned to IGAD's IDRSSI policy framework. When grants are signed, the 3 governments will be notified to in order to facilitate the activities of the beneficiaries.
15	Is there a more precise definition of "private sector" organisations?	The guidelines do not limit the participation to a specific type of private sector organisation. As long an organisation meets the eligibility criteria, it is allowed to be part of a consortium.
16	How would the private sector be interested if the action is not 100% funded by the EU and the "no profit rule" applies?	Any private sector organisation that would be interested in being part of a consortium should comply with the "no profit" rule for their part of the implementation.
17	The lead applicant needs to have implemented at least one action in the cluster area in the last 5 years to be eligible. What if the activity is not finished or will start in few months?	Please refer to the guidelines section 2.1.1 stating that "lead applicants must demonstrate that they have implemented at least one action within the cluster within the last five (5) years in order to be considered eligible. " The last 5 years are considered backwards from the last possible day of submission (30/05/2017). An action starting after will definitely not be considered. It is clear in the guidelines that what we are looking for is "direct and recent operational presence in the cluster". This will be assessed on a case by case basis by the evaluation committee.
18	Can the lead partner of a consortium submitting a proposal for cluster I be based in Kenya?	Yes.
19	If the lead partner of a consortium applying for cluster 1 is based in Kenya, where should it send his application?	Applications for cluster I must be submitted to the EU Delegation in Addis Ababa, Ethiopia and those for Cluster II must be submitted to the EU Delegation in Nairobi, Kenya, as per the instructions in the guidelines.
20	Does each partner need to have presence in all the concerned countries?	No. Please refer to the guidelines section 2.1.1 stating that each consortium <i>as a whole</i> should demonstrate "direct operational presence and authorisation to operate on" all countries concerned (not necessarily in the specific cluster).
21	Who in UNDP is in charge of the negotiations or Objective 3 implementation?	UNDP Ethiopia is leading the negotiation process for the contracting of Objective 3's implementation.

Registered organisations

1. ACORD – Agency for Co-operation & Research in Development

2. Action Aid Ethiopia
3. AUSTRIAN RED CROSS, INT. COOPERATION
4. CAFOD, SCIAF & Trócaire (CST) Working Together Ethiopia
5. CARE Ethiopia
6. CCM
7. Christian Aid Ethiopia Office
8. Christian Children's Fund of Canada
9. Consortium of Christian Relief and Development Associations (CCRDA)
10. Cooperazione Internazionale – COOPI
11. Cordaid
12. DanChurchAid (DCA) Ethiopia and Kenya
13. Danish Refugee Council (DRC)
14. Doctors with Africa CUAMM
15. Ethiopia Construction Design and Supervision Works Corporation (ECDSWC)
16. Ethiopian Kale Heywot Church
17. Farm Africa
18. Farm Concern International
19. From Harm to Home/International Rescue Committee
20. Gayo Pastoral Development Initiative (GPDI)
21. Handicap International Ethiopia
22. Health Poverty Action
23. HelpAge International, Ethiopia Programme
24. InterAfrica Group (IAG)
25. International Medical Corps(IMC)
26. International Organization for Migration(IOM)
27. International Water Management Institute
28. JRS-Ethiopia
29. Living Water International Ethiopia (LWI)
30. Norwegian Refugee Council -Ethiopia programme
31. Oxfam international
32. Pact Ethiopia
33. Peace and Development Center (PDC)
34. Plan International Ethiopia
35. Rescate Organization
36. Saferworld
37. Solarkiosk
38. SOS Sahel Ethiopia
39. The Horn Economic and Social Policy Institute (HESPI)
40. UNDP
41. UNOPS
42. Veterinaires Sans Frontieres Germany (VSF Germany)

43. Vétérinaires Sans Frontières Suisse
44. VNG International.
45. World Agroforestry Centre (ICRAF)
46. Save the Children
47. MetaMeta Research
48. EPaRDA
49. PHEEC
50. The Borders Institute (TBI)
51. Nile Basin and East Africa Office(EANBO)
52. People In Need

Any further requests for clarification may be submitted to by **latest 8 May 2017** to:

- delegation-ethiopia-infra@eeas.europa.eu for Cluster I
- delegation-kenya-rural@eeas.europa.eu for Cluster II