EU TRUST FUND FOR AFRICA

COLLABORATION IN CROSS-BORDER AREAS OF THE HORN OF AFRICA REGION

INFORMATION SESSION

The sole purpose of this document and information session is to clarify as much as possible the information already provided in the guidelines for grant applications which remain the only legally binding basis for this procedure.

3 April 2017
Outline of the presentation

1. Overall project overview
2. Negotiated procedure for the award of grants: understanding the procedure
3. Guidelines for grant applications for Clusters I and II: Objectives and Lots
4. Strategic considerations, in particular
   - Coordination and complementarity
   - Inception phase
   - Humanitarian-development nexus
5. Financial allocations
6. Eligibility criteria:
   - Who? (Actors)
   - What? (Actions, duration, location)
7. Eligibility of costs
8. How to apply
9. Timeline
10. Questions and answers session (NB. As far as possible, answers will be provided during this session. However, all questions asked - in Addis and Nairobi - will be noted down and answered in writing. They will be published on the Delegation websites, no later than 19 May 2017, and will constitute the final official answers to all questions raised).
1. Overall project overview

- A total of **€63.9 million** covering four cross-border areas of Ethiopia, Kenya, Somalia and Sudan.

- **Overall objective** is to prevent and mitigate the impact of local conflict in these borderland areas, and to promote economic development and greater resilience.

- **Specific objectives** are:
  1. To prevent local conflict and mitigate its impact;
  2. To promote economic and private sector development, and greater resilience, particularly among vulnerable groups (e.g. youth, women, displaced people). This will include enhancing and diversifying livelihoods, including livestock, agriculture and fisheries; strengthening basic service delivery; natural resource management; and promoting cross-border trade and private sector development.
  3. To ensure effective trans-boundary cooperation and coordination of cross-border initiatives.

2. Negotiated procedure for the award of grants: understanding the procedure

EU Trust Fund has flexible procedures.

- Guidelines are published on EU Delegation websites for two separate clusters.
- Full applications have to be submitted by consortium following the instructions.
- Full applications are evaluated according to the eligibility and selection criteria outlined in the guidelines.
- A negotiation will take place with the highest-scoring, eligible consortium.
- If the negotiation is unsuccessful, the following consortia in the ranking will be called for negotiation, and so forth.
3. Guidelines for Applicants for Clusters I and II: Objectives and Lots

The procedure will be divided into two lots reflecting the objectives:

- **Lot 1, covering objective 1: to prevent local conflict or to mitigate its impact**

  The expected result for this lot is the promotion of peace building, conflict management and resolution capacity at community and cross-border level.

- **Lot 2, covering objective 2: to promote economic development and greater resilience, particularly among vulnerable groups**

  The expected results for this lot are:
  - Reinforced resilience of the local population to shocks
  - Improved livelihood opportunities
  - Enhanced integrated natural resource management
4. Strategic considerations

Applications will be expected to reflect a number of **strategic considerations**, that are detailed in the guidelines, and methodology will be evaluated according to these e.g.

- Cross-border nature of activities
- Private sector development and innovative approaches
- Gender (incl. min 40% female beneficiaries), youth focus and environmental considerations
- Conflict sensitivity
- Sustainability
- Adaptability and flexibility

See next slide for more information on:
- Multi-level coordination and complementarity
- Phased approach
- Humanitarian and development nexus
4. Strategic considerations cont'd

- **Coordination and complementarity:**
  - With local authorities – to be closely associated to design and implementation
  - With objective 3 of the overall programme – to be implemented by UNDP, in close association with IGAD
  - Between lots and clusters
  - With other EU and non-EU initiatives
  - Within the consortium

- **Phased approach:**
  - Include a 6 month inception phase that could involve local stakeholder engagement, further analysis, detailed identification of beneficiaries
  - It could also include immediate action that can be undertaken, for which there is no need for further detailed assessment and design.
  - There will be an inception report at the end of the 6 months, to inform the rest of the implementation.
  - Applications should explicitly describe the methodology and activities to be undertaken during the inception phase.

- **Humanitarian-development nexus:**
  - This project should not provide humanitarian assistance but close links should be made with the ongoing humanitarian response (particularly linked to the drought). The current situation may call for a need to accelerate some specific actions.
  - Longer term resilience building interventions to address recurrent droughts should be considered as well as alternative economic opportunities.
  - Proposals should integrate a flexible programming approach.
5. Financial allocations

Cluster I
Lot 1: min EUR 2.5M
    max EUR 3M
Lot 2: min EUR 11M
    max EUR 12M

Cluster II
Lot 1: min EUR 2.5M
    max EUR 3M
Lot 2: min EUR 13M
    max EUR 14M

For each lot, **only one proposal** will be selected and awarded.
Each lot will be evaluated separately however we welcome proposals that cover both lots.
Applicants are encouraged to present ambitious proposals, aimed at exploiting the maximum amounts available.

**Co-financing:** 95% - the EU grant may cover the entire eligible costs, only if a well-substantiated justification is provided in the application.
6. Eligibility criteria: Who?

Considering the need for a wide variety of technical expertise, applicants are encouraged to get organised into consortia.

Diverse actors including local partners and the private sector are encouraged to form part of the consortia.

A consortium is made up of:

- A lead applicant
- One or more co-applicants
- Affiliated entity(ies) – if any
6. Eligibility criteria: lead applicant

- Be a legal person \textbf{and}
- Be established in any country considered eligible for less developed countries under the revised Annex IV to the Cotonou Agreement (this obligation does not apply to international organisations) \textbf{and}
- Be directly responsible for the preparation, management and implementation of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary \textbf{and}
- Have \textbf{operational presence}:
  - For lot 1, current established presence (office, field office, staff presence) in at least one of the countries covered by the action. Operational presence in the specified cluster will be considered a strong advantage.
  - For lot 2, \textbf{demonstrated direct and recent operational presence} (= implemented at least one action within the cluster within the last 5 years in order to be considered eligible) \textbf{and}
- Have proven competence in one or more of the thematic areas to be addressed under the relevant lot as demonstrated through a portfolio of at least three (3) projects.
6. Eligibility criteria: co-applicants

- Be a legal person and
- Be established in any country considered eligible for less developed countries under the revised Annex IV to the Cotonou Agreement (this obligation does not apply to international organisations) and
- Be directly responsible for the preparation, management and implementation of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary and
- Have operational presence (= current established presence (office, field office, staff presence) in one of the countries covered by the action) in at least one of the countries covered by the action.
  - Operational presence in the specified cluster will be considered as a strong advantage for both lots, and
- Have proven competence in one or more of the thematic areas to be addressed under the relevant lot as demonstrated through a portfolio of at least 3 projects.
6. Eligibility criteria: consortium

As a whole, the consortia must:

- Include at least 1 consortium member (lead applicant or co-applicant) who is allowed to work on **conflict prevention and resolution in Ethiopia**. The application should **include proof** from the competent government body of the member's exemption to the 2009 Charities and Societies Proclamation (CSP) provisions. *(Applicable to lot 1 only)*

- Demonstrate proven competence in the thematic areas to be addressed under the relevant lot, direct operational presence and authorisation to operate in the countries concerned (not necessarily in the specific cluster).

- Previous experience implementing **cross-border projects** will be considered an advantage.

- **Partnerships with local organisations which have specific technical expertise** in one or more of the areas covered by this procedure and which have sufficient management capacity are encouraged.
6. Eligibility criteria: affiliated entities, associates and contractors

- **Affiliated entities**
The lead applicant and its co-applicant(s) may act with affiliated entity(ies). 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 can be considered as affiliated entities. See guidelines for detailed description of what is and what is not an affiliated entity.

Associates and contractors are not applicants.

- **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. Associates must be mentioned in Annex A.2., section 4 — ‘Associates participating in the action’.

- **Contractors**
The beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot also be contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.
6. Eligibility criteria: number of applications and grants per applicant and role of the lead applicant

- 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.

**Role of the lead applicant:**
If awarded the grant contract, the lead applicant will become the **beneficiary identified as the Coordinator** in Annex E3h1 (Special Conditions). The Coordinator:

- signs the grant contract
- is the main interlocutor of the of the Contracting Authority
- coordinates the design and implementation of the action
- has full financial responsibility for the action
- draws up the reports, financial statements etc
- makes payment requests and receives payments from EU
6. Eligibility criteria: What?

**Duration:** no less than 36 months, no more than 40 months, including the 6 month inception phase.

**Types of action:**

**Eligible:**
- Construction of and management of installations and infrastructure and provision of supplies, equipment and goods (including access to financial services) linked to and necessary for the achievement of the results of the action;
- Technical assistance and provision of training, expertise, advice, workshops, community dialogues and awareness raising linked to the achievement of the results of the action;
- Data collection, analysis and research if directly required and linked to improve the evidence-base for the achievement of the results of the action.

**Ineligible:**
- Actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- Actions concerned only or mainly with individual scholarships for studies or training courses.

**Types of activity:** in line with the objectives of each lot, an indicative and non-exhaustive list of possible activities is included in the guidelines for each cluster.
6. Eligibility criteria: What?

**Geographical coverage:** To be considered eligible, activities must be implemented:

- **within the geographical boundaries** of the cluster (see maps for details) and
- must have an evident **cross-border dimension**.

This means that:

- they would not **necessarily** have to be implemented across the whole cluster
- but **must encompass areas and beneficiaries within all the countries concerned**.
7. Eligibility of costs

A realistic and cost-effective budget must be presented.

Costs must comply with Art. 14 of the general conditions (Annex G of the guidelines). Only eligible costs can be covered by the grant. A grant is strictly "not for profit".

The reimbursement of eligible costs may be based on any or a combination of the following forms:

- actual costs incurred by the beneficiary(ies) and affiliated entity(ies)
- one or more simplified cost options:
  - unit costs: covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
  - lump sums: covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.
  - flat-rate financing: covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.
  - The total amount of financing on the basis of simplified cost options cannot exceed EUR 60 000

Contingency reserve: the budget may include a contingency reserve not exceeding 5 % of the estimated direct eligible costs.

Eligible indirect costs: maximum 7% of the estimated total eligible direct costs and provided that they do not include costs assigned to another budget heading in the standard grant contract.

Contributions in kind may not be treated as co-financing.
8. How to apply

To apply for this procedure for the award of grants:

Registration of information about the organisations involved in the action in **PADOR is obligatory** for all lead applicants, co-applicant(s) and affiliated entity(ies).

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:

**It is strongly recommended to register in PADOR well in advance and not to wait until the last minute before the deadline to submit your application.**

*If it is impossible to register in PADOR for technical reasons, applicants may use the PADOR off-line form included in the annexes to the guidelines.*
8. How to apply

Applications must be submitted in accordance with the instructions in the grant application form annexed to the guidelines.

Full applications must be submitted in one original and four copies to the EU Delegation to Ethiopia (cluster I) and the EU Delegation to Kenya (cluster II). Full applications must also be supplied in electronic format (USB).

Lead applicants must verify that their application is complete using the checklist (section 6 of the instructions in Annex A). **Incomplete applications may be rejected.**

The deadline for the submission of applications is **30th May 2017** as evidenced by the date of dispatch, the postmark or the date of the deposit slip.

Any application submitted after the deadline will automatically be rejected.
## 9. Timeline

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<tr>
<td>Publication</td>
<td>24(^{\text{th}}) March 2017</td>
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<tr>
<td>Information session</td>
<td>3(^{\text{rd}}) April 2017</td>
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<tr>
<td>Deadline for requesting clarifications</td>
<td>8(^{\text{th}}) May 2017</td>
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<tr>
<td>Deadline for contracting authority to issue clarifications</td>
<td>19(^{\text{th}}) May 2017</td>
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<td>Deadline for submission of full applications</td>
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<td>Evaluation</td>
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<td>Negotiation and contract signature</td>
<td>June-July 2017</td>
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**Implementation of the 6 month inception phase to begin ASAP upon signature**
THANK YOU!

Q&A