

**Template Call for Proposal in 2 phases**

**RWANDA**

**Contracting authority: ENABEL**

**Call for Proposals “TO PROVIDE COOPERATIVE CAPACITY BUILDING  
ON GOVERNANCE AND ORGANIZATION STRENGTHENING FOR  
SMALLHOLDER FARMER’S COOPERATIVES ACTIVE IN  
AQUACULTURE AND HORTICULTURE VALUE CHAINS IN RWANDA”**

under the intervention:

***Kwihaza Project***

**RWA2000111**

Guidelines for Applicants

Reference: **CfP/RWA20001-10048**

Deadline for submission of the concept note: **20/03/2014**

**Grant application file: 19<sup>th</sup> February 2024**

## NOTE

This is a call for proposals in two phases. As a first step, only concept notes should be submitted for evaluation.

After evaluation of the concept notes including the admissibility of the applicants, the applicants who have been shortlisted will be invited to submit a proposal.

Subsequently, the evaluation of the proposals actually received from the preselected applicants will be carried out.

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<b>BDS:</b>	Business Development Services
<b>CfP:</b>	Call for Proposal
<b>CIMS:</b>	Cooperative Information Management System
<b>EU:</b>	European Union
<b>GDP:</b>	Gross Domestic Product
<b>PSTA:</b>	Plan Strategique de Transformation Agricole (Strategic Plan for Agriculture Transformation)

# 1 Call for Proposal to provide cooperative capacity building on governance and organization strengthening for smallholder farmer's cooperatives active in Aquaculture and Horticulture Value Chains in Rwanda

## 1.1 Context

In Rwanda, cooperatives are seen as one of the instrumental tools of achieving Rwanda's vision 2050. The government of Rwanda views cooperatives as potential drivers of the economy through which members can create employment, expand their income-generating activities, and improve their livelihood. Agriculture is the main economic activity accounting for one-third of the GDP and employing around 72% of the working population. However, the sector is still largely characterized by subsistence farming with low productivity, and small landholdings (less than 0.4ha on average). The smallholder farmers have the tradition of organizing themselves in membership-based groups around common interests like increasing and aggregating production for easy access to better markets of their produce and pulling together their resources and efforts for easy access of farm inputs and credits.

With a strong emphasis on private sector development within the strategic orientation of 4<sup>th</sup> Strategic Plan for Agriculture Transformation (PSTA IV - 2018 to 2024), the agriculture sector is shifting towards a sustainable food system approach with a focus on "diversified higher value agricultural products (horticulture, vegetable, poultry, pork, fisheries)".

Kwihaza, a 4-year project (2023-2026) funded by the European Union and Luxembourg Cooperation (LuxDev), implemented by Enabel the Belgium Development Agency, aims at developing the aquaculture, fisheries, and horticulture sectors in Rwanda. It is a Team Europe transformative program that aims seeks to contribute to socially, economically, and environmentally inclusive food systems by addressing key challenges and constraints of the sector players.

Specifically, output 1 of Kwihaza project states that the capacity of smallholder farmers actives in horticulture, aquaculture and fisheries value chains are strengthened to efficiently improve quality and quantity of produce, minimise post-harvest losses and improve access to local and regional markets.

Most of the cooperatives in these value chains are not organised or managed in a professional and business-minded way. A top-down approach was employed in their formulation. This makes them difficulty to serve their members, work sustainably, have access to financial services and become commercially viable. Unprofessional cooperatives struggle to apply good practices and technology, are less adaptive to climate change, produce less or poor quality, create fewer jobs and are unattractive to financial institutions for investment prospects.

In 2018, a new national policy has been developed with many proposed options for the development of cooperative in Rwanda, among them two are lined with the core objective of this Call for Proposal (CfP):

All cooperative organizations need to have their business plans, result-based planning, monitoring, and evaluation frameworks, and implement the cooperative Information Management System (CIMS).

Also among the policy intervention areas is growth and graduation of cooperatives (PIA-3) which aims to promote the structural transformation of the cooperatives from low to high productive sectors for increased production, improved value addition, and increased income, promote self-financing of the cooperative and reduce its reliance on government and donor financial support.

In this regard, the governance and organisational strengthening intervention for cooperatives and producers' groups in targeted value chains will be implemented through a 5 step-approach below to ensure coordination and monitoring the success of this grant action:

- **1<sup>st</sup> Step:** Map and scope the cooperative landscape within targeted value chains
- **2<sup>nd</sup> Step:** Analyse and segment selected cooperatives and design their graduation strategy
- **3<sup>rd</sup> Step:** Enhance the level of professionalism of the selected cooperatives and monitor their performance
- **4<sup>th</sup> Step:** Improve service delivery and value chain performance
- **5<sup>th</sup> Step:** Link the graduated or more advanced cooperatives to finance and markets

Since the cooperatives are receiving the appropriate capacity building and incentives for their needs, they will graduate to higher levels of professionalism over time. However, their progress will be monitored and used to build online track records. These track records will be used to assess the viability and professionalism of the cooperatives by financial institutions and other business partners.

## 1.2 Objectives and Expected results

### The general objective:

To increase in a sustainable way the production, per capita consumption and income generated by smallholder farmers organizations/cooperatives, with a focus on women and youth by strengthening their organizational and governance/managerial capacities.

**The specific objective of this Call for Proposal is;** To enhance the overall maturity, professionalism, sustainability, and market engagement of supported cooperatives in aquaculture and horticulture, contributing to their lasting growth.

**This will be achieved through the following key tasks:**

- Strengthening governance and managerial capacities of participating smallholder cooperatives to enable the delivery of improved services to their members.
- Supporting all participating cooperatives to graduate to the advanced level in line with the cooperative graduation model framework.
- Facilitating access to finance and markets for all graduated cooperatives

The process will be based on an integrated, scalable, standardized and data (records) driven graduation model recommended by national policy of cooperative development. The approach is new to Rwanda and serves as a pilot on cooperative strengthening.

**Short-term Expected results are:**

**Clear maturity profiling**

- A comprehensive maturity profile is established for each of the 45 aquaculture and 15 horticulture smallholder farmers cooperatives.
- The cooperative profiling methodology is documented and shared, providing transparency and clarity in assessing the development stages of each cooperative.

**Strategic business development**

- All supported cooperatives develop a robust business development strategy with a clear vision and a five-year strategic plan post-program.
- Cooperatives achieve graduation to a higher maturity level within 22 of the project period, indicating sustainable growth and resilience.

**Enhanced practices and improved service delivery**

- Participating cooperatives adopt enhanced practices, incorporating the best standards and sustainable methods.
- Service delivery mechanisms within the cooperatives are improved, ensuring better support and benefits for their members.

**Access to new markets and finance**

- Participating cooperatives successfully access new markets, expanding their reach and diversifying revenue streams.
- Improved financial literacy and strengthened financial management enable cooperatives to access new finance options, fostering long-term economic stability.
- Participating cooperatives have accessed new markets and finance;

**1.3. Amount of the financial allocation provided by the contracting authority.**

The total indicative amount available under this Call for Proposals is **600,000 EUR**. The contracting authority reserves the right not to award all of the available funds,

Grant amount:

Any grant application under this Call for Proposals must fall between the following minimum and

maximum amounts below:

**Minimum amount: EUR 400,000**

**Maximum amount: EUR 600,000**

**During execution, Enabel reserves the right to modify the maximum amount available, the minimum and maximum amounts applicable to the requests and to award additional amounts to the beneficiaries having been awarded grants within the framework of this call for proposals.**

## **Lots and number of grant agreement**

This call for proposal has no lots.

Only one 1 applicant will be selected for the award of the grant.

## **Co-financing:**

Co-financing is not accepted for this call for proposals.

## **2 Rules applicable to this Call for Proposals**

*These guidelines specify the rules of submission, selection and implementation of actions financed under this Call for Proposals.*

### **2.1 Admissibility criteria**

There are three categories of admissibility criteria, which concern, respectively:

(1) The actors :

**the applicant, i.e. the entity submitting the application (2.1.1)**

(2) The actions :

**actions admissible for grants (2.1.3);**

(3) The costs:

**The types of costs that may be included in the calculation of the grant amount (2.1.4).**

#### **2.1.1 Admissibility of applicants**

#### **Applicant**

(1) To be admissible for grants, the applicant must satisfy the following conditions:

- A.** Be a legal person; and
- B.** Be a non-government organization, private non-for-profit entity, or a foundation.
- C.** Be established or legally represented in RWANDA
- D.** Be directly responsible for the preparation and management of the action as applicant and not be acting as an intermediary or a co-applicant.

#### **Other admissibility criteria include.**

**E.** Professional Expertise:

1. A minimum of 5 years working experience in capacity building programs to smallholder cooperatives and groups, within agriculture sector focusing on transformative process of smallholder groups and cooperatives toward a private cooperative enterprises and business entities for socio-economic and environmental transformation.
2. Experience of at least 5 years in provision of BDS to cooperatives in business management, finance, and marketing among others
3. Proven experience of having managed at least 2 projects of similar financial magnitude in cooperative capacity building on governance and organizational strengthening,

4. Possess the needed financial and logistics capacity to implement such a program, such as:
- (Offices, transport means, equipment, and experienced staff)
- Having At least 2 Experts or experienced staff in BDS and cooperative capacity building
  - At least 1 experienced staff in charge of Planning, implementation, monitoring, and evaluation
  - Finances (external financial audit report for the last three years, with a total turnover of at least the value of the grant),
  - Logistics (available offices, list of vehicles, and equipment to be availed by the applicant),
  - Human Resources related to the project management, finance, procurement, and logistics (Organizational structure, with key emphasis on the above-mentioned positions)

**The potential applicant cannot participate in calls for proposals nor be the beneficiary of grants if they are in one of the following exclusion situations as described in Annex VII of the model grant agreement provided in Annex E of these guidelines:**

In section 1.3.5 of the grant application file (“applicant’s declaration”), the applicant must declare that it does not fall under any of these situations and that they will be able to provide the following supporting documents:

- (i) **Proof that the applicant is in order with regards to tax obligations (tax clearance certificate)**
- (ii) **Proof that the applicant is in order with regards to social security contributions (social security clearance certificate)**
- (iii) **Proof that the applicant is not in a bankruptcy situation/ Good standing Certificate (if Applicable, especially for private non-for-profit entity)**
- (iv) **Criminal record certificate of the person committing for the applicant (for the person mandated to sign for this call/grant)**

If the grant is awarded to it, **the applicant** becomes the **Contracting-Beneficiary** identified in Annex E (Grant Agreement). The Contracting-Beneficiary is the main point of contact for the contracting authority. It shall represent any other beneficiaries and act in their name. It shall design and coordinate implementation of the action.

### **Co-applicant(s)**

This grant will not accept co-applications.

#### **2.1.2 Associates and contractors**

The following persons are not co-applicants. They do not need to sign the “mandate” statement:

### **Associates**

Other organisations may be associated with the action. Associates actively participate in the action, but cannot be eligible for grants, except for daily allowances and travelling expenses. These associates do not need to satisfy the admissibility criteria mentioned in point 2.1.1. The associates must be mentioned in part B, section 2.7 of the grant application file, entitled “Associates of the applicant participating in the action”.

### **Contractors**

Contracting beneficiaries may award contracts to contractors. Associates cannot at the same time be contractors (services, works, equipment) for the project. Contractors shall be subject to public procurement rules (if Contracting Beneficiary is public) or the rules set forth in Annex VIII of the Grant Agreement template (if Contracting Beneficiary is private).

#### **2.1.3 Admissible actions: for what actions may an application be submitted?**

### **Definition**

An action comprises a series of activities.

### **Duration**

The initial planned duration of an action may not be less than **20 months nor exceed 22 months.**

### **Sectors or themes**

Cooperative capacity building on governance and organizational strengthening



## **Target groups**

Targeted beneficiaries are smallholder farmers cooperatives active in horticulture and aquaculture sub-sectors, with at least **15 cooperatives in horticulture** specifically four targeted crops (Avocados, passion fruits, tomatoes, and onions) and **45 cooperatives in aquaculture**.

**Note:** The consultant must select preferably cooperatives that show potential to grow/graduate and contribute towards value chain performance. But more selection criteria will be described and discussed during the inception phase.

## **Geographical coverage**

The actions must be implemented in RWANDA, covering at least 10 of the 20 districts covered by the Kwiwaza project as listed below:

- Muhanga, Ruhango, Huye and Nyamagabe districts of Southern Province,
- Rubavu, Nyabihu, Rusizi, Rutsiro and Nyamasheke in the Western Province,
- Musanze, Gakenke, Rulindo and Burera in the Northern Province,
- Bugesera, Gatsibo, Rwamagana, Kayanza and Ngoma districts of Eastern Province,
- Nyarugenge and Gasabo in Kigali City.

## **Types of action that should be covered:**

The types of action admissible for financing under this call of proposal are limited to:

- all activities related to the “Cooperative capacity building on governance and organizational strengthening to be provided exclusively to smallholder farmers cooperatives and producers' groups active in aquaculture, and horticulture value chains in Rwanda.”

The formulated action will lead to the social, economic, and environmental transformation of smallholder farmer's cooperatives in horticulture and aquaculture value chains towards a private cooperative enterprises and business entities.

This action must foster a graduation model of primary cooperatives in line with the Rwanda national policy for cooperative development.

## **The following types of action are not admissible:**

- **Actions consisting exclusively or primarily of sponsoring the participation of individuals in workshops, seminars, conferences, and conventions<sup>1</sup>**
- **Actions consisting exclusively or primarily of financing individual scholarships for studies or training**
- **General actions not tailored/adapted to the situation analysis of the target cooperatives**

## **Types of eligible activities**

- To map, assess and scope the cooperative landscape within targeted value chains.
- To identify and select eligible cooperatives within targeted value chains.
- To assess governance and organization level of selected cooperative
- To analyze business activities of selected cooperatives within targeted value chains and design their graduation model/strategy,
- To monitor their business growth performance using a cooperative information management system (CIMS),
- To coach on membership, loyalty and benefits of being part/member of the cooperative.
- To train and oversee implementation of general cooperative principles.
- To organize financial and market linkage for the graduated and more advances/performed cooperatives.

**Note:** The applicant is free to describe in detail more activities/sub-activities related to the access to finance: the approach to be used to achieve the above-mentioned objectives under this Call for Proposal. The proposed approach will also be an element of selection and evaluation of the applications.

<sup>1</sup> It is good practice not to allow those types of actions. However, when they are specifically sought by Enabel, they can be authorized and therefore deleted from the list of actions that are not admissible

## **Sub-grants to sub-beneficiaries<sup>2</sup>**

Applicants cannot propose sub-grants to sub-beneficiaries to help achieve the objectives of the action.

## **Visibility**

Applicants must take all measures necessary to ensure the visibility of the financing by the Belgian Development Cooperation<sup>3</sup>. The contracting beneficiary always mentions "the Belgian State" as donor in the public communications relating to the subsidized action.

## **Number of requests and Grant Agreements per applicant**

The applicant may not submit more than one application under this Call for Proposals.

The applicant may not be awarded more than one Grant Agreement under this Call for Proposals.

### **2.1.4 Eligibility of costs: what costs may be included?**

Only "eligible costs" may be covered by grants. The types of eligible and ineligible costs are indicated below. The budget is both an estimate of costs and an overall cap on "eligible costs".

The reimbursement of eligible costs may be based on one of the following formats, or any combination of these:

- Direct costs (management costs and operational costs) actually borne by the contracting-beneficiary;  
To be eligible for the purposes of the Call for Proposals, the costs must comply with the conditions provided for in Article 4 of the Grant Agreement template (see Annex E of these guidelines).
- Structure costs (overheads): these are maximum 7% of the Operational Costs. *(under no circumstances higher than 7%)*  
The applicable rate for structure costs will be calculated beforehand by Enabel based on the analysis of the balance sheet of the contracting-beneficiary. Enabel may also use an external organization to estimate this rate.

Once the rate is accepted, the structural costs are fixed and do not need to be justified.

Structural costs will be paid during the execution of the grant on the basis of actual operational eligible expenses accepted by Enabel.

## **Reserve for contingencies**

The budget may include a contingency reserve up to a maximum of 5% of the estimated eligible direct costs. It may only be used **with the prior written authorisation** of Enabel.

## **Contributions in kind**

"Contributions in kind" means goods or services provided free of charge by a third party to the contracting-beneficiary. As contributions in kind do not involve any expenditure on the part of the contracting-beneficiary, they shall not constitute eligible costs.

## **Ineligible costs**

The following costs shall not be eligible:

- Accounting entries not leading to payments;
- Provisions for liabilities and charges, losses, debts or possible future debts;
- Debts and debit interests;
- Doubtful debts;
- Currency exchange losses;
- Loans to third parties;
- Guarantees and securities;
- Costs already financed by another grant;
- Invoices made out by other organisations for goods and services already subsidised;

<sup>2</sup> These sub-beneficiaries are neither associates nor contractors

<sup>3</sup> Or other donor if applicable

- Subcontracting by means of service or consultancy contracts to personnel members, Board members or General Assembly members of the organisation subsidised;
- Any sub-letting to oneself;
- Purchases of land or buildings;
- Compensation for damage falling under the civil liability of the organisation;
- Employment termination compensation for the term of notice not performed;
- Purchase of alcoholic beverages, tobacco and derived products thereof.
- Grants to sub-beneficiaries
- Salary bonuses<sup>4</sup>

## 2.2 Presentation of application and procedures to be followed

In the first stage, the applicant sends only the concept note and in the second stage, after notification of its pre-selection, it sends the proposal along with the required annexes.

### 2.2.1 Content of the concept note

Applications must be submitted in accordance with the instructions on concept notes appearing in the grant application file annexed to these guidelines (Annex A, Part A).

Applicants must submit their request in **English**.

In the concept note, applicants need only provide an estimate of the amount of the contribution requested from the contracting authority. Only applicants invited to submit a complete application in the second stage will then present a detailed budget.

Elements defined in the concept note may not be modified by the applicant in the proposal.

Any errors or major inconsistencies concerning the points mentioned in the instructions on concept notes may result in its rejection.

The contracting authority reserves the right to request clarification where the information provided does not enable it to carry out an objective evaluation.

**Handwritten concept notes will not be accepted.**

**The following annexes must be attached to the concept note:**

1. The statutes or articles of association of the applicant.
2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last available financial year where the total grant amount requested is above EUR 200,000 (not applicable to public contracting-beneficiaries).
3. A copy of the applicant's most recent financial statements (income statement and balance sheet for the last closed financial year)<sup>5</sup>. Any co-applicants are not required to provide a copy of their financial statements.
4. The legal entity file (see Annex D of these guidelines) duly completed and signed by the applicants, along with any supporting documents requested.
5. Proof of professional expertise and experience (as required above on the eligibility)
6. Proof of the financial, logistics and HR capacity of the applicant (as required above on the admissibility criteria)

### 2.2.2 Where and how to send the concept note

The concept note must be submitted in **One Original and 2 copies in A4 format, each bound separately**.

**An electronic version of the concept note must also be provided.** A Key USB containing the concept note in electronic format will be put in a sealed envelope, along with the paper version, as indicated below. The electronic file must be exactly **identical** to the attached paper version.

<sup>4</sup> A bonus is to be understood as a payment of a "bonus" triggered by the participation of a staff member in the EU funded Action or that is in any way linked to the performance of the person in the Action or the performance of the Action itself. It is not an eligible cost. However, there are payments that might be called in a similar way and which could still be considered as a part of the normal salary package and therefore eligible (i.e. variable parts of the salary). Those payments have to be paid independently of the participation of the staff member in the EU funded Action.

<sup>5</sup> This does not apply to public bodies, nor where the accounts are in practice the same documents as the external audit report already provided pursuant to point 2.

The external envelope must bear the **reference number and title of the Call for Proposals**, the full name and address of the applicant, and the note “**Do not open before the opening session**” and “**equivalent note in the local language**”.

Concept notes must be submitted in a sealed envelope, sent by registered post or by private courier service or hand-delivered (a signed and dated acknowledgement of receipt will be issued to the carrier in this latter case), to the address set out below:

**Attention to Françoise MUSHIMIYIMANA**  
**Enabel Rwanda - Belgian development agency**  
**KN 67 Street, plot N°10**  
**Sanlam Towers, Wing A, 6th Floor**  
**Opposite St Michel Catholic Church**  
**P.O. Box 6089 Kigali**

- a. Either by post -mail  
 (Standard mail or registered mail): In this case, the sealed envelope is put in a second closed envelope. The delivery record makes proof of compliance with the time-limit for receipt.
- b. Or hand-delivery or dispatch by private courier service

Hand-delivery or dispatch by private courier service directly to the contracting authority against a signed and dated receipt: In this case, the acknowledgment of receipt makes proof of compliance with the time-limit for receipt.

**Concept notes sent by other means (for example by fax or e-mail) or sent to any other addresses will be rejected.**

**Applicants must ensure that their concept note is complete. Incomplete concept notes may be rejected.**

### **2.2.3 Deadline for the submission of concept notes**

The deadline for submission of concept notes is scheduled at not later than **20<sup>th</sup> March 2024 at 4:00 PM**, as evidenced by the date sent, the postmark or date of acknowledgement of receipt.

**All concept notes submitted after the deadline date and time will be rejected.**

### **2.2.4 Further information on concept notes**

An information session on this Call for Proposals will be hosted at:

**KWIIHAZA Project's Office at RUBULIZI**

*At Rwanda Agriculture and Animal Resources Development Board (RAB) Rubirizi Station, 289 KK 18 Ave, Kanombe, Kicukiro (-1.98682, 30.13124°) Kigali, Rwanda*

**On 5<sup>th</sup> March 2024 at 11:00 AM.**

Applicants may send their questions by e-mail, at the latest 10 days before the concept notes submission deadline, to the address(es) set out below, making sure that they clearly indicate the Call for Proposals reference:

Mrs. Françoise MUSHIMIYIMANA,  
 National ECA Rwanda,  
[francoise.mushimiyimana@enabel.be](mailto:francoise.mushimiyimana@enabel.be) ,  
 with a copy to

Gerrit BOSMAN,  
 Intervention Manager  
 PRISM Enabel and KWIIHAZA (EU & LuxDev)  
[gerrit.bosman@enabel.be](mailto:gerrit.bosman@enabel.be)  
 And  
[eric.iyaremye@enabel.be](mailto:eric.iyaremye@enabel.be)

The contracting authority will not be obliged to provide clarification on questions received after this date.

Questions will be answered **at the latest 7 days** before the concept notes submission deadline.

In order to ensure the equal treatment of applicants, the contracting authority cannot give a prior opinion on the admissibility of applicants, an action or specific activities.

The answers to these questions and other important information communicated during the evaluation procedure will be published in due course on the Enabel website. As such, regular consultation of this website is recommended in order to be informed of the questions and answers published.

## 2.2.5 Proposals

Applicants invited to submit a proposal following the shortlisting of their concept notes must do so using part B of the grant application file annexed to these guidelines (Annex A). Applicants must carefully observe the proposal format and complete the paragraphs and pages in order.

The elements set out in the concept note may not be modified by the applicant in the proposal. The Belgian contribution may not differ more than 10% from the initial estimate and remain within the minimum and maximum amounts, as indicated in section 1.3 of these guidelines.

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

Applicants must fill in the proposal as carefully and clearly as possible in order to facilitate its evaluation.

Any error or major inconsistency in the proposal (inconsistency of amounts included in the budget calculation sheets, for example) may result in the immediate rejection of the application.

Clarifications will only be requested where the information provided is not clear and therefore prevents the contracting authority from carrying out an objective evaluation.

Handwritten applications will not be accepted.

It should be noted that only the proposal and annexes which need to be completed (budget, logical framework) will be evaluated. It is therefore very important that these documents contain ALL the relevant information regarding the action. **No supplementary annex must be sent.**

## 2.2.6 Where and how to send proposals

Applications must be submitted in a sealed envelope, sent by registered post or private express courier service or hand-delivered (a signed and dated acknowledgement of receipt will be issued to the carrier in this latter case), to the address set out below:

**The Attention of Françoise MUSHIMIYIMANA**  
**Enabel Rwanda - Belgian development agency**  
**KN 67 Street, plot N°10**  
**Sanlam Towers, Wing A, 6th Floor**  
**Opposite St Michel Catholic Church**  
**P.O. Box 6089 Kigali**

- a) Either by post (standard mail or registered mail): In this case, the sealed envelope is put in a second closed envelope. The delivery record makes proof of compliance with the time-limit for receipt.
- b) Or hand-delivery or dispatch by private courier service directly to the contracting authority against a signed and dated receipt: In this case, the acknowledgment of receipt makes proof of compliance with the time-limit for receipt.

Applications sent by other means (for example by fax or e-mail) or sent to other addresses will be rejected.

Applications must be submitted in **One original and 2 copies** in A4 format, **separately bound**.

The proposal, budget and logical framework must also be provided in electronic format (**Key USB**). The electronic file must contain **exactly the same** application as the paper version provided.

The external envelope must bear the **reference number and title of the Call for Proposals**, the full name and address of the applicant, and the note **“Do not open before the opening session”** and **“equivalent note in the local language”**.

**Applicants must ensure that their application is complete. Incomplete applications may be rejected.**

### 2.2.7 Deadline date for the submission of proposals

The deadline date for submission of proposals will be communicated in the letter sent to applicants whose concept notes have been shortlisted.

### 2.2.8 Further information on proposals

Applicants may send their questions by e-mail, at the latest 15 days before the deadline date for the submission of applications, to the address or one of the addresses set out below, making sure that they clearly indicate the Call for Proposals reference:

**Email address:**

Mrs. Françoise MUSHIMIYIMANA,  
National ECA Rwanda,  
[francoise.mushimiyimana@enabel.be](mailto:francoise.mushimiyimana@enabel.be) ,

**with a copy to**

Gerrit BOSMAN,  
Intervention Manager  
PRISM Enabel and KWIHAZA (EU & LuxDev)  
[gerrit.bosman@enabel.be](mailto:gerrit.bosman@enabel.be)

And

[eric.iyaremye@enabel.be](mailto:eric.iyaremye@enabel.be)

The contracting authority will not be obliged to provide clarification on questions received after this date.

Questions will be answered at the latest 10 days before the deadline date for the submission of applications.

In order to ensure the equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of applicants, or an action.

Individual responses will not be given to questions. All questions and answers and other important information communicated to applicants during the evaluation procedure will be published on [www.enabel.be](http://www.enabel.be). As such, regular consultation of this website is recommended in order to be informed of the questions and answers published.

## 2.3 Evaluation and selection of applications

**Applications will be examined and evaluated by the contracting authority with the help, where applicable, of external evaluators. All actions submitted by the applicants will be evaluated according to the stages and criteria described below.**

If the examination of the application shows that the proposed action does not satisfy the admissibility criteria described in point 2.1.4, the request will be rejected on this sole basis.

### (1) 1<sup>st</sup> PHASE: OPENING, ADMINISTRATIVE CHECKS, ADMISSIBILITY CHECKS AND EVALUATION OF CONCEPT NOTES

The following elements will be examined:

#### Opening:

- Compliance with the submission deadline. If the deadline date is not observed, the application will be automatically rejected.

#### Administrative and admissibility checks

- The concept note satisfies all the criteria specified in points 1 to 13 of the verification and evaluation grid provided in Annex F1a.
- If any of the information is missing or incorrect, the application may be rejected on this **sole** basis and it will not be evaluated.

## Evaluation

Concept notes satisfying the conditions of the first administrative and admissibility check will be evaluated for the relevance and design of the proposed action.

The concept note will be given an overall mark out of 50 in accordance with the breakdown specified in points 14 to 19 of the evaluation grid available in Annex F1a.

The evaluation criteria are divided by headings and sub-headings. Each sub-heading will be given a score between 1 and 5 as follows: 1 = very poor, 2 = poor, 3 = average, 4 = good, 5 = very good.

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

Firstly, only concept notes with a minimum score of 30 points will be considered for shortlisting.

Secondly, the number of concept notes will be reduced according to their ranking in the list, by the number of concept notes whose total cumulative amount of contributions requested is equal to at least 200% of the budget available for this Call for Proposals.

After evaluation of the concept notes, the contracting authority will send a letter to all applicants, notifying them of the reference number they have been allocated, whether their concept note has been evaluated and the results of this evaluation.

The applicants whose concept notes have been shortlisted will then be invited to submit a complete application

## (2) 2<sup>nd</sup> PHASE: OPENING, ADMINISTRATIVE CHECKS, ADMISSIBILITY CHECKS AND EVALUATION OF PROPOSALS

The following points will be evaluated:

### Opening

- Compliance with the submission deadline. If the deadline date is not observed, the application will be automatically rejected.

### Administrative and Admissibility checks

- The proposal satisfies all the criteria specified in points 1 to 12 of the verification and evaluation grid provided in Annex F2a.
- If any of the information is missing or incomplete, the application may be rejected on this **sole** basis and it will not be evaluated.

### Evaluation

**Step 1:** Proposals meeting the conditions of administrative verification and admissibility will be assessed.

The quality of the applications, including the proposed budget and the capacity of the applicants, will be given a score out of 100 on the basis of evaluation criteria 13 to 26 of **the verification and evaluation grid provided in Annex F2a**. The evaluation criteria are broken down into selection and award criteria.

The selection criteria aim to ensure that the applicants:

- **have stable and sufficient sources of financing to maintain their activity** for the duration of the proposed action and, if necessary, to participate in its financing;
- **have the management capacity and professional skills and qualifications** required to successfully carry out the proposed action.

The award criteria also help evaluate the quality of the proposals against the objectives and priorities set, and to award grants to projects that maximize the overall effectiveness of the Call for Proposals. They concern the relevance of the action and its consistency with the Call for Proposal's objectives, its quality, its intended effect, the sustainability of the action and its cost-effectiveness.

The evaluation criteria are divided into headings and sub-headings. Each sub-section will be assigned a score between 1 and 5 as follows: 1 = very poor, 2 = poor, 3 = average, 4 = good, 5 = very good.

Only proposals that have achieved a score of 6/10 for criterion 18 and an overall score of 60/100 will be shortlisted.

The best proposals will be listed in a provisional allocation table, ranked according to their score and within the limits



of available funds. The other shortlisted proposals will be placed on a reserve list.

**Step 2:** Supporting documents relating to the grounds for exclusion will be requested from applicants appearing in the provisional allocation table. If unable to provide these documents within 15 days, the corresponding proposals will not be accepted.

### Step 3

**As part of the assessment process, Enabel will then conduct an in situ organizational analysis of the applicant(s) included in the provisional allocation table in order to confirm that these applicants have the required capacities to complete the action.** The results of this analysis will be used, among other things, to determine the risk management measures to be included in the grant agreement and to specify Enabel's posture in monitoring and controlling the implementation of the grant. In the event that the organizational analysis indicates deficiencies such that the proper execution of the grant cannot be guaranteed, the corresponding proposal may be rejected at this stage. In which case the first proposal on the reserve list will be considered for the same process

### Selection

At the end of steps 2 and 3, the allocation table will be considered final. It includes all the proposals selected according to their score and within the limits of available funds.

Please note that applicant(s) who may be picked up from the reserve list at a later date, if additional funds become available, will also have to go through steps 2 and 3 described above.

## 2.4 Notification of the contracting authority's decision

### 2.4.1 Content of the decision

The applicant will be notified in writing of the decision taken by the contracting authority concerning its application and, in case of rejection, the grounds for this negative decision.

If an applicant feels that it has been adversely affected by an error or mistake allegedly committed in an award procedure or believes that the procedure has been vitiated by an instance of maladministration, it may file a complaint with the contracting authority.

In this case, the complaint will be sent to the person who made the disputed decision, who will endeavour to deal with the complaint and give a reply with 15 working days. Alternatively, or in case the reply is deemed unsatisfactory by the applicant, this latter may contact the competent Operations Manager at Enabel's head office, via the mailbox [complaints@enabel.be](mailto:complaints@enabel.be)

See: <https://www.enabel.be/content/complaints-management>

Complaints relating to issues of integrity (fraud, corruption, etc.) should be sent to the Integrity Office through the Internet address [www.enabelintegrity.be](http://www.enabelintegrity.be)

The purpose of the complaint cannot be to request a second evaluation of the Proposals without any other grounds than that the applicant disagrees with the award decision.



### 2.4.2 Indicative timetable

	Date	Time*
Information meeting (if necessary)	05th March 2024	11 :00 AM
Deadline for clarification requests to the contracting authority	10th March 2024, 10 days before the submission deadline	04 :00PM
Last date on which clarifications are given by the contracting authority	13 <sup>th</sup> March 2024, 7 days before the submission deadline	04 :00 PM
Submission deadline for concept notes	20th March 2024	04 :00 PM
Information of applicants on the opening, administrative checks and evaluation of concept notes (stage 1)	Tentatively by 15th April 2024*	NA
Invitations to submit the proposals	15th April 2024*	NA
Deadline for the submission of the proposals	20 <sup>th</sup> May 2024, min 30 days min. after the invitation*	-
Request certificates and supporting documents relating to the grounds for exclusion, if not initially submitted (see 2.1.1 (2))	30 <sup>th</sup> May 2024*	
Receipt of certificates and supporting documents relating to the grounds for exclusion	Date 5 <sup>th</sup> June 2024 (max 15 days after request)	
Organizational analysis of applicants whose proposal has been shortlisted. (to be inserted if applicable)	15th June 2024*	-
Notification of the award decision and transmission of signed grant agreement	10th July 2024*	-
Signature of the Agreement by contracting beneficiary	No later than 15 days after notification of the grant	-

\* **Provisional date.** All times are in the local time of the contracting authority.

This indicative timetable may be updated by the contracting authority during the procedure. In this case, the updated timetable will be published on the [Enabel website](#).

## 2.5 Implementation conditions following the grant award decision of the contracting authority

Following the grant award decision, contracting beneficiaries will be offered an agreement based on the contracting authority's Grant Agreement template (Annex E of these guidelines). By signing the proposal (Annex A of these guidelines), applicants accept the contractual conditions of the Grant Agreement template, should the grants be awarded to them.

### 2.5.1 Implementation contracts

Where the implementation of an action requires public procurement by the contracting beneficiary, contracts must be awarded in accordance with:

Annex VIII of the Grant Agreement template for private sector contracting-beneficiaries. Or

Partner country public procurement law or own regulation for public sector contracting beneficiaries.

For private contracting beneficiaries, it is not permitted to subcontract all of an action by means of a contract.

In addition, the budget of each contract financed by means of the grant awarded may only correspond to a limited part of the total amount of the grant.

## 2.5.2 *Separate bank account*

In case a grant award, the contracting beneficiary shall open **a separate bank account** (or a separate sub-account allowing for the identification of the funds received). This account will be in euros, if this is possible in the country.

This account or sub-account must allow to:

- Identify the funds transferred by Enabel;
- Identify and follow up the operations performed with third parties;
- Distinguish between the operations performed under this agreement and other operations.

The financial identification form (Annex VI of the Grant Agreement) relating to this separate bank account, certified by the bank<sup>6</sup>, will be sent by the contracting beneficiary to Enabel at the same time as the signed copies of the Grant Agreement after it has been notified. the award decision.

The account will be closed once any reimbursements owed to enabel have been made (and after settling the final amount of the funds used).

## 2.5.3 *Processing of personal data.*

Enabel undertakes to treat the personal data communicated in response to this call for proposals with the greatest care, in accordance with the legislation on the protection of personal data (the General Data Protection Regulation, GDPR). In cases where the Belgian law of July 30, 2018 on the protection of individuals with regard to the processing of personal data contains more stringent requirements, the adjudicator will act in accordance with this legislation.

More specifically, when you participate in a call for proposals within the framework of the allocation of grants by Enabel, we collect the details of the contact persons ("authorized representative") of the entity submitting the grant application, such as the name, first name, professional telephone number, professional e-mail address, professional function and name of the organization represented. In some cases, we must also collect the extract from the criminal record (or equivalent) of the leader of the organization applying for the grant.

We process this information because we have a legal obligation to collect this information in the context of the administration and award of our grants.

For more information on this subject, please consult Enabel's privacy statement at the following link: <https://www.enabel.be/fr/content/title-1>"

## 2.5.4 *Transparency*

For the sake of transparency, Enabel undertakes to publish an annual list of contracting-beneficiaries. By signing the Grant Agreement, the contracting-beneficiary declares that he agrees with the publication of the title of the contract, the nature and object of the contract, its name and location, and the amount of the contract.

<sup>6</sup> This bank must be situated in the country where the applicant is established.

## List of Annexes

**IT SHOULD BE NOTED THAT ALL ANNEXES MUST BE ADAPTED AS PROVIDED FOR IN THE CALL FOR PROPOSALS AND PUBLISHED AT THE SAME TIME AS THE GUIDELINES**

### DOCUMENTS TO BE COMPLETED

ANNEX AA: GRANT APPLICATION FILE (WORD FORMAT) (PART A - CONCEPT NOTE AND PART B- PROPOSAL)

ANNEX B: BUDGET (EXCEL FORMAT) - **ONLY FOR PHASE 2**

ANNEX C: LOGICAL FRAMEWORK (WORD FORMAT)

ANNEX D: LEGAL ENTITY FORM (WORD FORMAT) **(PRIVATE OR PUBLIC, TO BE DETERMINED)**

### DOCUMENTS FOR INFORMATION

ANNEX E: GRANT AGREEMENT TEMPLATE

Annexe III:	Payment request template.
Annex IV:	Transfer of ownership of assets template]
Annex V:	Legal entity form (private or public)
Annex VI:	Financial identification form
Annex VII:	<b>Exclusion grounds</b>
Annexe VIII:	Procurement principles (in the case of a private contracting-beneficiary)

ANNEX F1a: **CONCEPT NOTE VERIFICATION AND EVALUATION GRID**

ANNEX F2a: **PROPOSAL VERIFICATION AND EVALUATION GRID**

ANNEX G: DAILY ALLOWANCE RATES (PER DIEM): **current rate at the Representation of the country concerned.**

## Annex Aa of the Guidelines for Calls for Proposals

### GRANT APPLICATION FILE TEMPLATE

#### **NOTE**

***[How to complete this standard grant application form:***

**When you see < ... >, insert the relevant information for the Call for Proposals concerned.**

Phrases between square brackets [ ] must only be inserted if they are relevant, while shaded paragraphs must only be modified exceptionally, as justified by the requirements of a specific Call for Proposals procedure.

**The other parts of this standard instruction may not under any circumstances be modified.** Please delete this paragraph, as well as any text highlighted in yellow and any brackets/quotation marks in the final version. ]

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The grant application file is made up of the concept note and the proposal

*Only the concept note should be provided initially The proposal should not be provided. It will be produced and submitted at Enabel's request if the concept note has passed the selection stage.*

< **Country** >

**Contracting authority: Enabel**

Call for Proposals for the intervention:

< **Title of the intervention** >

< **Navision number** >

Grant application file

Reference: < Call for Proposals number >

Deadline for submission of

[

< concept notes (Part A)>]: <indicate date>

< proposal (Part B)>]: <indicate date>

To reduce expenditure and waste, we strongly recommend that you only use paper for your file (no plastic sleeves or inserts). Please also duplex print where possible.

File No.	
(for internal use only)	

## PART A. PART A: CONCEPT NOTES

### Instructions for the preparation of concept notes

The applicant must ensure the text:

- does not exceed 5 full pages (A4 format) of Arial 10 font with 2cm margins, single-spaced;
- provides the information requested in the sections below, in the order in which it is requested, and proportionally to its relative importance (see the relevant notes entered in the evaluation grid and guidelines);
- provides comprehensive information (given that the evaluation grid will only be used for information appearing in concept notes);
- is drafted as clearly as possible for evaluation.

### Template TO FOLLOW

Title of action*	
[Number and title of lot]*	
Location(s) of the action*	< specify the country/countries, region/regions, zone/zones or city/cities that will benefit from the action >
Name of applicant*	
Nationality of applicant <sup>7</sup> *	

<sup>7</sup> The organisation's articles of association must show that this latter was created in accordance with the national law of the country concerned and that its registered office is situated in an eligible country. Any organisation established in a different country may not be considered a local eligible organisation. See the footnotes of the Call for Proposals guidelines.



Legal status <sup>8*</sup>	
Co-applicant <sup>9*</sup>	Name, nationality and date of creation, legal status, links with the applicant or co-applicant
Contact details of the applicant to be used for this action	
Postal Address*:	
Telephone number* (fixed and mobile): indicative country + indicative city + number	
Contact person for this action*:	
Email of the contact person*:	
Address*:	
Organisation's website:	
Accreditation	Mention whether your organization has an accreditation referred to in Article 26 of the law of 19 March 2013 on Belgian Development Cooperation
Belgian Partners	Mention which Belgian partners your organization receives funding from, or received funding from within the last three years (Name and address of each partner)

(\*) compulsory

**Any changes relating to addresses, telephone numbers, fax numbers and email addresses must be notified in writing to the Enabel. Enabel will not be held liable if it is not able to contact the applicant.**

<sup>8</sup> **see Annex:** legal entity form

<sup>9</sup> Please use one line for each co-applicant.

## 1. SUMMARY OF THE ACTION

Please complete the table below, which must not exceed 1 page in length.

Title of action*:	
[Lot: - please fill in the box corresponding to the work package you are submitting an application for:	<u>Lot X</u> <u>Lot Y</u>
Location(s) of the action *- indicate the country/countries and the region/regions which will benefit from the action	
Total duration of the action* (months):	
Financing requested* (amount)	<EUR/currency of the contracting authority >
Specific objectives*	
Target group(s) <sup>10*</sup>	
Final beneficiaries <sup>11*</sup>	
Estimated results*	
Main activities*	

\*compulsory

## 2. DESCRIPTION OF THE ACTION (MAX. 1 PAGE)

Please provide all of the following information:

- General information on preparing the action.
- The action objectives indicated in the table in point 1.1.
- A description of the main stakeholders, their attitude to the action and any consultation with them.
- Summary information on the type of activities proposed, clarifying related achievements and results and describing, in particular, the links/relationships between the various groups of activities.

<sup>10</sup> "Target groups" are groups/entities which will directly benefit from the action at the level of the action's objective.

<sup>11</sup> "Final beneficiaries" are those who will benefit in the long term from the action at the level of society or the sector in the broad sense.

- An indication of the action's indicative timetable accompanied by a description of all specific factors taken into account.

### **3. RELEVANCE OF THE ACTION (MAX. 3 PAGES)**

#### **3.1. Relevance to the specific objectives/sectors/themes/priorities of the Call for Proposals**

Please provide all of the following information:

Describe the relevance of the action to the objective/objectives and priority/priorities of the Call for Proposals.

Describe the relevance of the action to all specific underlying themes/sectors/zones and any other specific need indicated in the Call for Proposals guidelines, like, for example, local ownership, etc.

Describe which particular expected results referred to in the Call for Proposals guidelines will be addressed.

#### **3.2. Relevance to the particular needs and constraints of the target country, the target region(s) and/or sectors concerned (including synergies with other Enabel interventions and avoidance of duplication)**

Please provide all of the following information:

Clearly define the specific situation of the draft proposal in the target country/countries and/or sectors (include, where possible, quantified analysis).

Provide a detailed analysis of the problems that should be addressed by the action and their interrelationships at all levels.

Refer to all significant plans, undertaken at national, regional and/or local level, relevant for the action and describe how the action will relate to these plans.

Where the action is the continuation of a previous action, clearly indicate how it will combine with the activities and/or results of the previous action; refer to the main conclusions and recommendations from any evaluations.

Where the action is a part of a larger programme, clearly explain how it is integrated or how it is coordinated with this programme or any other proposed project. Outline the possible synergies with other initiatives, in particular of the European Commission.

#### **3.3. Describe and define target groups and final beneficiaries, their needs and their constraints and indicate how the action will address these needs**

Please provide all of the following information:

Give a description of each target group and each final beneficiary (where possible quantified), including selection criteria.

Determine the needs and constraints of each target group and each final beneficiary.

Demonstrate the relevance of the proposal to the needs and constraints of the target groups and final beneficiaries.

Explain the whole participatory process, which ensures the participation of target groups and final beneficiaries.

#### **3.4. Elements with a particular added value**

Indicate each element having a specific added value, for example the promotion or consolidation of public/private partnerships, innovation and good practices, or other interdisciplinary questions such as environmental issues, the promotion of gender equality and equal opportunity, the needs of disabled persons, the rights of minorities and the rights of indigenous populations.

### 3.5. The applicant's concept note declaration

The applicant, represented by the undersigned, the applicant's authorised signatory and in this application, representing any co-applicant(s) in the proposed action, hereby declares that:

- the applicant has the sources of financing, skills and professional qualifications mentioned in point 2 of the guidelines for applicants;
- the applicant undertakes to comply with the principles of good practice concerning partnerships;
- the applicant shall be directly responsible for the preparation, management and implementation of the action, where applicable with the co-applicant(s) and is not acting as an intermediary;
- if recommended for a grant, applicants shall accept the contractual conditions as laid down in the standard Grant Agreement annexed to the guidelines for applicants (Annex E);
- the applicant and, where applicable, each co-applicant are eligible in accordance with the criteria set out in points 2.1.1 of the guidelines for applicants and are therefore not in one of the exclusion situations described in Annex VII of the model grant agreement provided as Annex E of the guidelines for applicants;
- The applicant formally declares to be able, upon request and without delay, to provide the supporting documents indicated in section 2.1.1. (2) of the guidelines unless:
  - a) Enabel has the possibility to obtain the relevant supporting documents directly by consulting a national database in a Member State which is accessible free of charge, provided that the applicant has provided the necessary information (website address, regulatory authority or body, precise reference of the documents) allowing Enabel to obtain them, with the corresponding access authorization; or
  - b) from 18 October 2018 at the latest (depending on the transposition into national law of the second subparagraph of Article 59 (5) of Directive 2014/24 / EU), Enabel is already in possession of the documents concerned .

The applicant declares on honour that the information provided is exact and correct and that it has been drawn up with full knowledge of the consequences of any false declaration.

Signed in the name and on behalf of the applicant

<b>Name</b>	
<b>Signature</b>	
<b>Function</b>	
<b>Date</b>	

## PART B. PART B PROPOSAL

*To be completed only by applicants who receive an invitation to submit a proposal*

### 1. GENERAL INFORMATION

<b>Call for Proposals number</b>	
<b>Title of the Call for Proposals</b>	
<b>Name of the applicant</b>	
<b>Proposal number<sup>12</sup></b>	
<b>Title of action</b>	
<b>Location of action</b> <i>- specify the country/countries and the region/regions that will benefit from the action</i>	
<b>[Lot number]</b>	

### 2. DESCRIPTION OF THE ACTION

#### 2.1. Description (maximum 13 pages)

Provide a description of the proposed action including all the information requested below, by referring [to the general objective and]<sup>13</sup> to the specific objective(s) and results described in the concept note:

- explain the specific expected results by outlining how the action will improve the situation of the target groups and final beneficiaries as well as the technical capacities and management of target groups and/or any local co-applicants;
- define and describe in detail each activity (or group of tasks) to be undertaken to produce results, justifying the choice of activities and specifying the role of each co-applicant (and, where applicable, of each associate, contractor or beneficiary of sub-grants) in the activities. Do not repeat the action plan (requested in point 2.1.3 below), but demonstrate the project's coherence. In particular, list any proposed publications;

<sup>12</sup> Only for two phases procedures; where the contracting authority has evaluated the concept note, it shall inform the applicant of the result and allocate a proposal number.

<sup>13</sup> Only if there are several specific objectives.

- If the Guidelines for Applicants authorize sub-grants to sub-recipients, applicants must, under the terms of these guidelines, specify:
  1. *The description of the objectives and results to be achieved with these sub- grants, the fundamental principles, the key concepts, the mechanisms, the actors and their role in the management process;*
  2. *The criteria and modalities for the allocation of grants, accessibility conditions sub-beneficiaries, conditions for the admissibility of sub-projects, eligibility conditions for activities, costs and expenses;*
  3. *The procedures and procedures for examining and awarding applications;*
  4. *The maximum amount that can be allocated by sub-beneficiary;*
  5. *The terms of contractualisation with the sub-beneficiary;*
  6. *The procedures and modalities for disbursing resources;*
  7. *The procedures and modalities for technical and financial monitoring;*
  8. *The procedures and modalities of control.]*
- describe/highlight any changes to information originally provided in the concept note.

## **2.2. Methodology (maximum 5 pages)**

Describe in detail:

- the implementation methods chosen and the reasons for this choice;
- if the action continues an existing action, how it is based on the results of this action (give the main conclusions and recommendations from any evaluations carried out);
- if the action falls within the framework of a larger programme, how the action fits into this or, where applicable, how coordination is ensured with this programme or with a potential planned project (please outline any potential synergies with other interventions or initiatives, particularly in Belgium);
- monitoring and internal and/or external evaluation procedures;
- the participation and role of various actors and stakeholders [co-applicant(s), target groups, local authorities, etc.] in the action and the reasons for which these roles were assigned to them;
- the organisational structure and team proposed for implementing the action (by function: there is no need to state names of persons);
- the primary means proposed for implementation of the action (facilities, equipment and supplied to be purchased or hired);
- the attitudes of all stakeholders to the action generally and to the activities specifically.

## **2.3. Duration of the indicative action plan for implementation of the action (maximum 4 pages)**

The duration of the action will be <X> months.

Applicants should not indicate a specific starting date for implementation of the action but simply indicate “month 1”, “month 2”, etc..

It is recommended that applicants base the estimated duration of each activity and the total period on the most likely duration and not on the shortest possible duration, taking into account all relevant factors which could affect the implementation timetable.

The activities provided for in the action plan must correspond to those described in detail in point 2.1.1. The organisation responsible for implementation must be either the applicants, the associates or the sub-contractors. Any period without activities must be included in the action plan and in the evaluation of the total estimated duration of the action.

The action plan for the first 12 months of implementation must be sufficiently detailed to give an idea of the preparation and implementation of each activity. The action plan for each subsequent year may be more general and only needs to indicate the main activities proposed for these years. For this purpose, it must be divided into 6-month periods (NB.: a more detailed action plan for each subsequent year must be submitted before any new pre-financing payment in accordance with Article 11 of the Grant Agreement special conditions).

The action plan will be drafted in accordance with the following template:

Year 1													
	Quarter 1			Quarter 2			Quarter 3			Quarter 4			
Activity	Month 1	2	3	4	5	6	7	8	9	10	11	12	Organisation responsible for implementation
Example	example												Example
Preparation Activity 1 (title)													applicant
Performance Activity 1 (title)													co-applicant
Preparation Activity 2 (title)													co-applicant
Etc.													

For all subsequent years:									
Activity	6-month period 3	4	5	6	7	8	9	10	Organisation responsible for implementation
Example	example								example
Performance Activity 1 (title)									applicant
Performance Activity 2 (title)									co-applicant
Preparation Activity 3 (title)									co-applicant
Etc.									

## 2.4. Sustainability of the action (maximum 3 pages)

Please provide **all** the information requested below:

- describe the expected impact of the action at the technical, economic, social and political levels, including quantified data where possible (will the action improve legislation, codes of conduct, methods, etc.?);
- describe a distribution plan and the possibilities of replicating and extending the action's results (multiplier effect), clearly indicating all proposed distribution channels;
- provide a detailed analysis of the risks and emergency plans. This must include a list of risks associated with each action proposed, along with measures to address them. A good analysis of risks will include a series of standard risks including physical, environmental, political, economic and social risks;
- describe the main pre-conditions and assumptions during and after the implementation phase;
- explain how the action will become sustainable once successfully completed. This may involve monitoring actions, internal strategy actions, ownership actions, communication plan actions, etc. Please distinguish between the following four sustainability aspects:
  - a) financial sustainability: for example, the financing of monitoring activities and revenue sources to cover all future operational and maintenance costs;
  - b) institutional level: for example, the structures that will allow the results of the action to remain in place after the action ends, capacity building, agreements and local "ownership" of action results;
  - c) viability at the political level, for example, where applicable, the structural impact (improved legislation, consistency with existing frameworks, codes of conduct or methods);
  - d) environmental viability (what impact will the action have on the environment?; mention the conditions put in place to avoid negative effects on the natural resources on which the action depends as well as on the natural environment in the broad sense).

## **2.5. Logical framework**

Please complete Annex C of the guidelines for applicants.

## **2.6. Budget, amount requested from the contracting authority and other expected sources of financing**

Please complete Annex B of the guidelines for applicants for the following points:

- the action budget (calculation sheet 1) for the total duration of the action and planning for the first four quarters;
- budget justification (calculation sheet 2) for the total duration of the action.

For more information, see guidelines for grant applicants (points 1.3, 2.1.4).

[Please list below any contributions in kind to be provided (please specify) (1 page maximum).]

Please note that the cost of the action and the contribution requested from the contracting authority must be indicated in euros.



### 3. THE APPLICANT'S EXPERIENCE

This information will enable applicants to evaluate whether they have sufficient and solid enough experience in managing actions in the same sector and on a scale comparable to that for which a grant is being requested.

#### i) For similar actions

Please give a detailed description of actions carried out in the same sector and on a scale comparable to that for which a grant is being requested and which were managed by your organisation in the last three years.

1 page maximum per action.

<b>Name of applicant:</b>					
<b>Project title:</b>		<b>Sector:</b>			
<b>Location of action</b>	<b>Cost of action (EUR)</b>	<b>Role in action: coordinator, co-applicant,</b>	<b>Donors for the action (name)</b>	<b>Amount of the contribution (from the donor)</b>	<b>Dates (from dd/mm/yyyy to dd/mm/yyyy)</b>
...	...	...	...	...	...
<b>Action objectives and results</b>					

#### ii) For other actions.

Please give a detailed description of other actions managed by your organisation in the last three years.

1 page maximum per action and 10 actions maximum.

<b>Name of applicant:</b>					
<b>Project title:</b>		<b>Sector:</b>			
<b>Location of action</b>	<b>Cost of action (EUR)</b>	<b>Role in action: coordinator, co-applicant,</b>	<b>Donors for the action (name)</b>	<b>Amount of the contribution (from the donor)</b>	<b>Dates (from dd/mm/yyyy to dd/mm/yyyy)</b>
...	...	...	...	...	...
<b>Action objectives and results</b>					

### 4. EXPERIENCE OF THE CO-APPLICANT(S) (WHERE APPLICABLE)

This information will enable co-applicants to evaluate whether they have sufficient and solid enough experience in managing actions in the same sector and on a scale comparable to that for which a grant is being requested.

#### i) For similar actions

Please give a detailed description of actions carried out in the same sector and on a scale comparable to that for which a grant is being requested and which were managed by your organisation in the last three years.

1 page maximum per action.

<b>Name of applicant:</b>					
<b>Project title:</b>		<b>Sector:</b>			
<b>Location of action</b>	<b>Cost of action (EUR)</b>	<b>Role in action: coordinator, co-applicant,</b>	<b>Donors for the action (name)</b>	<b>Amount of the contribution (from the donor)</b>	<b>Dates (from dd/mm/yyyy to dd/mm/yyyy)</b>
...	...	...	...	...	...
<b>Action objectives and results</b>					

i) For other actions.

Please give a detailed description of other actions managed by your organisation in the last three years.

1 page maximum per action and 10 actions maximum.

<b>Name of applicant:</b>					
<b>Project title:</b>		<b>Sector:</b>			
<b>Location of action</b>	<b>Cost of action (EUR)</b>	<b>Role in action: coordinator, co-applicant,</b>	<b>Donors for the action (name)</b>	<b>Amount of the contribution (from the donor)</b>	<b>Dates (from dd/mm/yyyy to dd/mm/yyyy)</b>
...	...	...	...	...	...
<b>Action objectives and results</b>					

## 5. INFORMATION ON THE APPLICANT

### 5.1. The applicant's administrative data

See legal entity form

**Any change of address, telephone number, fax and email must be notified to the contracting authority. The contracting authority will not be liable if it is not able to reach an applicant.**

### 5.2. Category

Choose a category in Annex i

### 5.3. Target group(s)

Indicate your organisation's main target groups (see Annex ii)

## 5.4. Capacity to manage and perform actions

### 5.4.1. Experience by sector (see Annex iii)

Sector	Year(s) of experience	Experience over the last 7 years	Number of projects over the last 7 years	Estimated amount (in thousands of EUR) invested in this sector over the last 7 years

## 5.5. Resources

### 5.5.1. Financial data

- Please provide the following information, where applicable, based on the management accounts and balance sheet of your organisation (amounts in thousands of euros)

Year	Turnover or equivalent	Net profit or equivalent	Balance sheet total	Equity capital or equivalent	Medium and long-term debt	Short-term debt (< 1 year)
N <sup>14</sup>						
N-1						
N-2						

### 5.5.2. Source(s) of financing

- Please indicate your organisation's source(s) of revenue (public donors, private sector, contributions from members and others) and any additional information requested and their respective proportions.
- Please fill in the following table for sources of funding for the same action as the subject of this application or similar actions

Donor	Title of the Action financed	Amount	Period of financing	Address of donor	Contact person

<sup>14</sup> N = previous financial year

[If the grant requested is greater than EUR 200,000, please provide the references of the external audit report drawn up by an approved auditor, certifying the applicant's accounts from the last available financial year. This obligation does not apply to public organisations.

Year	Name of the approved auditor	Period of validity
N		From dd/mm/yyyy to dd/mm/yyyy
N – 1		From dd/mm/yyyy to dd/mm/yyyy
N – 2		From dd/mm/yyyy to dd/mm/yyyy

... ]

### 5.5.3. Number of persons employed (full-time or equivalent)

Type of staff	Paid (number)	Unpaid (number)
Local staff: recruited and based in the developing country		

### 5.6. List of members on your organisation's board of directors/management committee

Name	Department	Function	Country corresponding to nationality	On the board since
Mr				
Ms				

## 6. THE CO-APPLICANT(S)

This section must be completed for each co-applicant within the meaning of point 2.1.1 of the guidelines for applicants. You should copy this table as many times as necessary for adding co-applicants.

### 6.1. Administrative data

See legal entity form (fill in one form per co-applicant)

### 6.2. History of co-operation with the applicant

Describe

### 6.3. Category (See Annex i)

Choose a category in annex i

### 6.4. Target group (See Annex ii)

Indicate the main target groups of your organization (see annex ii)

### 6.5. Capacity to manage and implement the actions

Experience by sector (see Annex iii)			
Sector	Year(s) of experience	Number of projects over the last 7 years	Estimated amount (in thousands of EUR) invested in this sector over the last 7 years

## Mandate [for the co-applicant(s)]

The co-applicant(s) shall authorise the applicant <indicate the organisation name> to submit in their name this application form and to sign the standard Grant Agreement (Annex E of the guidelines for applicants) with <indicate the name of the contracting authority > and to be represented by the applicant in all matters concerning this Grant Agreement.

I have read and approved the content of the proposal submitted to the contracting authority. I undertake to satisfy the principles of good practice concerning partnerships.

Name:	
Organisation:	
Function:	
Signature:	
Date and place:	

**Repeat as many times as there are co-applicants**

## 7. ASSOCIATE(S) OF THE APPLICANT PARTICIPATING IN THE ACTION

This section must be completed for each organisation associated within the meaning of point 2.1.2 of the guidelines for applicants. You should copy this table as many times as necessary for adding associates.

	Associate 1
<b>Full legal name (business name)</b>	
<b>Country of registration</b>	
<b>Legal status<sup>15</sup></b>	
<b>Official address</b>	
<b>Contact person</b>	
<b>Telephone no.:</b> country code + city code + number	
<b>Email address</b>	
<b>Number of employees</b>	
<b>Experience in similar actions, depending on their role in the implementation of the proposed action</b>	
<b>History of co-operation with the applicant</b>	
<b>Role and participation in the preparation of the proposed action</b>	
<b>Role and participation in the implementation of the proposed action</b>	

<sup>15</sup> E.g. not-for-profit, governmental organisation

## 8. THE APPLICANT'S DECLARATION FOR THE PROPOSAL

The applicant, represented by the undersigned, the applicant's authorised signatory for this Call for Proposals, representing any co-applicant(s) in the proposed action, hereby declares that

- the applicant has sufficient financial capacities for carrying out the proposed action or work programme;
- the applicant certifies both its legal status and that of its co-applicant(s) in accordance with parts 2.5, and 2.6 of this application;
- the applicant **and** its co-applicant(s) have the professional skills and diplomas required in section 2.1.1 of the guidelines for applicants.
- the applicant shall be directly responsible for the preparation, management and implementation of the action, where applicable with the co-applicant(s) and is not acting as an intermediary;
- if recommended for a grant, the applicant shall accept the contractual conditions as laid down in the standard grant agreement annexed to the guidelines for applicants (Annex E);
- the applicant and, where applicable, each co-applicant are eligible according to the criteria set out in points 2.1.1 of the guidelines for applicants and are therefore not in a situation of exclusion for one of the reasons indicated in Annex VII of the model grant agreement provided in the annex to the guidelines for applicants;
- By signing this proposal, the applicant undertakes that no expenditure will be the subject of double financing, ie that no expenditure charged to the action emerges from several sources of financing (public or private) of in order to achieve a level of coverage of more than 100%.

The applicant declares on honor that the information provided is exact and correct and that it has been drawn up with full knowledge of the consequences of any false declaration.

Signed in the name and on behalf of the applicant

<b>Name</b>	
<b>Signature</b>	
<b>Function</b>	
<b>Date</b>	

## Annex i

Category	Public sector	Private Sector
	<input type="checkbox"/> Public administration <input type="checkbox"/> Decentralised representatives of State <input type="checkbox"/> International organisation <input type="checkbox"/> Legal institution <input type="checkbox"/> Local government <input type="checkbox"/> Executing agency <input type="checkbox"/> University/education <input type="checkbox"/> Research institute <input type="checkbox"/> Think Tank <input type="checkbox"/> Foundation <input type="checkbox"/> Association <input type="checkbox"/> Media <input type="checkbox"/> Network/Federation <input type="checkbox"/> Professional and/or industrial organisation <input type="checkbox"/> Trade union <input type="checkbox"/> Cultural organisation <input type="checkbox"/> Commercial organisation	<input type="checkbox"/> Executing agency <input type="checkbox"/> University/education <input type="checkbox"/> Research institute <input type="checkbox"/> Think Tank <input type="checkbox"/> Foundation <input type="checkbox"/> Association <input type="checkbox"/> Media <input type="checkbox"/> Network/Federation <input type="checkbox"/> Professional and/or industrial organisation <input type="checkbox"/> Trade union <input type="checkbox"/> Cultural organisation <input type="checkbox"/> Commercial organisation <input type="checkbox"/> Other non-State actor

## Annex ii

<input type="checkbox"/> All public <input type="checkbox"/> Child soldiers <input type="checkbox"/> Children (under 18 years old) <input type="checkbox"/> Grassroots community/communities <input type="checkbox"/> Consumers <input type="checkbox"/> Disabled <input type="checkbox"/> Drug users <input type="checkbox"/> Educational bodies (schools, universities) <input type="checkbox"/> Old people <input type="checkbox"/> Sick people (malaria, tuberculosis, HIV/AIDS) <input type="checkbox"/> Indigenous peoples <input type="checkbox"/> Local governments <input type="checkbox"/> Migrants <input type="checkbox"/> Non-Governmental Organisations <input type="checkbox"/> Prisoners <input type="checkbox"/> Professional category <input type="checkbox"/> Refugees and displaced persons <input type="checkbox"/> Research bodies/Researchers <input type="checkbox"/> SMEs/SMIs <input type="checkbox"/> Students <input type="checkbox"/> Slum-dwellers <input type="checkbox"/> Victims of conflicts/catastrophes <input type="checkbox"/> Women <input type="checkbox"/> Young people <input type="checkbox"/> Other(s) (please specify): .....
--



## Annex iii

<input type="checkbox"/>	11			<b>Education</b>
<input type="checkbox"/>		111		<b>Education, level not specified</b>
<input type="checkbox"/>			11110	Education policy and administrative management
<input type="checkbox"/>			11120	Educational and training facilities
<input type="checkbox"/>			11130	Teacher training
<input type="checkbox"/>			11182	Education research
<input type="checkbox"/>		112		<b>Basic education</b>
<input type="checkbox"/>			11220	Primary education
<input type="checkbox"/>			11230	Education for a better quality of life for young people and adults
<input type="checkbox"/>			11240	Early childhood education
<input type="checkbox"/>		113		<b>Secondary education</b>
<input type="checkbox"/>			11320	Secondary teaching
<input type="checkbox"/>			11330	Professional training
<input type="checkbox"/>		114		<b>Post-secondary education</b>
<input type="checkbox"/>			11420	Higher education
<input type="checkbox"/>			11430	Advanced technical training in management
<input type="checkbox"/>	12			<b>Health</b>
<input type="checkbox"/>		121		<b>Health, general</b>
<input type="checkbox"/>			12110	Health policy and administrative management
<input type="checkbox"/>			12181	Medical education and training
<input type="checkbox"/>			12182	Medical research
<input type="checkbox"/>			12191	Medical services
<input type="checkbox"/>		122		<b>Basic health</b>
<input type="checkbox"/>			12220	Basic healthcare and health services
<input type="checkbox"/>			12230	Infrastructure for basic health
<input type="checkbox"/>			12240	Basic nutrition
<input type="checkbox"/>			12250	Fight against infectious diseases
<input type="checkbox"/>			12261	Health education
<input type="checkbox"/>			12281	Health staff training
<input type="checkbox"/>	13			<b>Population programmes</b>
<input type="checkbox"/>				<b>Policy on population/health and fertility</b>
<input type="checkbox"/>			13010	Policy/programmes on population and administrative management
<input type="checkbox"/>			13020	Fertility health-care
<input type="checkbox"/>			13030	Family planning
<input type="checkbox"/>			13040	Fight against STDs and HIV/Aids
<input type="checkbox"/>			13081	Staff training on population, health and fertility
<input type="checkbox"/>	14			<b>Water supply and sanitation</b>
<input type="checkbox"/>		140		<b>Water supply and sanitation</b>
<input type="checkbox"/>			14010	Water resources policy and administrative management
<input type="checkbox"/>			14015	Water resources protection
<input type="checkbox"/>			14020	Water supply and sanitation – large-scale systems
<input type="checkbox"/>			14030	Basic drinking water supply and basic sanitation
<input type="checkbox"/>			14040	River basin development
<input type="checkbox"/>			14050	Waste treatment
<input type="checkbox"/>			14081	Education/training in water supply and sanitation
<input type="checkbox"/>	15			<b>Government and civil society</b>
<input type="checkbox"/>		151		<b>Government and civil society, general</b>
<input type="checkbox"/>			15110	Economic and development policy/planning

<input type="checkbox"/>			15120	Financial management of the public sector
<input type="checkbox"/>			15130	Development of legal and judicial services
<input type="checkbox"/>			15140	Government administration
<input type="checkbox"/>			15150	Strengthening civil society
<input type="checkbox"/>			15161	Elections
<input type="checkbox"/>			15162	Human rights
<input type="checkbox"/>			15163	Freedom of information
<input type="checkbox"/>			15164	Equality of women, Organisations and institutions
<input type="checkbox"/>		152		<b>Prevention and resolution of conflicts, peace and security</b>
<input type="checkbox"/>			15210	Management and reform of security systems
<input type="checkbox"/>			15220	Civilian peace-building, conflict prevention and conflict resolution
<input type="checkbox"/>			15230	Peacekeeping after a conflict (UN)
<input type="checkbox"/>			15240	Reintegration and control of light weapons and small arms
<input type="checkbox"/>			15250	Removal of land mines
<input type="checkbox"/>			15261	Child soldiers (Prevention and disarmament)
<input type="checkbox"/>	16			<b>Infrastructure and various social services</b>
<input type="checkbox"/>			16010	Social services
<input type="checkbox"/>			16020	Employment policy and administrative management
<input type="checkbox"/>			16030	Housing policy and administrative management
<input type="checkbox"/>			16040	Low-cost housing
<input type="checkbox"/>			16050	Multi-sector assistance for basic social services
<input type="checkbox"/>			16061	Culture and leisure
<input type="checkbox"/>			16062	Statistical capacity building
<input type="checkbox"/>			16063	Fight against drug trafficking
<input type="checkbox"/>			16064	Mitigation of the social impact of HIV/Aids
<input type="checkbox"/>	21			<b>Transport and warehousing</b>
<input type="checkbox"/>		210		<b>Transport and warehousing</b>
<input type="checkbox"/>			21010	Transport policy and administrative management
<input type="checkbox"/>			21020	Road transport
<input type="checkbox"/>			21030	Rail transport
<input type="checkbox"/>			21040	Water transport
<input type="checkbox"/>			21050	Air transport
<input type="checkbox"/>			21061	Storage
<input type="checkbox"/>			21081	Education/training in transport and storage
<input type="checkbox"/>	22			<b>Communication</b>
<input type="checkbox"/>		220		<b>Communication</b>
<input type="checkbox"/>			22010	Communications policy and administrative management
<input type="checkbox"/>			22020	Telecommunications
<input type="checkbox"/>			22030	Radio, television, written press
<input type="checkbox"/>			22040	Information and communication technologies (ICT)
<input type="checkbox"/>	23			<b>Energy</b>
<input type="checkbox"/>		230		<b>Energy production and distribution</b>
<input type="checkbox"/>			23010	Energy policy and administrative management
<input type="checkbox"/>			23020	Energy production (non-renewable resources)
<input type="checkbox"/>			23030	Energy production (renewable resources)
<input type="checkbox"/>			23040	Transmission and distribution of electricity
<input type="checkbox"/>			23050	Gas distribution
<input type="checkbox"/>			23061	Oil-fired power plants
<input type="checkbox"/>			23062	Gas-fired power plants
<input type="checkbox"/>			23063	Coal-fired power plants

<input type="checkbox"/>			23064	Nuclear power plants
<input type="checkbox"/>			23065	Hydroelectric power plants and dams
<input type="checkbox"/>			23066	Geothermal energy
<input type="checkbox"/>			23067	Solar energy
<input type="checkbox"/>			23068	Wind energy
<input type="checkbox"/>			23069	Wave energy
<input type="checkbox"/>			23070	Biomass
<input type="checkbox"/>			23081	Education and training in the energy sector
<input type="checkbox"/>			23082	Research in the energy sector
<input type="checkbox"/>	24			<b>Banks and financial services</b>
<input type="checkbox"/>		240		<b>Banks and financial services</b>
<input type="checkbox"/>			24010	Financial policy and administrative management
<input type="checkbox"/>			24020	Monetary institutions
<input type="checkbox"/>			24030	Official financial intermediaries
<input type="checkbox"/>			24040	Financial intermediaries in the informal and semi-formal financial sectors
<input type="checkbox"/>			24081	Education/training in banking and financial services
<input type="checkbox"/>	25			<b>Businesses and other services</b>
<input type="checkbox"/>		250		<b>Businesses and other services</b>
<input type="checkbox"/>			25010	Business support services and institutions
<input type="checkbox"/>			25020	Privatisation
<input type="checkbox"/>	31			<b>Agriculture, forestry and fishing</b>
<input type="checkbox"/>		311		<b>Agriculture</b>
<input type="checkbox"/>			31110	Agricultural policy and administrative management
<input type="checkbox"/>			31120	Agricultural development
<input type="checkbox"/>			31130	Farmland resources
<input type="checkbox"/>			31140	Water resources for agricultural use
<input type="checkbox"/>			31150	Products for agricultural use
<input type="checkbox"/>			31161	Agricultural production
<input type="checkbox"/>			31162	Industrial production/crops grown for export
<input type="checkbox"/>			31163	Livestock
<input type="checkbox"/>			31164	Agrarian reform
<input type="checkbox"/>			31165	Alternative agricultural development
<input type="checkbox"/>			31166	Agricultural extension
<input type="checkbox"/>			31181	Education and training in the agricultural sector
<input type="checkbox"/>			31182	Agronomic research
<input type="checkbox"/>			31191	Agricultural services
<input type="checkbox"/>			31192	Protection of plants and crops, locust control
<input type="checkbox"/>			31193	Agricultural financial services
<input type="checkbox"/>			31194	Agricultural cooperatives
<input type="checkbox"/>			31195	Veterinary services (livestock)
<input type="checkbox"/>		312		<b>Forestry</b>
<input type="checkbox"/>			31210	Forestry policy and administrative management
<input type="checkbox"/>			31220	Development of forestry
<input type="checkbox"/>			31261	Reforestation (wood fuel and charcoal)
<input type="checkbox"/>			31281	Forestry education and training
<input type="checkbox"/>			31282	Forestry research
<input type="checkbox"/>			31291	Forestry services
<input type="checkbox"/>		313		<b>Fishing</b>
<input type="checkbox"/>			31310	Fishing policy and administrative management
<input type="checkbox"/>			31320	Development of fishing
<input type="checkbox"/>			31381	Education and training in the fishing sector
<input type="checkbox"/>			31382	Research into the fishing sector

<input type="checkbox"/>			31391		Services in the fishing sector
<input type="checkbox"/>	32			<b>Industry, mining and construction</b>	
<input type="checkbox"/>		321		<b>Manufacturing industries</b>	
<input type="checkbox"/>			32110		Industrial policy and administrative management
<input type="checkbox"/>			32120		Industrial development
<input type="checkbox"/>			32130		Development of Small and Medium-sized Enterprises (SMEs)
<input type="checkbox"/>			32140		Arts and crafts
<input type="checkbox"/>			32161		Agribusinesses
<input type="checkbox"/>			32162		Forestry industries
<input type="checkbox"/>			32163		Textile, leather and similar products industry
<input type="checkbox"/>			32164		Chemical products
<input type="checkbox"/>			32165		Chemical fertiliser production
<input type="checkbox"/>			32166		Cement, lime and plaster
<input type="checkbox"/>			32167		Energy manufacturing
<input type="checkbox"/>			32168		Pharmaceutical products
<input type="checkbox"/>			32169		Basic metal industry
<input type="checkbox"/>			32170		Non-ferrous metal industries
<input type="checkbox"/>			32171		Mechanical and electrical engineering
<input type="checkbox"/>			32172		Transport equipment
<input type="checkbox"/>			32182		Technological research and development
<input type="checkbox"/>		322		<b>Extractive industries</b>	
<input type="checkbox"/>			32210		Policy on extractive industries and administrative management
<input type="checkbox"/>			32220		Prospecting and exploring for minerals
<input type="checkbox"/>			32261		Coal
<input type="checkbox"/>			32262		Oil and gas
<input type="checkbox"/>			32263		Ferrous metals
<input type="checkbox"/>			32264		Non-ferrous metals
<input type="checkbox"/>			32265		Precious metals and minerals
<input type="checkbox"/>			32266		Industrial minerals
<input type="checkbox"/>			32267		Mineral fertilisers
<input type="checkbox"/>			32268		Seabed resources
<input type="checkbox"/>		323		<b>Construction</b>	
<input type="checkbox"/>			32310		Construction policy and administrative management
<input type="checkbox"/>	33			<b>Trade and tourism</b>	
<input type="checkbox"/>		331		<b>Trade policy and regulations</b>	
<input type="checkbox"/>			33110		Trade policy and administrative management
<input type="checkbox"/>			33120		Facilitation of trade
<input type="checkbox"/>			33130		Regional trade agreements
<input type="checkbox"/>			33140		Multilateral
<input type="checkbox"/>					Trade negotiations
<input type="checkbox"/>			33181		Education/training in the field of trade
<input type="checkbox"/>		332		<b>Tourism</b>	
<input type="checkbox"/>			33210		Tourism policy and administrative management
<input type="checkbox"/>	41			<b>Environmental protection, general</b>	
<input type="checkbox"/>		410		<b>Environmental protection, general</b>	
<input type="checkbox"/>			41010		Environmental policy and administrative management
<input type="checkbox"/>			41020		Biosphere protection
<input type="checkbox"/>			41030		Biological diversity
<input type="checkbox"/>			41040		Protection of sites
<input type="checkbox"/>			41050		Flood prevention and protection
<input type="checkbox"/>			41081		Environmental education and training

<input type="checkbox"/>			41082	Environmental research
<input type="checkbox"/>	43			<b>Other multi-sectors</b>
<input type="checkbox"/>		430		<b>Other multi-sectors</b>
<input type="checkbox"/>			43010	Multi-sector assistance
<input type="checkbox"/>			43030	Urban management and development
<input type="checkbox"/>			43040	Rural development
<input type="checkbox"/>			43050	Non-agricultural alternative development
<input type="checkbox"/>			43081	Multi-sector education and training
<input type="checkbox"/>			43082	Scientific and research institutions
<input type="checkbox"/>	51			<b>Budget support</b>
<input type="checkbox"/>		510		<b>Budget support</b>
<input type="checkbox"/>			51010	Budget support
<input type="checkbox"/>	52			<b>Food aid for development/food safety purposes</b>
<input type="checkbox"/>		520		<b>Food aid for development/food safety purposes</b>
<input type="checkbox"/>			52010	Food security and aid programmes
<input type="checkbox"/>	53			<b>Aid in the form of products: other</b>
<input type="checkbox"/>		530		<b>Aid in the form of products: other</b>
<input type="checkbox"/>			53030	Import subsidies (capital goods)
<input type="checkbox"/>			53040	Import subsidies (products)
<input type="checkbox"/>	60			<b>Actions relating to debt</b>
<input type="checkbox"/>		600		<b>Actions relating to debt</b>
<input type="checkbox"/>			60010	Actions relating to debt
<input type="checkbox"/>			60020	Debt cancellation
<input type="checkbox"/>			60030	Multilateral debt relief
<input type="checkbox"/>			60040	Rescheduling of instalments and refinancing
<input type="checkbox"/>			60061	Debt exchange for development purposes
<input type="checkbox"/>			60062	Other debt exchanges
<input type="checkbox"/>			60063	Debt buyback
<input type="checkbox"/>	72			<b>Emergency interventions</b>
<input type="checkbox"/>		720		<b>Emergency interventions</b>
<input type="checkbox"/>			72010	Material assistance and emergency services
<input type="checkbox"/>			72040	Emergency food aid
<input type="checkbox"/>			72050	Coordination of assistance, support and protection services
<input type="checkbox"/>	73			<b>Reconstruction and rehabilitation</b>
<input type="checkbox"/>		730		<b>Reconstruction and rehabilitation</b>
<input type="checkbox"/>			73010	Reconstruction and rehabilitation aid
<input type="checkbox"/>	74			<b>Disaster prevention</b>
<input type="checkbox"/>		740		<b>Disaster prevention</b>
<input type="checkbox"/>			74010	Disaster prevention
<input type="checkbox"/>	91			<b>Administrative costs of donors</b>
<input type="checkbox"/>		910		<b>Administrative costs of donors</b>
<input type="checkbox"/>			91010	Administrative costs
<input type="checkbox"/>	92			<b>Support provided to non-governmental organisations (NGOs)</b>
<input type="checkbox"/>		920		<b>Support provided to non-governmental organisations (NGOs)</b>
<input type="checkbox"/>			92010	To national NGOs
<input type="checkbox"/>			92020	To international NGOs
<input type="checkbox"/>			92030	To local and regional NGOs
<input type="checkbox"/>	93			<b>Refugees</b>
<input type="checkbox"/>		930		<b>Refugees in donor countries</b>
<input type="checkbox"/>			93010	Refugees in donor countries

<input type="checkbox"/>	99			<b>Unallocated/Not specified</b>
<input type="checkbox"/>		998		<b>Unallocated/Not specified</b>
<input type="checkbox"/>			99810	Sector not specified
<input type="checkbox"/>			99820	Awareness-raising about development

## ANNEX B: BUDGET (EXCEL FORMAT) (to be filled in for the 2<sup>nd</sup> Phase)

Budget for the action in Euro			Unit	Total Budget	Total Budget	Q1	Q2	Q3	Q4	Year 2	Year 3
				Qt	Unit Cost						
<b>A. Operational costs</b>						-	-	-	-	-	-
<b>A</b>	<b>1</b>	<b>Résultat 1</b>				-	-	-	-	-	-
<b>A</b>	<b>1.1</b>	<b>Activity 1</b>				-	-	-	-	-	-
A	1.1.1	Experts									
A	1.1.2	Travel & Per diems									
A	1.1.3	Training, Workshops									
A	1.1.4	Conferences, Seminars									
A	1.1.5	Consultancies									
A	1.1.6	Material & equipment purchases									
A	1.1.7	Sub-Grants									
A	1.1.8	Other costs									
<b>A</b>	<b>1.2</b>	<b>Activity 2</b>				-	-	-	-	-	-
A	1.2.1	Experts									
A	1.2.2	Travel & Per diems									
A	1.2.3	Training, Workshops									
A	1.2.4	Conferences, Seminars									
A	1.2.5	Consultancies									
A	1.2.6	Material & equipment purchases									
A	1.2.7	Sub-Grants									
A	1.2.8	Other costs									
<b>A</b>	<b>1.3</b>	<b>Activity 3</b>				-	-	-	-	-	-
A	1.3.1	...									
A	1.3.2	...									
<b>A</b>	<b>2</b>	<b>Résultat 2</b>				-	-	-	-	-	-
<b>A</b>	<b>2.1</b>	<b>Activity 1</b>				-	-	-	-	-	-
A	2.1.1	Experts									
A	2.1.2	Travel & Per diems									
A	2.1.3	Training, Workshops									
A	2.1.4	Conferences, Seminars									
A	2.1.5	Consultancies									
A	2.1.6	Material & equipment purchases									
A	2.1.7	Sub-Grants									
A	2.1.8	Other costs									
<b>A</b>	<b>2.2</b>	<b>Activity 2</b>				-	-	-	-	-	-
A	2.2.1	...									
A	2.2.2	...									
<b>A</b>	<b>4</b>	<b>General income</b>				-	-	-	-	-	-
<b>A</b>	<b>4.1</b>	<b>Human resources</b>				-	-	-	-	-	-
A	4.1.1	Experts									
A	4.1.2	Support Staff									
A	4.1.3	Travel & Per diems									
<b>A</b>	<b>4.2</b>	<b>Functioning costs</b>				-	-	-	-	-	-
A	4.2.1	Vehicle purchase or rental									
A	4.2.2	Computer hardware purchase									
A	4.2.3	Furniture purchase									
A	4.2.4	Office rental and maintenance									
A	4.2.5	Office supplies									
A	4.2.6	Vehicle use cost									
A	4.2.7	Other services (tel / Internet ...)									
A	4.2.8	Bank charges									
<b>B. Management Costs</b>						-	-	-	-	-	-
<b>B</b>	<b>1</b>	<b>Human Resources</b>				-	-	-	-	-	-
B	1.1	Coordination staff	month			-					
B	1.2	Administrative and financial staff	month			-					
B	1.3	Monitoring and evaluation staff									
B	1.4	Travel & Per diems	unit			-					
<b>B</b>	<b>2</b>	<b>Functioning costs</b>				-	-	-	-	-	-
B	2.1	Purchase of equipment (ICT/furniture/others)	unit			-					
B	2.2	Office supplies	month			-					
B	2.3	Other services (tel / Internet ...)	month			-					
B	2.4	Communication	month			-					
<b>B</b>	<b>3</b>	<b>Study &amp; Evaluation</b>				-	-	-	-	-	-
B	3.1	Evaluation	unit			-					
B	3.2	Capitalization and scientific monitoring	unit			-					
B	3.3	Audit	unit			-					
<b>C. Structure costs</b>						-	-	-	-	-	-
<b>C</b>	<b>1</b>	<b>Structure costs for the action</b>				-	-	-	-	-	-
C	1.1	Structure cost (max 7% of the operational cost)				0,00	0,00	0	0,00	0,00	0,00
<b>TOTAL COSTS (A + B + C)</b>						-	-	-	-	-	-

NB: The Beneficiary is solely responsible for the accuracy of the financial information provided in these tables.

**Budgetary flexibility: See Article 14 of the Grant agreement**

**ANNEX C: LOGICAL FRAMEWORK (WORD FORMAT) – PHASE 2 ONLY**

**LOGICAL FRAMEWORK TEMPLATE**

	<b>Intervention logic</b>	<b>Objectively verifiable indicators</b>	<b>Sources and means of verification</b>	<b>Assumptions</b>
<b>Impact</b>	What is the overall general objective that the action will contribute to	What are the key indicators linked to these general objectives?	What are the sources of information for these indicators?	
<b>Outcomes</b>	How are these outputs put to use? What changes in the behaviour do you see?	What indicators show in detail that the action objective has been achieved?	What information sources exist and can be collected? What are the methods for obtaining this information?	What factors and conditions not under the applicant's control are necessary to achieve this objective? (External conditions) What are the risks to be taken into consideration?
<b>Outputs</b>	What products will be produced? (e.g. skills developed, number of people trained, curricula developed, starter kits procured)	What indicators help verify and measure whether the action has achieved the expected results?	What are the sources of information for these indicators?	What external conditions must exist to obtain the expected results within the target time?
		<b>Inputs/resources</b>		<b>Budget</b>
<b>Activities (inputs)</b>	<i>(The logic should be Activities for specific objective and output. E.G A1.1.1..... A1.1.2..... ETC</i>			



## **Annex D: legal entity form (Word format) – PHASE 1**

**(PRIVATE OR PUBLIC, TO BE DETERMINED)**

### **PRIVATE COMPANY LEGAL ENTITY FORM**

LEGAL FORM:
NAME:
ACRONYM:
ADDRESS:
POSTAL CODE:
PO BOX:
CITY:
COUNTRY:
TELEPHONE:
FAX:
E-MAIL:
VAT No. (1):
PLACE OF REGISTRATION:
DATE OF REGISTRATION:
REGISTRATION No. (2):
Names and positions of the persons authorized to engage the responsibility of the organization:

#### **DATE AND SIGNATURE OF THE AUTHORISED REPRESENTATIVE**

THIS “LEGAL ENTITY” FORM SHOULD BE PROVIDED COMPLETED, SIGNED AND ACCOMPANIED BY:

(1) A COPY OF THE VAT LIABILITY DOCUMENT IF THIS IS APPLICABLE AND IF THE VAT No. DOES NOT APPEAR ON THE OFFICIAL DOCUMENT MENTIONED IN POINT 2.

(2) A COPY OF ANY OFFICIAL DOCUMENT (E.G. THE ‘BELGIAN OFFICIAL GAZETTE/MONITEUR BELGE’, THE FRENCH OFFICIAL JOURNAL, THE TRADE REGISTER, ETC.) ENABLING IDENTIFICATION OF THE NAME OF THE LEGAL ENTITY, THE ADDRESS OF ITS REGISTERED

OFFICE AND ITS REGISTRATION NUMBER WITH THE NATIONAL AUTHORITIES.

#### **DATE AND SIGNATURE OF THE AUTHORISED REPRESENTATIVE**

**OR**

**PUBLIC LAW LEGAL ENTITY FORM**

LEGAL FORM:
NAME:
ACRONYM:
ADDRESS:
POSTAL CODE:
PO BOX:
CITY:
COUNTRY:
TELEPHONE:
FAX:
E-MAIL:
VAT No. (1):
PLACE OF REGISTRATION:
DATE OF REGISTRATION:
REGISTRATION No. (2):
Names and positions of the persons authorized to engage the responsibility of the organization:

THIS “LEGAL ENTITY” FORM MUST BE PROVIDED COMPLETED, SIGNED AND ACCOMPANIED BY

- A COPY OF THE RESOLUTION, LAW, ORDER OR DECISION ESTABLISHING THE ENTITY CONCERNED
- FAILING THIS: ANY OTHER OFFICIAL DOCUMENT WHICH PROVES THE ESTABLISHMENT OF THE ENTITY CONCERNED BY THE NATIONAL AUTHORITIES

***STAMP***

***DATE, NAME, FUNCTION AND SIGNATURE OF THE AUTHORISED REPRESENTATIVE***

**1 ANNEX F (annex III, VI & VII only for phase 1): Grant Agreement template**

**Please note that this Grant Agreement template should never be modified at the time of the Grant preparation/finalization. Only elements related to this specific action will be filled therein.**

## Grant Agreement template

### How to fill out this Grant Agreement:

- Text contained between <...> **must be replaced with the relevant information** for the Grant Agreement concerned.
- Text in <italics> gives you an idea which kind of information is required.

Phrases between [ ] must only be **included if necessary**.

**All other parts of these template instructions must not be changed.**

*This template of the Grant Agreement must be used along with the award decision, when for a project or programme, Enabel wants to award a grant in accordance with Article 11 of the Enabel Law and with the award conditions given in the 'Grant' Royal Decree of 23 February 2018 to a beneficiary who fulfils the following criteria:*

1. The beneficiary is:
  - a public-law legal person
  - a regional public-law organisation
  - a non-profit association or a foundation
  - a private legal body for which profit maximisation is not the primary objective.
2. The beneficiary pursues an objective falling under the objectives of the Belgian Development Cooperation, referred to in Chapter 2 of the Law of 19 March 2013 on the Belgian Development Cooperation;
3. The activities of the beneficiary are incorporated in portfolios executed by Enabel.

*In accordance with the Royal Decree of 23/02/2018, the Grant Agreement comprises:*

*1° The reference to the applicable award decision;*

*2° The criteria concerning eligibility of costs and the description of ineligible costs;*

*3° The obligations of the beneficiary concerning the procurement of goods, works and services;*

*4° The obligation imposed to the beneficiary to inform Enabel of any changes that could change its own admissibility as a beneficiary or negatively impact the implementation of the action;*

*5° The obligation imposed to the beneficiary to notify Enabel of obtention of additional financing for the action;*

*6° The modalities for the modification, suspension or termination of the action.*

*This template always applies and respects the Enabel procedures, which means:*

- Respects the separation of duties (see...)
- Respects the principles of good administration such as transparency, equal treatment, non-cumulation, non-retroactivity, duty of care, formal and material justification, impartiality...

*The guidelines for elaborating, following up and managing Grant Agreements are laid down in the grant award guide.*

*The following procedures exist:*

- Procedure 1: Call for Proposals
- Procedure 2: Direct award

*The award conditions consist of criteria pertaining to:*

- 1° The admissibility of the applicant and, where applicable, of its partners;
- 2° The admissibility of the proposal, including the prohibition of double financing;
- 3° The evaluation of the applicant's capacity to implement the action;
- 4° The evaluation of the proposal.

No offer, gift or payment, no remuneration or advantage of any kind constituting an illegal act or corrupt practice has been given or will be given to anyone, directly or indirectly, in view of or as a compensation for the grant award decision. Any act of this nature is sufficient ground to justify annulment of this agreement. (referto [www.enabelintegrity.be](http://www.enabelintegrity.be))

The template of the agreement must be respected. It consists of the following elements:

- This Grant Agreement;
- Annex I: Action proposal including the logical framework, the operational planning, the budget and the financial planning
- Annex II: Reporting templates
- Annex III: Template request for payment
- Annex IV: Template Transfer of assets ownership]
- Annex V: Legal (private or public) entity form
- Annex VI: Public procurement principles (for a private contracting beneficiary)
- Annex VII Exclusion grounds
- Annex VIII: Financial identification sheet

Each agreement must be identified by a number or a specific reference and must be part of an administrative file with a 'Grant file cover page'.

Text in *italics* and in yellow is for instruction or information purposes and must be deleted from the final version.

**DO NOT FORGET TO DELETE ALL INSTRUCTIONS!**

## GRANT AGREEMENT

UNDER THE FRAMEWORK OF **<PROJECT/PROGRAMME: fill in name and Pilot code>**

**Number of the Grant Agreement** *<fill in the identification number of the Grant Agreement>*

### BETWEEN:

**Enabel**, represented by Mr/Mrs *<Name of the Resident Representative or the project manager, depending on the amount of the Grant Agreement>*, address

*On one hand,*

*And*

*<full name of the public of private institution, acronym >*, represented by Mr/Mrs *<name of the representative>* with registered office at *<address>* (hereinafter referred to as "the contracting beneficiary")

*On the other hand;*

### PREAMBLE

Having regard to the Belgian Law of 21 December 1998 establishing the Belgian Technical Cooperation as a public-law company with social purposes, Article 8, amended by Article 5 of the Law of 20 January 2014;

Having regard to the Belgian Law of 23 November 2017 changing the name of the Belgian Technical Cooperation and defining the missions and functioning of Enabel, the Belgian development agency;

Having regard to the Belgian Royal Decree 23 February 2018 on the Award of Grants by Enabel and control thereof, as modified by RD of 16 December 2018;

Having regard to the Specific Agreement, *< reference of the Specific Agreement project or portfolio concerned >*;

[Having regard to the TFF attached; *only for pre-Enabel projects/programmes*]

[Having regard to the Call for Proposals of *...< date>...*] *for a Call for Proposals*;

[Having regard to the invitation to elaborate an action proposal of *...< date>...*] *for a direct award*;

[Having regard to the evaluation report dated *< date >*];

Having regard to the award decision no. of *< date>*;

**THE FOLLOWING HAS BEEN AGREED UPON:**

**ARTICLE 1 – OBJECT OF THE AGREEMENT**

The object of this agreement is the awarding by Enabel of a grant in view of the achievement of the action described in Annexe I, which hereinafter is referred to as "the action".

The general objective of the action is:

The specific objective(s) of the action is/are:

The logical framework and operational planning are given in Annexe I

**ARTICLE 2 – VALUE OF THE GRANT**

The total maximum value of the grant awarded by enabel is < **indicate the maximum value in figures and words** > euros, [*where applicable, fill in the equivalent amount in local currency*].

The budget and financial planning are given in Annexe I.

**ARTICLE 3 – ENTRY INTO FORCE AND PERIOD OF IMPLEMENTATION**

The Grant Agreement enters into force on the day of signature of the last party.

The period of execution of the activities starts on < **indicate the date (at the earliest the day the agreement comes into force)** > and ends on < **indicate the date (consistent with the closing period)** >.

The closing period starts the day after the end date of the period of execution and ends on < **indicate date** > (*the closing period must be a minimum of 3 months and end at least 1 month before the end of the Specific Agreement or, for GP projects, 1 month before the end of the implementation period*)>.

**ARTICLE 4 – ELIGIBLE COSTS**

**4.1. Eligible costs**

The type of costs that Enabel can subsidise are:

1° Operational costs;

2° Management costs:

3° Structure costs.

‘Operational costs’ are the necessary and indispensable costs for achieving the objectives and results of the action, [*including the cost for achieving verifiable deliverables*];

‘Management costs’ are identifiable costs related to management, supervision, coordination, monitoring, control, evaluation and financial audit which specifically originate in the implementation of the action or the justification of the Grant;

‘Structure costs’ are costs related to the achievement of the social purpose of the beneficiary, which even though they are influenced by the implementation of the action are neither identifiable or attributable to the budget of this action.

Under this framework, the following direct costs of the contracting beneficiary are eligible as **operational costs** or **management costs**:

*Only keep the eligible costs applicable to this Grant Agreement*

[

- a) The cost of staff assigned to the action, corresponding to actual gross remuneration and salaries, comprising social security charges and other statutory costs included in the remuneration; provided that this does not exceed the average rates corresponding to the contracting beneficiary's usual policy on remuneration unless justification is provided that the excess is indispensable for the achievement of the activity;
- b) Travel and subsistence allowances, provided that they are in line with the contracting beneficiary's usual practices and do not exceed applicable scale at Enabel;
- c) The costs for services, works and purchase of equipment specifically destined for the needs of the action (public procurement within the meaning of Article 7.4.);
- d) The costs arising from other contracts substantiated by supportive documents of the contracting beneficiary for the purposes of carrying out the activity; The costs arising directly from requirements imposed by the agreement (dissemination of information, specific evaluation of the activity, audits, translations, reproduction, insurance, etc.), including the costs of any financial services (especially the cost of transfers and financial guarantees where required under the agreement);
- e) Duties, levies and any other charges, including the value-added taxes, which have been paid and cannot be recovered by the contracting beneficiary;
- f) Meals, drinks and snacks are accepted for the activities in the partner country if they are part of and required for these activities, justified and of a reasonable amount.
- g) [Sub-grants to sub-beneficiaries] *(if those are allowed, the following points must be described in annexI)*
  1. *The description of the objectives and results to be achieved with these sub-grants, the fundamental principles, the key concepts, the mechanisms, the actors and their role in the management process;*
  2. *The criteria and modalities for the allocation of grants, accessibility conditions sub-beneficiaries, conditions for the admissibility of sub-projects, eligibility conditions for activities, costs and expenses;*
  3. *The procedures and procedures for examining and awarding applications;*
  4. *The maximum amount that can be allocated by sub-beneficiary;*
  5. *The terms of contractualisation with the sub-beneficiary;*
  6. *The procedures and modalities for disbursing resources;*
  7. *The procedures and modalities for technical and financial monitoring;*
  8. *The procedures and modalities of control.*

*To be inserted if sub-grants to sub-beneficiaries are allowed:*

[In all cases, only one rank of sub-beneficiaries is allowed. Sub-beneficiaries can never use the grants received to award grants to a second rank of sub-beneficiaries. And the sub-beneficiaries must belong to the natural beneficiaries / partners of the contracting-beneficiary, consistent with its mandate and mission]

**Either**

[The **structure costs** are lump sum and represent maximum *<x %>* (never above 7 % of the operational costs), as verified and agreed upon beforehand by *<fill in independent entity (can be Enabel)>*]

**Or**

[No structure costs are foreseen in this agreement]



**To be inserted if sub-grants to sub-beneficiaries are allowed:**

[the maximum amount of the structural costs (sum of the structural costs of the contracting beneficiary and of the sub-beneficiaries) will remain the same (maximum 7% of the operational costs of the initial grant), whether or not there are grants to sub-beneficiaries]

The following costs shall always be considered ineligible:

1. Accounting entries not leading to payments;
2. Provisions for liabilities and charges, losses, debts or possible future debts;
3. Debts and debit interests;
4. Doubtful debts;
5. Currency exchange losses;
6. Loans to third parties;
7. [Guarantees and securities], *(except where the objective of the action is the award of guarantee)<sup>16</sup>*;
8. Costs already financed by another grant;
9. Invoices made out by other organisations for goods and services already subsidised;
10. Subcontracting by means of service or consultancy contracts to personnel members, Board members or General Assembly members of the organisation subsidised;
11. Any sub-letting to oneself;
12. [Purchases of land or buildings], *(except where absolutely necessary for direct implementation of the action)*<sup>Error! Bookmark not defined.</sup>;
13. Compensation for damage falling under the civil liability of the organisation;
14. Employment termination compensation for the term of notice not performed;
15. Purchase of alcoholic beverages, tobacco and derived products thereof.
16. [Grants to sub-beneficiaries]. *(except if explicitly allowed in bullet g) above and described in annex 1)*<sup>Error! Bookmark not defined.</sup>
17. [Bonuses<sup>17</sup>] (optional in bilateral projects but always ineligible in the case of grants financed within the framework of GP projects)

*Other ineligible costs may be added to this list according to the specific context of each action.*

#### **4.2 Eligibility criteria of expenses:**

An expense may be charged to the grant as operational cost or management cost if it fulfils the following cumulative conditions:

- 1° It is documented by a supporting document and it is identifiable and controllable [and it is related to an identifiable and verifiable deliverable];
- 2° It is necessary for achieving the results of the action,
- 3° It is committed in accordance with the approved budget of the action;
- 4° It is actually incurred during the duration of the action: Namely, it is committed before the end of the period of execution of the activities and paid before the end of the closing period. However, any expenses relating to the final audit and final evaluation may be incurred and paid during the closing period.
- 5° It complies with the provisions of the tax and social regulations and the applicable procurement regulations.

<sup>16</sup> Do not forget to remove the yellow sections in ineligible costs that are not applicable in the grant agreement templates attached to the guidelines in calls for proposals or in requests for submission of a proposal to direct grantees

<sup>17</sup> A bonus is to be understood as a payment of a "bonus" triggered by the participation of a staff member in the EU funded Action or that is in any way linked to the performance of the person in the Action or the performance of the Action itself is not an eligible cost. However, there are payments that might be called in a similar way and which could still be considered as a part of the normal salary package and therefore eligible (i.e. variable parts of the salary). Those payments have to be paid independently of the participation of the staff member in the EU funded Action.

6 ° it does not relate to an ineligible cost.

## ARTICLE 5 – PAYMENT MODALITIES

### *Either*

[The funds will be transferred in instalments on the basis of a request, the template for which is given in Annex III. Each instalment is considered an independent grant in application of this agreement. The value of all these instalments may in no case exceed the total value of the grant mentioned in Article 2.

Except for the first instalment, at least 75 % of the preceding instalment must be spent before the next instalment is paid.]

With the exception of the request for the first tranche, each request for funds will be accompanied by an updated financial report and its annexes as stipulated in Article 11.

[A final instalment of <5 to 10 %> will be reserved for payment following the reception and validation of the final execution report and all supporting documents substantiating the global value of the grant.]

The tentative planning of the instalments is given below

*Insert indicative planning of instalments*

### *Or*

[The funds will be transferred in instalments as reimbursements of expenses actually incurred by the contracting beneficiary, based on requests, for which the template is given in Annex III. The value of all these instalments may in no case exceed the total value of the grant mentioned in Article 2.

Each request for funds will be accompanied by an updated financial report and its annexes as stipulated in Article 11.

The tentative planning of the reimbursement instalments is given below:

*Insert indicative planning of reimbursements*

## BANK ACCOUNT:

The funds are solely disbursed into the [separate] bank account mentioned in the Financial Identification Form in Annex VI.

*(In the case of pre-financing in installments, this account must be a separate bank account, except derogation by "Manager Controlling" Enabel. In the case of refunds, the opening of a separate bank account is not mandatory.)*

The payments are made in euros, *(except derogation validated by Enabel)*, for both funds transferred to the contracting beneficiary and for any recovery (see Article 10).

## ARTICLE 6 - ACCOUNTING

When carrying out the activities, the contracting beneficiary uses its own accounting, internal control and auditing procedures provided that these procedures follow international standards in this area and do not conflict with the provisions of this agreement.

## ARTICLE 7 – GENERAL OBLIGATIONS OF THE CONTRACTING BENEFICIARY

7.1. The contracting beneficiary undertakes to use the funds granted under this agreement solely for the ends for which the grant is awarded, and to respect the award conditions listed in this agreement. It ensures that the object of this agreement is executed correctly and will take appropriate measures where necessary to remedy any problems found during the implementation period.

7.2. It undertakes to use the funds in conformity with the principles of economy, effectiveness, efficiency and transparency.

7.3. It undertakes to notify Enabel of obtaining additional funding for the action.

7.4. *For public contracting beneficiaries* It undertakes to implement infrastructure works or procure goods and services in accordance with the public procurement regulations of <the 'beneficiary's country'>. (or other system if the country system is not rated positively);

or

*For private contracting beneficiaries, not subject to public procurement law,* It undertakes to implement procurement of services, works or supplies in accordance with principles described in Annex VIII of the Grant Agreement; It is not allowed to subcontract all of an action by means of a single contract. Moreover, the budget of each contract financed by means of the grant can only correspond to a limited part of the total amount of the grant.

7.5. The contracting beneficiary undertakes to take all necessary precautions to avoid conflicts of interests and shall inform Enabel without delay of any situation constituting or likely to lead to any such conflict. There is a conflict of interests where the impartial and objective exercise of the functions of any person under this Agreement is compromised for reasons involving family, emotional life, political or national affinity, economic interest or any other shared interest with another person.

7.6. It also undertakes to take appropriate measures to avoid instances of irregularity, fraud, corruption or any other illegal activity in the management of the activities. All suspected and proven instances of irregularity, fraud and corruption related to this agreement, as well as the measures taken in this context by the contracting beneficiary, must be immediately reported to Enabel through the platform [www.enabelintegrity.be](http://www.enabelintegrity.be).

7.7. It undertakes to inform Enabel of any changes that could change its own admissibility as a beneficiary or impact the implementation of the action in a negative manner.

7.8. In order to promote sustainable development, the parties agree that it is necessary to promote respect for environmental and social standards recognised by the international community such as the basic conventions of the International Labour Organisation (ILO) and the international environmental protection agreements.

To this end, the contracting beneficiary undertakes to include in its public contracts and, where applicable, in its tender documents, a clause according to which the parties undertake to observe these standards in compliance with applicable laws and regulations in the country where the subsidised activity is realised.

Such commitments will have to be extended to any subcontractors. Enabel reserves the right to ask the contracting beneficiary for a report on the environmental and social conditions in which the activity will be conducted.

7.9 He undertakes to inform Enabel of any developments in the security situation which could call into question the implementation of activities in one of the intervention zones, with a view to the possible application of article 13.

*(section 7.10 is mandatory for beneficiaries who do not have their headquarters in the country where the action takes place unless the assets concerned are absolutely necessary for the sustainability of the action)*

*Either*

[7.10 It undertakes to transfer the equipment and materials financed by the action budget to the local intermediate or final beneficiary organizations of the action before submission of the final report. Copies of the transfer certificates for equipment and vehicles with a unit purchase value greater than EUR 5,000 will be attached to the final report. The supporting documents are kept by the Contracting Beneficiary for purposes of control.]

*Or*

[7.10 It undertakes to transfer the equipment and materials financed by the action budget as defined in Annex IVB, before submission of the final report. Copies of the transfer certificates for equipment and vehicles with a unit purchase value greater than EUR 5,000 will be attached to the final report. The supporting documents are kept by the Contracting beneficiary for purposes of control]

## ARTICLE 8 – LIABILITY

8.1. The contracting beneficiary is solely liable for complying with all its legal obligations under this agreement.

8.2. Enabel may not, under any circumstances or in any way whatsoever, be held liable for any damage that may have been caused during the implementation of this agreement.

## ARTICLE 9 – REJECTION OF REQUESTS FOR PAYMENT, SUSPENSION AND TERMINATION

Enabel reserves the right to defer or definitively reject any request for payment and to suspend or terminate the agreement if one of the following occurs:

- a) The contracting beneficiary fails to provide the justifications referred to in Article 11 or to submit itself to the control provided for in Article 12 of this agreement.
- b) The beneficiary does not use the grant for the ends for which it was awarded;
- c) Unlawful act: It is or becomes unlawful or impossible for the contracting beneficiary to perform any of its obligations under this agreement;
- d) Abandonment or suspension of the activity;
- e) Acts of corruption or fraud;
- f) Change in the situation of the contracting beneficiary by which it no longer falls under the scope of application of contracting beneficiaries eligible for grants awarded by Enabel (see **Error! Reference source not found.** Law);
- g) Non-compliance with grant award conditions or any stipulation of this agreement by the contracting beneficiary.
- h) One of the grounds for exclusion in Annex VII is no longer respected by the contracting-beneficiary.

## ARTICLE 10 – RECOVERY

Enabel will recover all or part of the grant awarded, in the following cases:

1° The beneficiary does not respect the grant conditions;

2° The beneficiary does not use the grant for the ends for which it was awarded;

3° The beneficiary hinders control;

4° The beneficiary fails to submit the necessary supporting documents in order to justify the use of the grant.

#### ARTICLE 11 – JUSTIFICATION: PLANNING, NARRATIVE REPORTS AND FINANCIAL REPORTS

The global budget and the financial and operational planning of the first year of implementation is given in Annex I of this agreement. In case of a multi-year agreement, the contracting beneficiary will provide a new operational and financial planning at the end of each year of implementation for the following year.

The contracting beneficiary shall justify the use of the funds received in the < *specify frequency* > (narrative and financial) progress reports assembled in accordance with templates in Annexe II, where it has to clearly demonstrate that the funds transferred have been used for the ends for which they were awarded, and each request for payment will also comprise an updated financial report.

The annexes to the financial report are at least: *indicate here the annexes that must be attached by default to the financial report (example: Bank statement, general ledger extract, copies of invoices, list of investments, audit report, ...)*

A final narrative and financial report, including a final evaluation of the results of the action, will be elaborated at the end of the action and transferred by < *specify period or deadline for reception after end of activities* > at the latest. Where applicable, the final report must be accompanied of a copy of the document transferring the assets to the final beneficiaries (Annex IV).

Templates for progress reports and final reports are given in Annex II, including required annexes to these reports.

The exchange rate system to use is: < *Indicate the exchange rate system to use for reporting. Describe the system if the partner's system is used or, without a viable system, the weighted average exchange rate will be used* >

#### ARTICLE 12 – CONTROL MODALITIES

Enabel will control whether the use of the grant complies with the provisions of the grant agreement and the award decision. To this end, Enabel will carry out a control of all the components of the justification requested, as referred to in Article 11. During the control, both the financial and technical aspects will be checked, as well as the consistency between them.

Enabel may at any time, on its own initiative, have the subsidised action controlled. By the mere fact of accepting the grant, the contracting beneficiary acknowledges the right of Enabel to carry out or to have this control carried out on site.

When controlling the justification of the grants, Enabel may request additional supporting documents to those provided in the reports.

The contracting-beneficiary contributes to the control that is carried out on behalf of Enabel, either in the country where the action is implemented or at the head office of the organisation.

Considering those control activities, it shall keep its accounts available as well as any other document justifying compliance with the conditions under which the grant was awarded, in accordance with the provisions of the award decision and the grant agreement. Consequently, the contracting beneficiary undertakes to keep available all documents related to this agreement for five years after the final payment.

For control activities, Enabel can call upon third parties such as recognised auditing firms and organisations specialised in external evaluations.

Enabel will inform the grant beneficiary in writing of the results of the controls and their possible consequences.

*If applicable, describe here ex ante controls (object of the control(s) and processes) that will be carried out by Enabel such as NOs on Terms of reference, commitments, payments etc...*

#### **ARTICLE 13 – FORCE MAJEURE**

In the event of force majeure, the parties, after consultation, may totally or partially suspend the implementation of the activities, and/or, possibly, adapt the action as described in article 14.4 if the circumstances make the implementation too difficult or too dangerous, particularly due to the deterioration of the security situation.

In this case, each party undertakes to inform the other party and provide it with all the necessary details, as quickly as possible, as well as the expected date of resumption. If the agreement is not terminated, the beneficiary-contractor, with the agreement of Enabel, endeavours to resume the course of activities as soon as circumstances permit.

#### **ARTICLE 14 – ADAPTATION, SUSPENSION OR STOPPAGE OF THE INTERVENTION UNDER WHICH THE ACTION FALLS**

14.1 When executing the subsidised action, the contracting beneficiary may not redefine or modify the action or the objectives as described in Article 1 and Annex I. These modifications must be the subject of an amendment to the agreement.

However, budgetary flexibility is authorized without the need to resort to an amendment in the following cases:

- Modification between results leading to a variation not greater than **xx% (maximum 15%)** of amounts initially planned.
- Modification between activities of the same result leading to a variation not greater than **xx% (maximum 25%)** of the amounts initially planned.

Changes between operational costs (A) and management costs (B) are not allowed without an amendment.

Modification of the percentage set for structure costs (C) is not authorized..

14.2 The contracting beneficiary informs Enabel without delay of any significant change to its procedures or systems, legal, financial, technical or organisational situation as well as any other circumstances that could influence, slow down or compromise the implementation of the action or all or part of the requirements that the contracting beneficiary must meet.

Enabel reserves the right to demand additional measures, in order to remedy this situation, or the right to terminate this agreement (see above).

14.3. When this grant agreement is part of an intervention which has to be wholly or partly adapted, suspended or stopped pursuant to Article 32, § 2, 7° of the Law defining the missions and functioning of Enabel, and that these changes affect the implementation of the action, Enabel informs the beneficiary of:

- 1° the necessary adaptations of the action;
- 2° the duration of the complete or partial suspension of the action;

3° the complete or partial termination of the action.

Following this communication, the award decision, the grant agreement and, where applicable, the budget will be modified in consultation between Enabel and the contracting beneficiary.

The amounts that the contracting beneficiary had already disbursed at the time of the communication referred to in paragraph 1 will not be claimed by Enabel, provided that these expenses meet the conditions stipulated in Article 4.2 and that they are duly justified.

14.4 In the event of application of article 13, the contracting beneficiary may propose a plan for reallocation of the resource initially allocated in consultation with Enabel, while respecting the initial objectives.

The grant agreement and, where applicable, the budget may be modified by amendment following communication of this reallocation plan, after negotiation between Enabel and the contracting beneficiary.

#### ARTICLE 15 – APPLICABLE LEGISLATION AND REGULATIONS

This agreement is governed by Belgian law.

In the event of any dispute relating to the execution of this agreement, the parties will make every effort to reach an amicable solution.

In the absence of an amicable solution, only the Courts of Brussels shall be competent.

#### ARTICLE 16 – CONFIDENTIALITY

Enabel and the contracting beneficiary undertake to maintain the confidentiality of all documents, information or other materials that are communicated confidentially

#### ARTICLE 17 – VISIBILITY

The contracting beneficiary shall mention the Belgian State *(If necessary, replace by or add other financial partner)* as donor or joint donor of this action in general communication related to the action subsidised.

#### Annexes

The following documents are attached to this agreement and are an integral part thereof:

Annex I	Action proposal
Annex II	Reporting templates
Annex III	Template Request for payment
Annex IV	A. Template Transfer of assets ownership
[Annex IV	B. Identification of beneficiaries] <i>(optional)</i>
Annex V	Legal (private or public) entity form
Annex VI	Financial identification sheet
Annex VII	Exclusion grounds
Annex VIII	Procurement principles (for a private contracting beneficiary)

In case of conflict between provisions of the Annexes and those of the Grant Agreement, the latter prevail.



Done at <fill in the place> in <two or three> copies, one of which is for a representative of Enabel and one of which is for the contracting beneficiary.

**For the contracting beneficiary**

Name

Capacity

Signature

Date

**For Enabel**

Name

Capacity

Signature

Date

Name

Capacity

Signature

Date



*<In case of a Call for Proposals insert section 2.2.1 to 2.2.6 of the proposal*

*<For a direct award, include the action proposal in full>*

In either case, the following must always be included in Annex 1

- Logical framework
- Operational planning
- Detailed budget
- Financial planning

*When sub-grants to sub-beneficiaries are allowed:* [the following points must be described in Annex I

1. The description of the objectives and results to be achieved with these sub- grants, the fundamental principles, the key concepts, the mechanisms, the actors and their role in the management process;
2. The criteria and modalities for the allocation of grants, accessibility conditions sub-beneficiaries, conditions for the admissibility of sub-projects, eligibility conditions for activities, costs and expenses;
3. The procedures and procedures for examining and awarding applications;
4. The maximum amount that can be allocated by sub-beneficiary;
5. The terms of contractualisation with the sub-beneficiary;
6. The procedures and modalities for disbursing resources;
7. The procedures and modalities for technical and financial monitoring;
8. The procedures and modalities of control.]

ANNEX II - REPORTING TEMPLATES
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- < *Include instructions (templates) for preparing*
- *the various execution reports (narrative and financial reports):*
  - *the Final report*
  - *other reports if applicable*

If an audit has been carried out, the report thereof will be attached to the relevant financial report, also specifying, if applicable, the measures taken or the 'action plan' that has been elaborated to remedy the problems found by the audit.

ANNEXE III: TEMPLATE REQUEST FOR PAYMENT <**FILL IN THE IDENTIFICATION NUMBER OF THE GRANT AGREEMENT**>

**Request for payment, no <...>**

Date of the Request for payment <...>

To the attention of  
<**ITA Project Management Unit, address**>

Name and address of the contracting beneficiary: < >

Period covered by the Request for payment: < >

Dear Ms, Mr,

I hereby request payment of instalment no **or** [the balance] under the above-mentioned Grant Agreement.

The amount requested is: <**fill in the amount**> euros

Please find the following supporting documents in attachment:

- **Execution report (narrative and financial reports)**
- **Audit reports**
- **Other supporting documents (indicate here exhaustively the other supporting documents which must accompany each payment request)**

**For the request for payment to be approved, all required documents must be attached.** Payment is due on the bank account given in the Grant Agreement:

I declare on honour that the information in this request for payment is complete, sincere and exact, that the costs presented can be considered eligible in conformity with the provisions of the Grant Agreement and that this request for payment is substantiated by supporting documents that can be controlled.

Yours truly,

<signature>

# ANNEX IV: TEMPLATE TRANSFER OF ASSETS OWNERSHIP

## TRANSFER OF ASSETS OWNERSHIP

Title of the intervention
No Pilot
Title of the Call for Proposals:
Grant Agreement number:
Name of the contracting beneficiary of the Grant Agreement:
Name of the final beneficiary of the action:

Assets	Description of the item ( > EUR 5 000)	Acquisition date	Acquisition cost in EUR	Date of transfer / Comments
1.				
2.				
3.				
4.				
Etc.				

This list was drawn up in order to comply with Article 11 of the Grant Agreement. The ownership of each asset item described has been transferred. The local partner and final beneficiary agree on the contents of this list.<sup>18</sup>

Done at \_\_\_\_\_ on \_\_\_\_\_.

\_\_\_\_\_  
Contracting beneficiary  
Name and function

\_\_\_\_\_  
Final beneficiary of the Action  
Name and function

# ANNEX IVB: IDENTIFICATION OF BENEFICIARIES RECIPIENT OF ASSETS

*(use only when recipients are predefined to receive these assets)*

	Description of asset	Recipient beneficiary
1.		
2.		
3.		
4.		
Etc.		

<sup>18</sup> A list is completed for each final beneficiary.

### PRIVATE COMPANY LEGAL ENTITY FORM

LEGAL FORM:
NAME:
ACRONYM:
ADDRESS:
POSTAL CODE:
POST BOX:
CITY:
COUNTRY:
TELEPHONE:
FAX:
E-MAIL
VAT no. (1):
PLACE OF REGISTRATION:
DATE OF REGISTRATION:
REGISTER no. (2):
Names and positions of the persons authorized to engage the responsibility of the organisation:

DATE AND SIGNATURE OF THE AUTHORISED REPRESENTATIVE

THIS 'LEGAL ENTITY' FORM MUST BE COMPLETED, SIGNED AND ACCOMPANIED BY:

(1) A COPY OF THE VAT LIABILITY DOCUMENT IF THIS IS APPLICABLE AND IF THE VAT No. DOES NOT APPEAR ON THE OFFICIAL DOCUMENT MENTIONED IN POINT 2.

A COPY OF ANY OFFICIAL DOCUMENT (E.G. 'BELGIAN OFFICIAL GAZETTE/MONITEUR BELGE', COUNTRY'S OFFICIAL JOURNAL, THE TRADE REGISTER....) ENABLING IDENTIFICATION OF THE NAME OF THE LEGAL ENTITY, THE ADDRESS OF ITS REGISTERED OFFICE AND ITS REGISTRATION NUMBER WITH THE NATIONAL AUTHORITIES.

**DATE AND SIGNATURE OF THE AUTHORISED REPRESENTATIVE**

## PUBLIC-LAW LEGAL ENTITY FORM

LEGAL FORM:
NAME:
ACRONYM:
ADDRESS:
POSTAL CODE:
POST BOX:
CITY:
COUNTRY:
TELEPHONE:
FAX:
E-MAIL
VAT no. (1):
PLACE OF REGISTRATION:
DATE OF REGISTRATION:
REGISTER no. (2):
Names and positions of the persons authorized to engage the responsibility of the organisation:

THIS 'LEGAL ENTITY' FORM MUST BE COMPLETED, SIGNED, STAMPED AND ACCOMPANIED BY

- A COPY OF THE RESOLUTION, LAW, ORDER OR DECISION ESTABLISHING THE ENTITY CONCERNED
- IN THE ABSENCE THEREOF, ANY OTHER OFFICIAL DOCUMENT WHICH PROVES THE ESTABLISHMENT OF THE ENTITY CONCERNED BY THE NATIONAL AUTHORITIES

***STAMP***

***DATE, NAME, FUNCTION AND SIGNATURE OF THE AUTHORISED REPRESENTATIVE***

ANNEX VI	FINANCIAL IDENTIFICATION SHEET
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<b>ACCOUNT NAME (1)</b>			
<b>ADDRESS</b>			
<b>TOWN/CITY</b>		<b>POST CODE</b>	
<b>COUNTRY</b>			
<b>CONTACT</b>			
<b>TELEPHONE</b>		<b>TELEFAX</b>	
<b>E - MAIL</b>			

<b><u>BANK (2)</u></b>			
<b>NAME OF BANK</b>			
<b>ADDRESS (OF BRANCH)</b>			
<b>TOWN/CITY</b>		<b>POST CODE</b>	
<b>COUNTRY</b>			
<b>ACCOUNT NUMBER</b>			
<b>IBAN (3)</b>			
<b>NAME OF SIGNATORIES</b>	<b>NAME &amp; FORENAME</b>	<b>FUNCTION</b>	

**COMMENTS:**

**STAMP of BANK + SIGNATURE of BANK'S REPRESENTATIVE (both are obligatory)**

**DATE + SIGNATURE OF ACCOUNT HOLDER(Obligatory)**

*(1) The name or title under which the account was opened and not the name of the authorised representative.*

*(2) It is preferable to attach a copy of a recent bank statement. Please note that the bank statement must provide all the information indicated above under "ACCOUNT NAME" and "BANK". In this case, the bank's stamp and the signature of its representative are not required. The signature of the account holder is obligatory in all cases.*

*(3) If the IBAN code (international bank account number) is applicable in the country where your bank is situated.*



**ANNEXE VII: EXCLUSION GROUNDS**

<b>Exclusion grounds</b>	
<b>1) Condemnation or subject of a conviction by final judgment</b>	<p>The counterparty or one of its 'directors[1]' was found guilty following an infeasible judgement for one of the following offences:</p> <ul style="list-style-type: none"> <li>1° involvement in a criminal organisation</li> <li>2° corruption</li> <li>3° fraud</li> <li>4° terrorist offences, offences linked related to terrorist activities or incitement to commit such offence, collusion or attempt to commit such an offence</li> <li>5° money laundering or terrorist financing</li> <li>6° child labour and other trafficking in human beings</li> <li>7° employment of foreign citizens under illegal status</li> <li>8° creating or being a shell company.</li> </ul> <p>The exclusions on the basis of this criterion apply for a 5-year term from the date of judgement.</p>
<b>2) Breach of obligations relating to the payment of taxes or social security contributions</b>	<p>The counterparty which fails to fulfil his obligations relating to the payment of taxes or social security contributions for an amount in excess of EUR 3.000, except if the counterparty can demonstrate that a contracting authority owes him one or more unquestionable and due debts which are free of all foreseeable liabilities. These debts are at least of an amount equal to the one for which he is late in paying outstanding tax or social charges.</p>
<b>3) Bankruptcy, liquidation, cessation of activities...</b>	<p>The counterparty who is in a state of bankruptcy, liquidation, cessation of activities, judicial reorganisation or has admitted bankruptcy or is the subject of a liquidation procedure or judicial reorganisation, or in any similar situation resulting from a procedure of the same kind existing under other national regulations;</p>
<b>4) Integrity-related professional misconduct, including:</b> <ul style="list-style-type: none"> <li>- Sexual abuse and/or exploitation</li> <li>- Case of fraud</li> <li>- Case of sexual harassment</li> <li>- False statements</li> <li>- Unfair competition</li> </ul>	<p>When Enabel can demonstrate by any appropriate means that the counterparty <b>or any of its directors</b> has committed serious professional misconduct which calls into question his integrity.</p> <p>Are among others considered such serious professional misconduct:</p> <ul style="list-style-type: none"> <li>a. A breach of Enabel's Policy regarding sexual exploitation and abuse – June 2019</li> <li>b. A breach of Enabel's Policy regarding fraud and corruption risk management – June 2019</li> <li>c. A breach of a regulatory provision in applicable local legislation regarding sexual harassment in the workplace</li> <li>d. The counterparty was seriously guilty of misrepresentation or false documents when providing the information required for verification of the absence of grounds for exclusion or the satisfaction of the selection criteria, or concealed this information</li> <li>e. Where Enabel has sufficient plausible evidence to conclude that the counterparty has committed acts, entered into agreements or entered into arrangements to distort competition</li> </ul> <p>The presence of this counterparty on one of Enabel's exclusion lists as a result of such an act/agreement/arrangement is considered to be sufficiently plausible an element.</p>
<b>5) Conflict of interest</b>	<p>When a conflict of interest cannot be remedied by other, less intrusive measures;</p>
<b>6) Significant or persistent contract performance failures</b>	<p>When significant or persistent failures by the counterparty were detected during the execution of an essential obligation incumbent on him in the framework of a previous contract, a previous contract placed with another contracting authority, when these failures have given rise to measures as of right, damages or another comparable sanction.</p> <p>Also failures to respect applicable obligations regarding environmental, social and labour rights, national law, labour agreements or international provisions on environmental, social and labour rights are considered 'significant'.</p>

	The presence of the counterparty on the exclusion list of Enabel because of such a failure serves as evidence.
<b>7) Financial sanctions</b>	<p>Restrictive measures have been taken vis-à-vis the counterparty with a view of ending violations of international peace and security such as terrorism, human-rights violations, the destabilisation of sovereign states and de proliferation of weapons of mass destruction.</p> <p>The counterparty or one of its directors are on the lists of persons, groups or entities submitted by the United Nations, the European Union and Belgium for financial sanctions: For the United Nations, the lists can be consulted at the following address:</p> <p><a href="https://finance.belgium.be/en/about_fps/structure_and_services/general_administrations/treasury/financial-sanctions/international">https://finance.belgium.be/en/about_fps/structure_and_services/general_administrations/treasury/financial-sanctions/international</a></p> <p>For the European Union, the lists can be consulted at the following address:</p> <p><a href="https://finance.belgium.be/en/about_fps/structure_and_services/general_administrations/treasury/financial-sanctions/european">https://finance.belgium.be/en/about_fps/structure_and_services/general_administrations/treasury/financial-sanctions/european</a></p> <p><a href="https://data.europa.eu/data/datasets/consolidated-list-of-persons-groups-and-entities-subject-to-eu-financial-sanctions?locale=en">https://data.europa.eu/data/datasets/consolidated-list-of-persons-groups-and-entities-subject-to-eu-financial-sanctions?locale=en</a></p> <p><a href="https://eeas.europa.eu/sites/eeas/files/restrictive_measures-2017-01-17-clean.pdf">https://eeas.europa.eu/sites/eeas/files/restrictive_measures-2017-01-17-clean.pdf</a></p> <p>For Belgium:</p> <p><a href="https://finance.belgium.be/en/about_fps/structure_and_services/general_administrations/treasury/financial-sanctions/national">https://finance.belgium.be/en/about_fps/structure_and_services/general_administrations/treasury/financial-sanctions/national</a></p>
<b>8) Other exclusion grounds</b>	<i>If Enabel is carrying out a project for another funder or donor, additional grounds for exclusion are possible.</i>

ANNEX VIII: Procurement principles (for a private contracting beneficiary)
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If the implementation of an Action requires procurement by the Contracting Beneficiary, the contract must be awarded to the tender offering best value for money (i.e. the tender offering the best price-quality ratio) or, as appropriate, to the tender offering the lowest price. In doing so, the Contracting Beneficiary shall avoid any conflict of interests and respect the following basic principles:

- Where the Contracting Beneficiary does not launch an open tender procedure it shall justify the choice of tenderers that are invited to submit an offer.
- The Contracting Beneficiary shall evaluate the offers received against objective criteria which enable measuring the quality of the offers and which take into account the price (the offer with the lowest price shall be awarded the highest score for the price criterion).
- The Contracting Beneficiary shall keep sufficient and appropriate documentation with regard to the procedures applied and which justify the decision on the pre-selection of tenderers (where an open tender procedure is not used) and the award decision.

The Contracting Beneficiary may decide to apply the procedures provided for in the Belgian Public Procurement Legislation. If these procedures are correctly followed the principles above will be deemed complied with.

Enabel will carry out <ex ante/ex post> checks (see article 12) on the Contracting Beneficiary's compliance with the principles above. Failure to comply with these principles or rules would render the related expenditure ineligible for funding.

The provisions of this Annex apply *mutatis mutandis* to contracts to be concluded by the co-applicants, partners of the Contracting Beneficiary.

## Annex F1a of the Guidelines for Calls for Proposals

### CONCEPT NOTE VERIFICATION AND EVALUATION GRID

#### CALL FOR PROPOSALS: < TITLE >

#### I. IDENTIFICATION DATA

<b>Grid completed by:</b>	
<b>Call for Proposals number:</b>	
<b>Title of action:</b>	
<b>Navision no.</b>	
<b>Name of applicant:</b>	

#### II. VERIFICATION

	Yes	No
<b>1. Administrative verification</b>		
1. Instructions on the concept note have been followed.		
2. Applicant's declaration has been completed and signed.		
3. The proposal is typewritten and in the required language.		
4. One original and <X copy/copies> are attached.		
5. The required annexes are attached.		
6. An electronic version of the concept note (CD-ROM) is attached.		
<b>2. Verification of admissibility</b>		
7.		
a. The applicant (and co-applicants) fulfil the admissibility criteria referred to in point 2.1.1.		
b. Does the applicant fulfil the required professional experience? (please comment)		
8. The applicant is not on an Enabel exclusion list (exclusion ground no. 6) or on a financial sanctions list, BE, EU or UN (exclusion ground no. 7)		
9. The legal status of the applicant and co-applicants meets the guidelines' requirements.		
10. The action will be implemented in the eligible region(s).		
11. The action and activities proposed are admissible under point 2.1.3 of the guidelines.		
12. The duration of the action is between <X months> and <X months> (authorised minimum and maximum duration).		
13. The contribution requested is between the authorised minimum and maximum.		
<b>Conclusion: The concept note &lt;will/will not&gt; be taken into account for the evaluation</b> Comments:		

### III. EVALUATION

#### Scoring guidelines

This evaluation grid is divided into **sections** and **sub-sections**. For each sub-section, a score between 1 and 5 is given, in accordance with the assessment scale below:

Score	Assessment
1	Very inadequate
2	Inadequate
3	Average
4	Good
5	Very good

These scores must be added up to obtain the total score for the section in question. Total scores of sections must be added up to obtain the overall score for the concept note in question.

Relevance of the action	Max score	Score
2. To what extent is the proposal relevant to the expected objectives and results of the Call for Proposals?*	5(x2)**	
3. To what extent is the proposal relevant to the particular needs and constraints of the target country/countries or region/regions? (including synergy with other initiatives of Belgian cooperation and avoidance of duplication)	5(x2)**	
4. To what extent have the parties involved (final beneficiaries, target groups) been clearly defined and strategically selected? Have their needs been clearly defined and properly addressed in the proposal?	5	
5. Does the proposal contain specific elements that add value, such as environmental aspects, the promotion of equal opportunity and gender equality, the needs of the disabled, minority rights and rights of indigenous populations or innovation and best practices [as well as any other additional elements mentioned in section 1.2 of the guidelines for applicants]?	5	

<b>4 Total score (1)</b>		<b>30</b>	
<b>Concept of the action</b>		<b>Max score</b>	<b>Score</b>
6. To what extent is the overall concept of the action coherent? In particular, does it reflect a problem analysis; does it take into account external factors as well as the stakeholders concerned?		5(x2)**	
7. Is the action feasible and consistent with the objectives and results expected?		5(x2)**	
<b>6 Total score (2)</b>		<b>20</b>	
<b>OVERALL SCORE</b>		<b>50</b>	

\*\* Scores will be multiplied by 2 depending on their importance.

Only concept notes which have obtained a minimum score of 30 points out of 50 will be shortlisted.

And only concept notes which have obtained a minimum score of 6 out of 10 points for criterion no. 14 will be shortlisted.

**General comments (main strengths and weaknesses)**

## Annex F2a of the Guidelines for Calls for Proposals

### PROPOSAL VERIFICATION AND EVALUATION GRID

CALL FOR PROPOSAL: <TITLE>AND <Nr>

Grid completed by: \_\_\_\_\_ Date: \_\_/\_\_/\_\_

#### I. IDENTIFICATION DATA

Reference number:	
Title of action:	
Navision no.:	
Applicant (country):	
Target region/regions or country/countries:	
Amount requested	EUR _____ Local currency _____
Duration:	____ months

#### II. VERIFICATION

1. Administrative verification	Yes	No
1. The correct proposal form was used.		
2. The form is completed and signed.		
3. The form is typewritten and in the required language.		
4. One original and <X copy/copies> are attached.		
5. The required annexes are attached.		
6. An electronic version of the form (CD-ROM) is attached.		
7. Each co-applicant (where relevant) has completed and signed the mandate, which is attached.		
8. The budget is attached, balanced and presented in the required format and denominated <in EUR/national currency>.		

9. The logical framework (if requested) is completed and attached.		
<b>2. Verification of admissibility</b>		
10. The duration of the action is between <X months> and <X months> (authorised minimum and maximum duration).		
11. The costs presented in the action's budget are eligible costs		
12. The contribution requested has not been modified by more than 20% from the amount requested at the concept note stage and remains below the maximum limit.		
<b>Conclusion: proposal &lt;will/will not&gt; be taken into account in the evaluation</b> Comments:		

### III. EVALUATION

#### Scoring guidelines

This evaluation grid is divided into **sections** and **sub-sections**. For each sub-section, a score between 1 and 5 is given, in accordance with the assessment scale below:

Score	Assessment
1	Very inadequate
2	Inadequate
3	Average
4	Good
5	Very good

These scores must be added up to obtain the total score for the section in question. Total scores of sections must be carried forward to point 6 and added up to obtain the overall score for the application in question.

For each section, a box is provided for writing comments – which must concern the points covered in the section in question. Comments should be made for each **section**. If an evaluator gives a score



of 1 (very inadequate), 2 (inadequate) or 5 (very good) for a sub-section, they must justify this in the “comments” box. These boxes may be enlarged as needed.

Financial and operational capacity	Max score	Score
13. Do the applicant and, where applicable, its partners, have sufficient experience in managing projects?	5	
14. Do the applicant and, where applicable, its partners, have sufficient technical expertise? (particularly, an understanding of the issues/points to be addressed)	5	
15. Do the applicant and, where applicable, its partners, have adequate management capacity? (particularly, regarding staff, facilities and the capacity to manage the action's budget)	5	
16. Does the applicant have stable and sufficient sources of financing?	5	
<b>Total score (1)</b>	<b>20</b>	
<b>Comments:</b>		

7 If the application obtains a total score below “average” (12 points) for section (1) financial and operational capacity, it will be eliminated by the evaluation committee.

Relevance of the action	Max score	Score
17. Carry over the total score obtained in the evaluation of the concept note	30	
<b>Total score (2)</b>	<b>30</b>	
<b>Comments:</b>		

Effectiveness and feasibility of the action	Max score	Score
18. Are the activities proposed appropriate, practical and consistent with the expected objectives and results?	5	
19. Is the action plan clear and feasible?	5	
20. Does the application contain objectively verifiable indicators to evaluate the results of the action? Is an evaluation provided for?	5	
21. Is the level of involvement and participation in the action of the partners satisfactory?	5	
<b>Total score (3)</b>	<b>20</b>	
<b>Comments:</b>		

Sustainability of the action	Max score	
22. Is the action likely to have a tangible impact on the target groups?	5	
23. Is the application likely to have multiplier effects? (particularly, the likelihood of replication and extension of action results, and the distribution of information)	5	
24. Are the expected results of the proposed action sustainable? - from a financial point of view ( <i>how will the activities be funded at the end of the grant?</i> ) - from an institutional point of view ( <i>are there structures that will allow the activities to be continued at the end of the action ? Will there be local "ownership" of action results?</i> ) - at the political level (where applicable) ( <i>what will be the structural impact of the action – for example, will it lead to better laws, codes of conduct, methods, etc.?</i> ) - from an environmental point of view (where applicable) ( <i>will the action have a positive/negative impact on the environment?</i> )	5	
<b>Total score (4)</b>	<b>15</b>	
<b>Comments:</b>		
Budget and report on the cost-effectiveness of the action	Max score	
25. Are the activities adequately reflected in the budget?	5 (x 2)**	
26. Is the ratio between estimated costs and expected results satisfactory?	5	
<b>Total score (5)</b>	<b>15</b>	
<b>Comments:</b>		

\*\* score multiplied by 2 depending on its importance.

Overall score and recommendation	Max score	Score
1. Financial and operational capacity	20	
2. Relevance of the action	30	
3. Effectiveness and feasibility of the action	20	
4. Sustainability of the action	15	
5. Budget and report on the cost-effectiveness of the action	15	
<b>OVERALL SCORE</b>	<b>100</b>	
Only proposals that have achieved an overall score of 60/100 will be pre-selected		
Recommendation:	Not provisionally selected:	

	YES/NO
Supporting documents relating to the grounds for exclusion provided	

Proposals for which the requested documents have not been provided are not included in the list of successful proposals.