



The Sub-Grants Manual – SGM

CALL FOR PROPOSALS

Call for Proposal Title: Upscaling agricultural technologies to enhance productivity and incomes for smallholder farmers in Kenya

Round 1

REFERENCE NUMBER: KALRO/CS APP/SGS/01/2019

Project

AgriFI Kenya Support to KALRO for Climate Smart Agricultural Productivity Project
(AgriFI Kenya CS APP)

Contracting Authority: Kenya Agricultural and Livestock Research Organization
(KALRO)

Deadline for submission of full application: 20th September, 2019 at 5:00 p.m. (East Africa Time)

List of Abbreviations and Acronyms

AgriFI	- Agricultural Financing Programme
APRP	- Agricultural Research Productivity Project
ASALS	- Arid and Semi-arid Lands
CS APP	- Climate Smart Agricultural Productivity Project
DG	- Director General
EC	- European Commission
EDF	- European Development Fund
EU	- European Union
EUR	- European Union Currency (EUROS)
GOK	- Government of Kenya
KALRO	- Kenya Agricultural and Livestock Research Organization
KMFRI	- Kenya Marine and Fisheries Research Organization
KRDP	- Kenya Rural Development Programme
PPR	- Peste des Petits Ruminants
SCOs	- Simplified Costs

Foreword

Kenyan economy fundamentally depends on the agricultural sector, whose productivity is the mainstay for a majority of the rural population. Continued growth of the sector is thus important for improved and sustained standards of living for the population besides the support to agro- based industries. Over the years, the Kenya Agricultural and Livestock Research Organization (KALRO) has contributed to the development of agricultural technologies, innovations and management practices (TIMPS) throughout the country. These include high yielding crop varieties, improved livestock and poultry breeds, drought tolerant crops as well crops and livestock breeds that are resistant or tolerant to pests and diseases. The desired impact of these technologies in driving agricultural transformation through improved productivity has been slow. Despite many years of development support to the agricultural sector, the production systems have remained generally small scale for subsistence, rain fed and poorly mechanized. The adoption of new and scientifically verified production systems and technologies with potential for increasing yields has been inadequate.

Since its formation in 2014, KALRO has adopted a strategy of working with partners, particularly in dissemination of research findings. This has resulted in improved adoption of new technologies. Market and demand-driven research has produced the biggest successes in the recent partnership (i.e. the development of Gadam sorghum for the brewing industry and thermostable Newcastle vaccine for indigenous chicken). The EU partnership with KALRO through the grant modality has been successful under 10th EDF KRDP and is well regarded by GoK.

KALRO has received funding from the EU to implement the AgriFI Kenya support to KALRO for Climate Smart Agricultural Productivity Project (AgriFI Kenya CS APP), a five-year project under the AgriFI Development Programme. A portion of these funds will support upscaling of new and existing technologies through public-private partnerships approach via competitive sub-grants under Result area 1(b): Disseminate existing market-linked technologies research for application. The key focus will be increased adoption of technologies thus enabling farmers to take full advantage and integration into commodity value chains markets.

This Grant Manual gives step by step, the guidelines on the how the sub-granting system will be work. Chapter 1 gives the background to the project, the objectives of the call for proposals, priority themes, financial allocations and the size of the grants. Chapter 2 gives a detailed account of the rules for the call, including the eligibility criteria, how to apply and procedures to follow, the evaluation and selection criteria, the award process, notifications to applicants of the decision to award and the conditions for implementation after the award. It also gives the guidelines on the right to appeal the

award decision by the contracting authority. It is hoped that this manual will be useful to prospective applicants and those involved in the management of the subgranting system.

Director General

Acknowledgement

A debt of gratitude is owed to the Government of Kenya and the European Union (EU) for supporting development of this Sub-grant Manual (SGM). The oversight role played by the Sub-grant Award Committee of the AgriFI Kenya CS APP in reviewing the call for proposal guidelines and adopting them into a SGM is highly appreciated. We would also like to sincerely thank all those who assisted in one way or the other in preparation of the SGM. Special recognition goes to participants at the Induction and Manual Development workshop conducted at the Dairy Research Institute, Naivasha, for their resourceful contribution towards development of the manual and in particular: Dr George Keya, Dr. John Mugambi, Dr. Monicah Waiganjo, Dr. Benjamin Kivuva, Mr. Timonah Mangalla, Ms. Asenath Nyaga, Ms. Nancy Wele, Ms. Jackline Langat, Mr. Peter Nduati, and Mr. Simon Mulwa. The Director General KALRO is appreciated for logistical support to SGAC. Final appreciation is to all members of the AgriFI Kenya CS APP Project Coordination Unit for their technical input.

National Project Coordinator

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Preface

This is an open Call for Proposals, whereby all documents will be submitted together (Concept note and Full application). The evaluation process will consist of 3 steps. In **Step 1** the concept note will be evaluated consisting of a) Administrative and b) Technical evaluation. Thereafter, for the applicants who have passed Step 1, the full applications will be evaluated in **Step 2** while in **Step 3**, eligibility will be evaluated for the applications that pass step 2. Eligibility will be checked based on the supporting documents requested by the Sub Granting Authority. After the grant award by the contracting authority, a contract will be negotiated whose implementation will be based on a negotiated work plan, budget and milestone structure.

1.0 INTRODUCTION

1.1 Background

Since the year 2012, KALRO has worked along value chains to implement its research agenda. KALRO's strategy of working with partners, particularly in dissemination of research findings, has resulted in improved adoption of new agricultural technologies. Market and demand-led research has produced the biggest successes in the recent partnership (i.e. the development of Gadam sorghum for the brewing industry and thermostable Newcastle vaccine for indigenous chicken). The EU partnership with KALRO through the grant modality has been successful under 10th EDF KRDP and is well regarded by GoK. The ASAL APRP reached over 500,000 farmers who are deriving economic benefits from adoption of KALRO technologies. Among the key achievements of the project were; development and release of 9 new high yielding crop varieties adapted to the ASALs, collection and characterization of range grass ecotypes for improved variety development, identification of a thermostable Peste des Petits Ruminants (PPR) vaccine candidate for small ruminants, identification of a vaccine candidates for camel and cattle mastitis, development of a Penside diagnostic Kit for subclinical mastitis, registration of improved indigenous chicken breed, licensing of KALRO Naivasha hatchery and improvement of KALRO capacity for ASAL research. The project stepped up its research efforts not only to develop technologies to mitigate against the problems encountered in managing the ASALS but also developed a web based Knowledge-Hub (<https://www.asalkhub.kalro.org>) and three mobile apps for chicken farming, dryland crops, and range pasture seeds to enhance technology transfer. During the project period: 15,000 copies of assorted farmer extension leaflets; 1000 copies of assorted manuals; 400 copies of conference and workshop proceedings and 600 copies of video documentaries were produced and published. Over 900 downloads have been recorded on the knowledge platforms developed by the project. The CS APP will support implementation of activities that build on the achievements of the ASAL APRP.

1.2 Objectives of the programme and priority issues

1.2.1 Overall objective of the Action

The overall objective of the Action is to strengthen productive, climate change adapted and market integrated small holder agriculture aiming to reduce the national food deficit and improve agriculture sector competitiveness.

1.2.2 Specific Objective

The specific objective of the action is to develop and adopt climate change adapted and innovative agricultural technologies with potential for market integration.

The CS APP will support implementation of activities that build on the achievements of the ASAL APRP and will be targeted at achieving the following results:

Result area 1 (a): New drought resistant and more yielding climate smart technologies developed
This will address specific productivity constraints facing farmers and whose solution will unlock farmer integration in commodity markets

Result area 1(b): Small holder farmers adopt existing technologies developed by KALRO in value chains in Kenya to enhance production and value addition.

This will cover upscaling of new and existing technologies through public-private partnerships approach via competitive sub-grants. The key focus will be increased adoption of technologies thus enabling farmers to take full advantage and integration into commodity value chains markets.

1.2.3 Objectives of the call for grant proposals

The **global objective** of this call for proposals is to promote adoption of existing and new KALRO technologies through public private partnerships.

The **specific objective** of this call for proposals is to identify partners to upscale and promote adoption of existing proven and climate smart technologies which have been developed by KALRO and other partners.

1.2.4 The priorities of this call for proposals

Priority areas for this call are:

- a) Actions that promote adoption of technologies to improve productivity in identified value chains
- b) Actions that promote agribusinesses along the identified value chains
- c) Actions that promote value addition, food and nutritional security in identified value chains
- d) Actions that lead to job creation and increased incomes in identified value chains

Type of activities

- Mobilisation and awareness creation among stakeholder and beneficiaries
- Capacity building of beneficiaries (e.g. on husbandry and business skills) to enhance adoption and commercialization of the technologies
- Expand production, utilization and value addition of the new technologies
- Develop and implement a sustainable market-led system or model for commercialization of the technologies
- Job creation along selected value chains
- Undertake monitoring, evaluation and impact assessment of the action
- Document lessons learnt and make recommendations for sustainability and growth
-

1.2.5 Expected outputs and impact indicators

- No of farmers reached by the project
- No. of farmers reached by the project (disaggregated by gender) adopt new technologies
- No. of farmers (disaggregated by gender) linked to markets and deriving economic benefits
- No. of farmers and value chain actors linked and derive services from financial institutions
- Yield increase in target crop and livestock value chains
- Increase in marketed share of production in target value chains
- Increase in number of people employed in target value chains
- Increase in types of jobs (diversity) created in target value chains
- No. of innovation platform established and operating for each of the target value chains
- Increase in number of farmers in targeted value chains accessing and using production inputs (e.g. breeding stock, seeds, fertilizer etc.)

- No. of farmers and other stakeholders receiving capacity building/training on new technologies and business development along target value chains
- No of farmers participating in exchange learning tours and number of tours conducted for each target value chain
- Increase in farmer incomes resulting from the action

These indicators must be stated and quantified in the log frame (the Annex A2) of the application form

Note: 1: Successful applicants will be required to undertake monitoring, evaluation and impact assessment of the action and Document lessons learnt and make recommendations for sustainability and growth on quarterly basis. However, AgriFI CS APP will be responsible for overall Monitoring and evaluation of the sub-grant projects.

Note 2: Those proposals with activities that promote value chain actions defined along the continuum from pre-production, production, processing, storage, trading, logistics and consumption have the highest chance of winning. The action will also be expected to facilitate acquisition of licenses and permits from technology providers and support knowledge driven initiatives including extension and exposure visits.

Actions can be implemented by one organization or multiple organisations in partnership as described section 2 of these guidelines.

1.3 Financial allocation provided by the contracting authority

The overall indicative amount made available under the call for proposals is EUR 3,000,000 which is foreseen to cater for a maximum of 50 sub-grants. This allocation will be in two main phases. First phase will be in year 1 and Phase 2 will be year 2. During the first year only a maximum EUR 1,500,000 (25 sub-grants) will be awarded. The Contracting Authority reserves the right not to award all available funds.

1.3.1 Indicative allocation of funds by lot/ geographical distribution

The following Lots have been identified according to the technology to be disseminated:

Lot 1: Disseminating four new high nutrient rich and high yielding bean varieties. These varieties are Angaza, Metameta, Nyota and Faida.

- Lot 2: Disseminating three new high yielding green gram varieties namely - Ndengu Tosha, Biashara and Karembo
- Lot 3: Disseminating two new grain amaranth varieties, TerereSmart and KATGOLD
- Lot 4: Disseminating a new white sorghum variety (KM 32 -1) for food and with high malting quality
- Lot.5: Disseminating five new cowpea varieties resistant to parasitic weeds. These varieties are Kunde Tumaini, Kunde Tamu, Faulu, Kunde Soko and Kat-Kunde.
- Lot 6: Disseminating integrated Pest Management (IPM) technologies for control of fruit fly and seed weevil in mangoes.
- Lot 7: Disseminating integrated Management technologies for control of pests and disease losses in Avocados.
- Lot 8: Disseminating improved Cashew nut production and management technologies
- Lot 9: Disseminating improved fish rearing technologies
- Lot 10: Disseminating small ruminant technologies
- Lot 11: Disseminating grass ecotypes for pasture production, range reseeding and rehabilitation of degraded rangeland - *Cenchrus ciliaris*, *Chloris roxburghiana*, *Eragrostis superba*, Rhodes grass and *Enteropogon macrostachyus*
- Lot 12: Disseminating improved camel management and production technologies
- Lot 13: Upscaling Kalro improved indigenous chicken

Note: Maximum allocation per subgrant in each of the Lots will be EURO 60,000 excluding Counterpart contribution. The maximum number of subgrants per Lot are given section 2.1.4.

KALRO and her partners will provide and backstop the technological packages for upscaling along the selected value chains. List and description of technological packages can be found at KALRO website: www.kalro.org and from the respective developing KALRO Institute/Centre. It is expected that actions under all the lots will strengthen capacity of rural communities to access and adopt KALRO technologies and subsequently result in increased production and incomes. Priority will be given to proposals presenting innovative approaches and are need based. Given that this is a competitive process, equity distribution will be dependent upon the submission of high quality applications.

Note: If the allocation indicated for a specific lot cannot be used due to insufficient quality or number of proposals received, the contracting authority reserves the right to reallocate the remaining funds to (an) other lot(s).

1.3.2 Size of grants

Any grant requested under this call for proposals must fall between a minimum of EUR 30,000 and maximum of EUR 60,000. Also, any grant requested under this call for proposals must fall between minimum of 50 % and a maximum of 90% of the total eligible costs of the action (see also section 2.1.5). The grant may cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the lead applicant must justify full financing in Section 2.1.6 of ANNEX A2 of the grant application form. The validity of the justification provided will be examined during the evaluation procedure. The absence of any justification may lead to the rejection of the application.

2. RULES FOR THIS CALL OF PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the practical guide, which is applicable to the present call (available on the internet at this address <http://ec.europa.eu/europeaid/prag/document.do?locale=en>).

2.1 Eligibility criteria

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The ‘lead applicant’, i.e. the entity submitting the application form (2.1.1),
- If any, its co-applicant(s) (where it is not specified otherwise the lead applicant and its co-applicant(s) are hereinafter jointly referred as ‘applicant(s)’) (2.1.1), and
- If any, affiliated entity (ies) to the lead applicant and/or to a co-applicant(s). (2.1.2);

(2) the actions:

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

(3) the costs:

- Types of cost that may be taken into account in setting the amount of the grant (2.1.5).

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

Lead applicant

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

- Be a legal person or an entity without legal personality¹ or a natural person and
- Be non-profit-making and
- Be a specific type of organisation such as: **non-governmental organisation, faith based organization, public sector operator such as, a cooperative society, farmer association, Common Interest group (CIG), Community based Organization (CBO), international (inter-governmental) organisation** as defined by Article 43 of

¹ [Grant applications may be eligible if submitted by entities which do not have legal personality under the applicable national law, on the condition that the representatives of that applicant can prove that they have the capacity to undertake legal obligations on behalf of the applicant, and that they offer financial and operational guarantees equivalent to those provided by legal persons.]

the rules of application of the EU Financial Regulation² and be established in³ a Member State of the European Union.

- be duly incorporated in Kenya and operating under the applicable Kenya law;
- be compliant with all national and local laws and regulations including but not limited to tax regulation, health and safety and environmental standards;

Note: Government bodies are not eligible to apply as lead applicants. However, they can contribute to projects as co-applicants, affiliates or associates.

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

- a) it is bankrupt, subject to insolvency or winding-up procedures, where its assets are being administered by a liquidator or by a court, where it is in an arrangement with creditors, where its business activities are suspended, or where it is in any analogous situation arising from a similar procedure provided for under national laws or regulations;
- b) it has been established by a final judgment or a final administrative decision that the applicant is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the law of the country in which it is established, with those of the country in which the European commission delegation are located or those of the country of the performance of the contract;
- c) it has been established by a final judgment or a final administrative decision that the economic operator is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the applicant belongs, or by having engaged in any wrongful conduct which has an impact on its professional credibility where such conduct denotes a wrongful intent or gross negligence, including, in particular, any of the following:
 - fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract;

2 [International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations.]

3 To be determined on the basis of the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

- entering into agreement with other economic operators with the aim of distorting competition;
- attempting to influence the decision-making process of the Sub Granting Authority during the procurement procedure;
- attempting to obtain confidential information that may confer upon it undue advantages in the procurement procedure;

If KALRO becomes aware of any situation of exclusion and this situation is confirmed, the relevant entity will be rejected from the procedure.

Lead applicants, co-applicants, affiliated entities and, in case of legal entities, persons who have powers of representation, decision-making or control over the lead applicant, the co-applicants and the affiliated entities are informed that, should they be in one of the situations of early detection or exclusion listed in section 2.1.1(2) above, personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract.

In ANNEX A2 section 5 of the Full Proposal grant application form (‘declaration(s) by the lead applicant’), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity (ies) are not in any of these situations.

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

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

Co-applicant(s)

Co-applicants participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the lead applicant.

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

Co-applicants must sign the mandate in ANNEX A2 Section 5.2 of the grant application form.

(3) Applicants included in the lists of EU restrictive measures at the moment of the award decision cannot be awarded the contract⁴.

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

⁴ The updated lists of sanctions are available at www.sanctionsmap.eu.

Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

2.1.2 Affiliated entities

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

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

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

This structural link encompasses mainly two notions:

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

Entities affiliated to an applicant may hence be:

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

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

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

What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

- Entities that have entered into a (procurement) contract or subcontract with an applicant, act as concessionaires or delegates for public services for an applicant,
- Entities that receive financial support from the applicant,

- Entities that cooperate on a regular basis with an applicant on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract (unless this consortium agreement leads to the creation of a ‘sole applicant’ as described above).

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

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

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

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

Affiliated entity(ies) must satisfy the same eligibility criteria as the lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement ANNEX A2 Section 5.3 of the grant application form.

2.1.3 Associates and contractors

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

- Associates

Other organisations or individuals may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1. Associates must be mentioned in **ANNEX A2 Section 4** of the full application form — ‘Associates participating in the action’ — of the grant application form.

- Contractors

The beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot be also contractors in the project. Contractors are subject to the KALRO and EU procurement rules.

2.1.4 Eligible actions: actions for which an application may be made

Definition:

An action is composed of a set of activities.

Duration

The initial planned duration of an action may not be lower than 24 months nor exceed 36 months.

Sectors or themes

Themes for the action have been identified in section 1 of this call for proposals.

Location

Actions must take place in one or more of the following counties depending on the business case that will be made.

Lot No	Title of the Lot	Possible counties	Possible number of grants
1	Disseminate four new high nutrient rich and high yielding varieties (Angaza, Metameta, Nyota and Faida)	Makueni, Nyeri, Nakuru, Kisumu, Siaya, Bungoma, Kakamega, Nakuru, Taita, Bomet, Trans-Nzoia	5
2	Disseminate three new high yielding green gram varieties namely (Ndengu Tosha, Biashara and Karembo)	Makueni, Machakos, Kitui and Tharaka	2
3	Disseminate two new grain amaranth varieties(TerereSmart and KATGOLD)	Makueni, Kitui, Murang'a, Kiambu, Homabay, Kisii, Migori and Nyamira.	3
4	Disseminate a new white sorghum variety (KM 32 -1) for food and with high malting quality	Makueni, Machakos, Kitui, Tharaka Nithi, Nakuru (Naivasha), Laikipia, Bungoma, Kakamega, Kisumu, Homabay, Bomet, Siaya	4

5	Disseminate five new cowpea varieties (Kunde Tumaini, Kunde Tamu, Faulu, Kunde Soko and Kat-Kunde) resistant to parasitic weeds.	Makueni, Kitui, Embu (Mbeere), Machakos, Nakuru, Baringo, Kilifi, Taita Taveta and Kakamega	2
6	Disseminate integrated Pest Management (IPM) technologies for control of fruit fly and seed weevil in mangoes	Kitui, Tharaka Nithi, Embu, Kwale, Makueni, Machakos	3
7	Disseminating integrated Management technologies for control of pests and disease losses in Avocados.	Murang'a, Kiambu, Embu, Meru, Kisii, Nyamira, Trans-Nzoia, Bomet, Kakamega, and Vihiga	3
8	Disseminating improved Cashewnut production and management technologies	Kilifi, Kwale, Lamu and Mombasa	1
9	Disseminating improved fish rearing technologies	Busia, Kisumu, Homabay, Siaya, Nyeri, Murang'a, Kakamega, Vihiga, Migori, Kirinyaga, Kilifi, Kwale	3
10	Disseminate small ruminant technologies	Marsabit, Isiolo, Garissa, Mandera, Turkana, Wajir, West Pokot, Baringo, Elgeyo Marakwet, Samburu, Kajiado, Narok	5
11	Disseminate grass ecotypes for pasture production, range reseeded and	Kajiado; Makueni, Narok, Taita Taveta, Machakos, Baringo	3

	rehabilitation of degraded rangeland		
12	Disseminating improved camel management and production technologies	Marsabit, Isiolo, Garissa, Mandera, Turkana and Wajir, West Pokot, Baringo and Elgeyo Marakwet	4
13	Up-scaling Kalro improved indigenous chicken	Coast region (Mombasa, Kwale, Kilifi, Tana River, Lamu, Taita Taveta); Mount Kenya (Nyandarua, Nyeri, Laikipia); Kiambu / Nairobi (Nairobi, Kiambu, Murang'a; South rift (Kericho, Bomet); Nyanza (Migori, Homa bay, Kisumu, Siaya, Kisii, Nyamira; North Rift (Trans-Nzoia, Nandi, Uasin Gishu, Elgeyo Marakwet, West Pokot); Western (Kakamega, Vihiga, Bungoma, Busia); Upper Eastern (Embu, Meru, Tharaka Nithi); Lower Eastern Kenya (Machakos, Makueni, Kitui)	12

Note: Applicants whose application covers wider geographical area (several counties) per lot have a higher chance of winning. If we have winning applicants sharing the same county or geographical location per lot, they may be asked to consider working in a different region or county during the award negotiation stage. This is to avoid duplication of effort.

Types of action

The type of actions supported under this call are elaborated in sections 1.1.3 and 1.2

The following types of action are ineligible:

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

Types of activity

The following types of activities will be supported

- Mobilization of farmers and stakeholders for upscaling of technologies
- Production of dissemination materials
- Enhancing farmer access to and use of production inputs
- Quality seed production for the released varieties
- Enhancing input availability and use in the value chain
- Capacity building on production, management, postharvest management
- Organizing growers into farmer Common Interest Groups (CIGs)
- Capacity building on collective marketing
- Effective linkages of farmers to markets and credit facilities
- Dissemination of technologies through on-farm trials, demonstrations and field days
- Establishing/strengthening and operationalize innovation platforms in specific value chains
- Enhancing value addition, nutritional security and job creation in the specific product value chain
- Agribusiness development along specific value chains
- Promote farmer to farmer learning exchange tours
- Planning, monitoring, evaluation and reporting on project deliverables (indicators)
- Sustainable natural resource utilization and management
- Documentation of lessons learnt

Financial support to third parties⁵

Applicants shall not propose financial support to third parties.

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

In compliance with the present guidelines and notably of any conditions or restrictions in this Section, the lead applicant should define mandatorily in Section 2.1.1 of the grant application form:

⁵ These third parties are neither affiliated entity(ies) nor associates nor contractors.

- (i) the overall objectives, the specific objective(s) and the outputs⁶ (i.e. the results) to be achieved with the financial support
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support
- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.

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

Visibility

The applicants must take all necessary steps to publicise the fact that the European Union has financed or co-financed the action. As far as possible, actions that are wholly or partially funded by the European Union must incorporate information and communication activities designed to raise the awareness of specific or general audiences of the reasons for the action and the EU support for the action in the country or region concerned, as well as the results and the impact of this support.

Applicants must comply with the objectives and priorities and guarantee the visibility of the EU financing (see the Communication and Visibility Manual for EU external actions specified and published by the European Commission at http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en).

Number of applications and grants per applicants / affiliated entities

- The lead applicant may not submit more than one application per lot under this call for proposals.
- The lead applicant may not be awarded more than three grant(s) under this call for proposals.
- The lead applicant may not be a co-applicant or an affiliated entity in another application of the same lot at the same time.
- A co-applicant/affiliated entity may not be the co-applicant or affiliated entity in more than one application per lot under this call for proposals.
- A co-applicant/affiliated entity may not be awarded more than one grant per lot under this call for proposals.

⁶ As per OECD DAC definition, the term 'results' includes: 'impact' (overall objective), 'outcome(s)' (specific objective(s) and 'output(s)').

2.1.5 Eligibility of costs

Only 'eligible costs' can be covered by a grant. The categories of costs that are eligible and non-eligible are indicated below.

Eligible direct costs

Eligible costs must satisfy the following criteria:

- Incurred during the implementation of the action. Except costs of final expenditure Verification and Final Evaluation.
- Indicated in the estimated overall budget of the action.
- Be necessary for the implementation of the project.
- Be identifiable and verifiable, recorded in the books of accounts of the beneficiary
- Comply with the requirements of applicable tax and social legislation.
- They are real costs, reasonable, justified and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

The applicants (and where applicable their affiliated entities) agree that the expenditure verification(s) or audits will be carried out by the Contracting Authority or an agent contracted by the Contracting authority.

Salary costs of the personnel of national administrations may be eligible to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action were not undertaken.

Direct costs

The direct costs include Human Resources, Travel, Furniture, Equipment, Supplies and Services.

Contingency reserve

The budget may include a contingency reserve not exceeding 5 % of the estimated direct eligible costs. It can only be used with the **prior written authorisation** of the contracting authority.

Eligible indirect costs

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding, but the total must not exceed 7 % of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the flat rate has been fixed in the special conditions of the grant contract, no supporting documents need to be provided.

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

Contributions in kind

Contributions in kind mean the provision of goods or services to beneficiaries or affiliated entities free of charge by a third party. As contributions in kind do not involve any expenditure for beneficiaries or affiliated entities, they are normally not eligible costs.

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

Contributions in kind from third parties in the form of volunteers' work, valued on the basis of unit costs defined and authorised by the contracting authority, shall be presented in the estimated budget, separately from the other eligible costs (i.e. as an accepted costs together with other contributions in kind).

Volunteers' work may comprise up to 50 % of the co-financing. For the purposes of calculating this percentage, contributions in kind and other co-financing shall be based on estimates provided by the applicant.

When the estimated costs include volunteers' work, the grant shall not exceed the estimated eligible costs other than the costs for volunteers' work.

**For this call for proposals, contributions in kind may not be treated as co-financing
Ineligible costs**

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- purchases of land or buildings
- currency exchange losses;
- credit to third parties
- salary costs of the personnel of national administrations

2.1.6 Ethics clauses and Code of Conduct

a) Absence of conflict of interest

The applicant must not be affected by any conflict of interest and must have no equivalent relation in that respect with other applicants or parties involved in the actions. Any attempt by an applicant to obtain confidential information, enter into unlawful agreements with competitors or influence the evaluation committee or the contracting authority during the process of examining, clarifying,

evaluating and comparing applications will lead to the rejection of its application and may result in administrative penalties according to the Financial Regulation in force.

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

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

c) Anti-corruption and anti-bribery

The applicant shall comply with all applicable laws and regulations and codes relating to anti-bribery and anti-corruption. For the purposes of this provision, ‘corrupt practices’ are the offer of a bribe, gift, gratuity or commission to any person as an inducement or reward for performing or refraining from any act relating to the award of a contract or execution of a contract already concluded with the contracting authority.

d) Unusual commercial expenses

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

e) Error, irregularities or fraud

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

2.2 How to apply and the procedures to follow

2.2.1 Application forms

Applications must be submitted in accordance with the instructions on the concept note (**ANNEX A1**) and the full applications (**ANNEX A2**) in the grant application form annexed to these guidelines

Applicants must apply in English.

Any error or major discrepancy related to the points listed in the instructions on the concept note or any major inconsistency in the application e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

Please note that only the grant application form and the published annexes which have to be filled in (including budget, logical framework and Organization data form) will be evaluated. It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action.

With the application the lead applicant also has to submit completed organisation data form (**Annex F**) for the lead applicant, each (if any) co-applicants and each (if any) affiliated entities. No additional annexes should be sent.

2.2.2 Where and how to send applications

Applications must be submitted in one original and 3 copies in A4 size, **each bound**. The complete application form (**ANNEX A1: concept note and ANNEX A2: full application**), **budget (ANNEX B), logical framework (ANNEX C) and organization data form (ANNEX F)** must also be supplied in electronic format (CD-ROM as separate files but in a single folder). The electronic file must contain exactly the same application as the paper version enclosed.

The checklist (Section 6 of ANNEX A2 of the grant application form) and the declaration by the lead applicant (Section 5 of ANNEX A2 of the grant application form) must be stapled separately and enclosed in the envelope.

Where a lead applicant sends several different applications (if allowed to do so by the guidelines of the call), each one has to be sent separately.

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

Applications must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) at the address below:

Postal address
**Director General,
Kenya Agricultural and Livestock
Research Organization,
Location: Kaptagat Rd, Loresho
Nairobi Kenya**

**Post Office: PO Box 57811 - 00200,
City Square, NAIROBI, Kenya
Room: 115 Ground floor**

Address for hand delivery

**Director General,
Kenya Agricultural and Livestock
Research Organization,
Location: Kaptagat Rd, Loresho
Nairobi Kenya**

**Post Office: PO Box 57811 - 00200
City Square, NAIROBI, Kenya
KALRO Mail office Room: 115
Ground floor**

Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

Lead applicants must verify that their application is complete using the checklist (**Section 6 of ANNEX A2** of the grant application form). **Incomplete applications may be rejected.**

2.2.3 Deadline for submission of applications

The applicants' attention is drawn to the fact that there are two different systems for sending applications/full proposals: one is by post or private courier service, the other is by hand delivery.

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

[The deadline for the submission of applications is 20/09/2019 as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 20/09/2019, 5.00 p.m. local time, as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.]

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

2.2.4 Further information about applications

An information session (if any) on this call for proposals will be held between 16th **August 2019 and 30th August 2019. Specific dates, times and locations will be posted on the KALRO website at: www.kalro.org**

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

E-mail address: **csapp@kalro.org**

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

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

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

ALL questions, together with the answers, will be published on KALRO Website at: **www.kalro.org**

It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published and any other information related to the call for proposals

2.3 Evaluation and selection of applications

Applications will be examined and evaluated by the contracting authority with the possible assistance of external assessors. All applications will be assessed according to the following steps and criteria.

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in Section 2.1, the application will be rejected on this sole basis. Evaluation will be formed in three stages as follows:

STEP 1 - Opening and administrative check and Concept note evaluation

STEP 2 – Evaluation of the full application

STEP 3 - Eligibility verification, decision and notification

STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

During the opening and administrative check the following will be assessed:

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the application satisfies all the criteria specified in the checklist in Section 6 of ANNEX A2 of the grant application form. This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

The concept notes that pass this check will be evaluated on the relevance and design of the proposed action.

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

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

Scores*

1. Relevance of the action	Sub-score	20
1.1 How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? Are the expected results of the action aligned with the priorities defined in the guidelines for applicants (section 1.2)?	5	
1.2 How relevant is the proposal to the particular needs and constraints of the target country(ies), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)?	5	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs and constraints been clearly defined and does the proposal address them appropriately?	5	
1.4 Does the proposal contain particular added-value elements (e.g. innovation, best practices)? <i>[and the other additional elements indicated under 1.2. of the guidelines for applicants]</i>	5	
2. Design of the action	Sub - scor e	30
2.1 How coherent is the overall design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results?	5x2 **	
2.2 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5	
2.3 Does the design take into account external factors (risks and assumptions)?	5	
2.4 Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic?	5	
2.5 To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, youth, combating HIV/AIDS (if there is a strong prevalence in the target country/region)?	5	
TOTAL SCORE		50

[* Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses more than the required minimum number of priorities as indicated in Section 1.2 (objectives of the programme) of these guidelines.]

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

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

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

Secondly, the number of concept notes will be reduced, taking account of the ranking, to the number of concept notes whose total aggregate amount of requested contributions is equal to at least 200% of the available budget for this call for proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot, where relevant.

After the evaluation of concept notes, the contracting authority will send letters to all lead applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the concept note was evaluated and the results of that evaluation: The evaluation committee will then proceed with the lead applicants whose proposals have been pre-selected.

(1) STEP 2: EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- If the full application satisfies all the criteria specified in the checklist (**Section 6 of ANNEX A2** of the grant application form). This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

The full applications that pass this check will be further evaluated on their quality, including the proposed budget and capacity of the applicants and affiliated entity (ies). They will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

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

- have stable and sufficient sources of finance to maintain their activity throughout the proposed action and, where appropriate, to participate in its funding (this only applies to lead applicants);
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This applies to applicants and any affiliated entity (ies).

The award criteria help to evaluate the quality of the applications in relation to the objectives and priorities set forth in the guidelines, and to award grants to projects which maximise the overall effectiveness of the call for proposals. They help to select applications which the contracting authority can be confident will comply with its objectives and priorities. They cover the relevance

of the action, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness.

Scoring:

The evaluation grid is divided into Sections and subsections. Each subsection will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation grid

Section	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicants and, if applicable, their affiliated entity (ies) have sufficient in-house experience of project management?	5
1.2 Do the applicants and, if applicable, their affiliated entity (ies) have sufficient in-house technical expertise? (especially knowledge of the issues to be addressed)	5
1.3 Do the applicants and, if applicable, their affiliated entity (ies) have sufficient in-house management capacity? (Including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the lead applicant have stable and sufficient sources of finance?	5
2. Relevance	20
<i>Score transferred from the Concept Note evaluation</i>	
3. Design of the action	15
3.1 How coherent is the design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? Are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)?	5
3.2 Does the proposal/Logical Framework include credible baseline, targets and sources of verification? If not, is a baseline study foreseen (and is the study budgeted appropriately in the proposal)?	5
3.3 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5
4. Implementation approach	15
4.1 Is the action plan for implementing the action clear and feasible? Is the timeline realistic?	5
4.2 Does the proposal include an effective and efficient monitoring system? Is there an evaluation planned (previous, during or/and at the end of the implementation)?	5

4.3	Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
5. Sustainability of the action		15
5.1	Is the action likely to have a tangible impact on its target groups?	5
5.2	Is the action likely to have multiplier effects, including scope for replication, extension, capitalisation on experience and knowledge sharing?	5
5.3	Are the expected results of the proposed action sustainable?: - Financially (<i>e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs</i>) - Institutionally (<i>will structures allow the results of the action to be sustained at the end of the action? Will there be local 'ownership' of the results of the action?</i>) - At policy level (where applicable) (<i>what will be the structural impact of the action — e.g. improved legislation, codes of conduct, methods</i>) - Environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	5
6. Budget and cost-effectiveness of the action		15
6.1	Are the activities appropriately reflected in the budget?	/ 5
6.2	Is the ratio between the estimated costs and the results satisfactory?	/ 10
Maximum total score		100

If the total score for Section 1 (financial and operational capacity) is less than 12 points, the application will be rejected. If the score for at least one of the subsections under Section 1 is 1, the application will also be rejected.

If the lead applicant applies without co-applicants or affiliated entities the score for point 3.3 shall be 5 unless the involvement of co-applicants or affiliated entities is mandatory according to these guidelines for applicants.

Provisional selection

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

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

The eligibility verification will be performed on the basis of the supporting documents requested by the contracting authority (see Section 2.4). It will by default only be performed for the applications that have been provisionally selected according to their score and within the available budget for this call for proposals.

- The declaration by the lead applicant (Section 5 of A2 of the grant application form) will be cross-checked with the supporting documents provided by the lead applicant. Any missing

supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.

- The eligibility of applicants and the affiliated entity (ies) will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

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

2.4 Submission of supporting documents for provisionally selected applications

A lead applicant whose application has been provisionally selected or placed on the reserve list will be informed in writing by the contracting authority. It will be requested to supply the following documents in order to allow the contracting authority to verify the eligibility of the lead applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies):

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity⁷. Where the contracting authority has recognised the lead applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime⁸. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. The external audit report is not required from (if any) the co-applicant(s) or affiliated entities.

This obligation does not apply to public bodies and international organisations provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the practical guide (<http://ec.europa.eu/europeaid/companion/document.do?nodeNumber=19&locale=en>)

This obligation does not apply to secondary and higher education establishments.

3. A copy of the lead applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)⁹. A copy of the

⁷ Where the lead applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

⁸ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

⁹ This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to Section 2.4.2.

latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).

4. Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the contracting authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.]
5. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached as Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.
6. Entities without legal personality must, to the extent possible, submit the documentation listed above. In addition, a letter must be provided by the legal representative certifying his/her capacity to undertake legal obligations on behalf of the entity.

Documents must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals.

Where such documents are not in one of the official languages of the European Union [or in the language of the country where the action is implemented], a translation into of the relevant parts of these documents proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, must be attached for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than the/one of the language(s) of the call for proposals, it is strongly recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into <the/one of the language(s) of the call for proposals.

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

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

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

2.5 Notification of the Contracting Authority's decision

2.5.1 Content of the decision

The lead applicants will be informed in writing of the Contracting Authority's decision concerning their application. **The decision of the Contracting Authority at any stage of the award process will be FINAL. The Contracting Authority reserves the right to perform due diligence checks on the winning applicants before final award. Applicants whose due diligence checks will be found not to be in conformity with the application details and documents provided will be rejected.**

2.5.2 Indicative timetable

	DATE	TIME
1. Official Public Advert for Call	06/08/2019	-
2. Information meeting (if any)	16/08/2019 to 30/08/2019	-
3. Deadline for requesting any clarifications from the contracting authority(21 days before submission deadline)	30/08/2019	4 pm
4. Last date on which clarifications are issued by the contracting authority(11 days before submission deadline)	10/09/2019	4 pm
5. Deadline for submission of applications	20/09/2019	5 pm
6. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	4/10/2019	5 pm
7. Information to lead applicants on the evaluation of the full applications (Step 2) and ask for eligibility support documents	25/10/2019	5 pm
8. Notification of award (after the eligibility check) (Step 3)	8/11/2019	5 pm

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

This indicative timetable refers to provisional dates (except for dates 2, 3, and 4) and may be updated by the contracting authority during the procedure. In such cases, the updated timetable will be published on KALRO website : <https://www.kalro.org>

2.6 Conditions for implementation after the contracting authority's decision to award a grant

Following the decision to award a grant, the beneficiary (ies) will be offered a contract based on the standard grant contract for EU supported external actions and on a negotiated work plan, budget and milestone structure.

Implementation contracts

Where implementation of the action requires the beneficiary (ies) and its affiliated entity(ies) (if any) to award procurement contracts, those contracts must be awarded in accordance with KALRO and EU procurement rules.

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

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

Subcontracting: Subcontracting is the implementation, by a third party with which one or more beneficiaries have concluded a procurement contract, of specific tasks forming part of the action as described in annex to the grant contract

3.0 Documents to be completed- *To be downloaded from KALRO Website: www.kalro.org*

Annex A1: Concept Note (word format)

Annex A2: Full Proposal (word format)

Annex B: Budget (Excel format)

Annex C: Logical framework (Word format)

Annex D: Legal Entity sheet (PDF format)

Annex E: Financial application form (PDF format)

Annex F: Organization data form pdf (**fill off line, print and attach the printout to the application**)

4.0 Documents for information only

Annex G: Standard grant contract form Available on:
https://ec.europa.eu/europeaid/work/procedures/index_en.htm_en

A Users' Guide

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

Financial Toolkit

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

Annex: AgriFI CS APP Sub-grant Award flow chart

