



REPUBLIC OF UGANDA



EUROPEAN UNION

Contracting authority: National Authorising Authority- Ministry of Finance, Planning and Economic Development

Project Supervisor: Ministry of Agriculture Animal Industry and Fisheries

Developing a Market – Oriented and Environmentally Sustainable Beef Meat Industry in Uganda Project (MOBIP)

Guidelines
for grant applicants

Budget line(s)

Financing Agreement – UG/FED/037-994 in the 11th European Development Fund

Multi-annual Programme Estimate (MAPE) - FED 2018/397425

Reference: EuropeAid/161528/Indirect Management/ACT/UG-Call for proposals Number 01, 2018

Deadline for submission of concept note: 21st December 2018

NOTICE

This is a restricted call for proposals. In the first instance, only concept notes (Part A of the grant application form) must be submitted for evaluation. Thereafter, lead applicants who have been pre-selected will be invited to submit a full application. After the evaluation of the full applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the contracting authority and the signed ‘declaration by the lead applicant’ sent together with the full application.

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1. “Developing a Market-Orientated and Environmentally Sustainable Beef Meat Industry in Uganda” (MOBIP)

1.1. Background

Uganda Vision 2040 has the primary aim of seeing Uganda become a middle-income country by 2040. To bring about this Vision the Government of Uganda (GoU) has developed a number of supporting plans, policies and strategies, but all fall within the National Development Plan II (NDP2). The NDP2 mentions a number of strategic agricultural commodity options which it believes, if supported and grown, can help move Uganda towards its Vision 2040. One of the commodity sectors mentioned is the beef sub-sector. However, for this to be achieved a number of sector challenges need to be addressed including; outdated and non-enforced policies, poor production, productivity and quality assurance practices, and marketing and processing facilities which do not meet current international standards, thus this call for proposals.

In response to the above the European Union (EU), as a result of a process of consultation with the Government, MAAIF and line ministries, as well as other Development partners, identified the opportunity of the beef sector within the National Indicative Plan (NIP) for Uganda as a priority commodity for funding. It agreed to support the 5-year “Developing a Market-Orientated and Environmentally Sustainable Beef Meat Industry in Uganda” (MOBIP) project with 15 million Euro efforts to be implemented by the Ministry of Agriculture, Animal Industries and Fisheries (MAAIF). Specifically, both the GoU and the **EU have targeted the beef meat value chain as one of the strategic fields of intervention**. With regards to the former, the NDP II enhances the strategic importance of taking into consideration the value chain approach for priority commodities. Beef/livestock is one of the priority commodities that MAAIF has identified within the Agriculture Sector Development Strategy and Investment Plan (DSIP) 2010/11 – 2014/15, and the new ASSP - 2015/16 – 2020/21 confirm that beef cattle will continue to be a priority commodity for the GoU. MOBIP is the consequence of these priorities.

The programme is relevant for the agenda 2030. It contributes primarily to the progressive achievement of the SDG targets of the goal 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture, but also promotes progress towards MDG 1- End poverty in all its forms everywhere, 8-promote inclusive and sustainable economic growth, employment and decent work for all, 13-take urgent action to combat climate change and its impact. The project plans to address this through the use of a holistic value chain approach in targeted geographical areas (DCZ 1&2) in order to increase the performance of the Ugandan beef meat industry. The programme will support both the public and private sectors – along with civil society - to work together towards the promotion of an environmentally sustainable meat industry, geared towards the domestic and regional export markets. Animal welfare will be prioritised, along with gender-responsive value chains and a consideration of how to minimise the environmental impact of livestock.

This call for proposals is part of the implementation of this program.

1.2. Objectives of the programme and priority issues

The purpose of the programme is to: "Support both the public and the private sector, with a focus on smallholders and small beef-related agribusiness, to work together towards promotion of an environmentally-sustainable, climate-resilient, low-emission, local and regional meat industry - which respects as far as possible animal welfare practices and is responsive to the different needs of women and men, mainly in terms of food security, nutrition, and social welfare".

The **global objective** of this call for proposals is: "To contribute to a competitive, profitable, job-intensive, gender responsive and environmentally-sustainable agricultural sector in Uganda, in order to alleviate poverty and improve food and nutrition security".

The **specific objective(s)** of this call for proposals is/are: "Use a holistic value chain approach in the targeted geographical areas, to leverage an increase in the overall performance (in terms of production volume,

quality, value addition, increased employment and environmental sustainability) of the Ugandan meat value-chain".

The priority(ies) of this call for proposals is/are divided into **four lots** reflecting these specific objectives:

Lot 1: Promote animal disease control and prevention in the targeted areas

This activity will be achieved through collaboration with the local authorities and private animal health services for vaccination and vector control, renovation and installation of vector control infrastructure, certification and issuance of veterinary health certificates, imposing hygiene measures and protection equipment within the production units and proper disposal of biohazard/chemical waste (syringes, spray and dip chemicals, etc.)

Lot 2: Improve pasture (Rangeland) and water management in a climate-smart way

The proposed actions should improve pasture by involving both small and large scale livestock producers in trainings on best practices (including sell of excess livestock to reduce overstocking and overgrazing, encourage diversification of economic activities, agro-ecology/conservation agriculture practices, etc.), controlling bush encroachment and promoting tree planting and woodlots as alternative livelihoods in heavily degraded/deforested areas.

The actions under this lot should aim at promoting integrated water management at local level, including contingency management and planning for extreme weather events affecting the availability of water for livestock, protecting watersheds and conserving and storing water through rainwater harvesting.

Lot 3: Promote supplementary feeding

The objective of this lot is to reduce greenhouse gas production and enhance livestock growth rates, using residual standing hay, feeding crop residues, and industrial by-products in periods of feed insecurity, and promoting feedlots operation in order to reduce overgrazing. Involve and train smallholder's groups, with an emphasis on women's groups on silage, hay making, feedlots management through climate smart practices.

Lot 4: Value addition and capacity building The proposed actions shall support urban women's groups in commercialization of cooked beef products according to standards and regulations, and to evolve businesses into meat processing units, through direct support and through linking them to financial institutions.

Applicants may apply to any or all of the lots.

Key strategic considerations and guiding principles

Private sector development: Particular attention will be given to strengthening the role of the private sector. This will include improving market opportunities for new and existing business, leveraging private sector investment and participation in the beef value chain.

Gender: The empowerment of women should be actively promoted in all activities and at all levels, that is governmental, regional and local/community level. In planning any activity within the project, the views and interest of women should be taken in to account. Breakdown of data should be by age and gender, and at least 40% of beneficiaries should be women. Applicants may ensure that their own staffing structures and procedures take gender empowerment into account.

Youth: Young people are consistently locked out of opportunities. Applicants should focus on engaging in activities that empower young people by providing skills, training and employment to young people.

Sustainability: All proposed action should seek to address long-lasting changes beyond the lifetime of the proposed. Applicants should be prepared to explain how this will be achieved. In addition, partners are encouraged to adopt a community –level approach to ensure sustainability, ownership and continuity of services, management of activities and assets after the end of the project.

Multi-level coordination: Coordination and cooperation between different stakeholders involved is fundamental for effective and efficient delivery of results for the beneficiaries. The applicants will make sure their methodology explicitly states how these close links will be ensured with the private sector, local authorities, and the final beneficiaries. Applicants should demonstrate in their methodology how synergies and complementarity shall be ensured across the lots as well as other, EU and donor initiatives.

SMART indicators: A common set of indicators as provided in the project logical framework will be used to monitor the activities proposed within each lot. However, the applicants should propose any additional indicators that may be useful in monitoring their proposed activities.

1.3. Financial allocation provided by the contracting authority

The overall indicative amount made available under this call for proposals is **EUR 3,400,000**. The contracting authority reserves the right not to award all available funds.

Indicative allocation of funds by lot:

Lot 1: Promote animal disease control and prevention in the targeted areas: **EUR 870,000**.

Lot 2: Improve pasture (Rangeland) and water management in a climate-smart way: **EUR 1,360,000**.

Lot 3 : Promote supplementary feeding: **EUR 650,000**

Lot 4: Value addition and capacity building: **EUR 520,000**

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).

Size of grants

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

Lot 1 Promote animal disease control and prevention in the targeted areas.

- minimum amount: EUR 300,000
- maximum amount: EUR 870,000

Lot 2: Improve pasture (Rangeland) and water management in a climate-smart way

- minimum amount: EUR 300,000
- maximum amount: EUR 1,360,000

Lot 3: Promote supplementary feeding

- minimum amount: EUR 300,000
- maximum amount: EUR 650,000

Lot 4: Value addition and capacity building

- minimum amount: EUR 300,000
- maximum amount: EUR 520,000

For each lot, only one application will be selected and awarded a grant, except where the application does not cover both DCZ 1 and 2. Therefore applicants are encouraged to present ambitious and innovative proposals, aimed at exploiting the maximum amounts indicated above. Applications by consortia are welcome.

Any grant requested under this call for proposals must fall between the following minimum and maximum percentages of total eligible costs of the action:

- Minimum percentage: 50 % of the total eligible costs of the action
- Maximum percentage: 90 % of the total eligible costs of the action (see also Section 2.1.5).
- Any grant requested under this call for proposals which includes in the proposed budget in-kind contributions (including volunteer's work) and/or non-eligible taxes must further be limited to 10 percentage to ensure the co-financing, note that this percentage must be lower than the one referring to total eligible costs, see budget template for its calculation. 10 % of the estimated total accepted costs¹. In case during the implementation of the action progress and final reports show that the total accepted costs are equal to the total eligible costs, the percentage applicable to the total accepted costs applies to the total eligible costs to ensure the required co-financing.

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

The balance (i.e. the difference between the total cost of the action and the amount requested from the contracting authority) must be financed from sources other than the general budget of the Union or the European Development Fund².

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

¹ Estimated total accepted costs = estimated total eligible costs + in kind contributions (including volunteers 'work), non-eligible taxes, etc.

² Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

2. Rules for this call for proposals

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the practical guide, which is applicable to the present call (available on the internet at this address <http://ec.europa.eu/europeaid/prag/document.do?locale=en>).³

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))

Considering the need for a substantial level of private sector participation and the coverage of a significantly wide geographical area, applicants are encouraged to be organised in consortia, preferably with at least one local partner who has good knowledge of the local context and sufficient management capacity to offer the best value for money. A consortium will be made up of a lead applicant, one or more co-applicant/affiliate to the lead applicant working in a complementary manner in order to provide a comprehensive response to the needs within the procedure.

Lead applicant

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

- be a legal person **and**
- be a specific type of organisation such as: non-governmental organisation, public sector operator, local authority, international (inter-governmental) organisation as defined by Article 43 of the rules of application of the EU Financial Regulation⁴ **and**
- be established in⁵ a Member State of the European Union or in the Least Developed Countries .

³ Note that a lead applicant (i.e. a coordinator) whose pillars have been positively assessed by the European Commission and who is awarded a grant will not sign the standard grant contract published with these guidelines but a contribution agreement based on the contribution agreement template. All references in these guidelines and other documents related to this call to the standard grant contract shall in this case be understood as referring to the relevant provisions of the contribution agreement template.

⁴ 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.

For British applicants: Please be aware that eligibility criteria must be complied with for the entire duration of the grant. Unless sector-specific eligibility rules provide otherwise⁶, if the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding (while continuing, where possible to participate) or will be required to leave the project on the basis of Article 12.2. e. of General Conditions of the grant agreement’.

This obligation does not apply to international organisations **and**

- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary **and**
- have an operational presence in the Republic of Uganda, specific presence within the target geographical areas covered – is an added advantage, and;
- In addition to the categories referred to in section 2.1.1, local companies with specific supply capabilities for specialised goods and services required for the implementation of the proposed activities as specified in the call are also eligible.
- For Lot 1 only – Lead applicant must be able to produce documentary evidence of relevant experience dealing with animal health and disease control programmes, including close working relationships with government structures at National and local levels. Experience and working relationship with regional, continental and international animal health institutions will be considered as an added advantage.

In addition to the categories referred to in Section 2.1.1, the following are however also eligible: any company which is registered in Uganda and has supply capabilities to provide specialised services and supplies relevant to this call.

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in Section 2.6.10.1 of the practical guide;

Lead applicants, co-applicants, affiliated entities and, in case of legal entities, persons who have powers of representation, decision-making or control over the lead applicant, the co-applicants and the affiliated entities are informed that, should they be in one of the situations of early detection or exclusion according to Section 2.6.10.1 of the practical guide, personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract.

In Part A, Section 3 and Part B Section 8 of the grant application form (‘declaration(s) by the lead applicant’), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The lead applicant must act with locally registered co-applicant(s) as specified hereafter.

⁵ 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.

⁶ For instance, Article 9(1)(f) of Regulation (EU) No 236/2014 provides for eligibility of member countries of the OECD, in the case of contracts implemented in a Least Developed Country or a Highly Indebted Poor Country, as included in the list of ODA recipients.

If awarded the grant contract, the lead applicant will become the beneficiary identified as the coordinator in Annex E3h1 (special conditions). The coordinator is the main interlocutor of the contracting authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinate the design and implementation of the action.

Co-applicant(s)

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

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

In addition to the categories referred to in Section 2.1.1, the following are however also eligible: any company which is registered in Uganda and has supply capabilities to provide specialised services and supplies relevant to this call.

Co-applicants must sign the mandate in Part B Section 4 of the grant application form.

(3) Applicants included in the lists of EU restrictive measures (see Section 2.4. of the PRAG) at the moment of the award decision cannot be awarded the contract⁷.

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

2.1.2. Affiliated entities

Affiliated entity(ies)

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

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

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

This structural link encompasses mainly two notions:

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

Entities affiliated to an applicant may hence be:

- Entities directly or indirectly controlled by the applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by the applicant (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
- Entities directly or indirectly controlling the applicant (parent companies). Likewise, they may be entities controlling an entity controlling the applicant;

⁷ 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.

- 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 in Part B Section 5 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 Part B Section 6 — ‘Associates participating in the action’ — of the grant application form.

- Contractors

The beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot be also contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

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 30 months.

Sectors or themes

Support and promotion to sustainable beef value chain- meat production and marketing

Location

Actions must take place in one or more of the following region(s): The project focus locations are DCZ 1&2 with the cattle corridor area which have total catchment areas of 12,600 km² and 8,250 km² respectively, and hold approximately 1.8 million heads of cattle, out of the total number of cattle in Uganda, which is 13.02 million – about 13% (UBOS, 2014). The project will also be implemented in Entebbe, which is the location of the MAAIF, and Kampala, which is the city where most other government stakeholders are located, together with key value chain actors such as transporters, slaughtering and processing facilities, and other private sector players. Kampala is also where 70% of Uganda’s GDP is generated and 3 million urban consumers reside. The operational districts of MOBIP are: -

- Disease Control Zone (DCZ) 1 covering Bulisa, Kayunga, Kiboga, Kiryandongo, Kyankwanzi, Luwero, Masindi, Nakaseke, and Nakasongola.
- Disease Control Zone (DCZ) 2 covering Lwengo, Lyantonde, Masaka, Mbarara, Mityana, Mpigi, Mubende, Ntungamo, Greater Rakai (Rakai and Kyotera districts), Greater Kibaale (Kibaale, Kakumiro and Kagaadi Districts), Sembabule, Kiruhura, Kalungu, Bukomansimbi, Butambala, Gomba, and Isingiro.
- Operational Project Districts for MAAIF i.e. Kampala, and Wakiso.

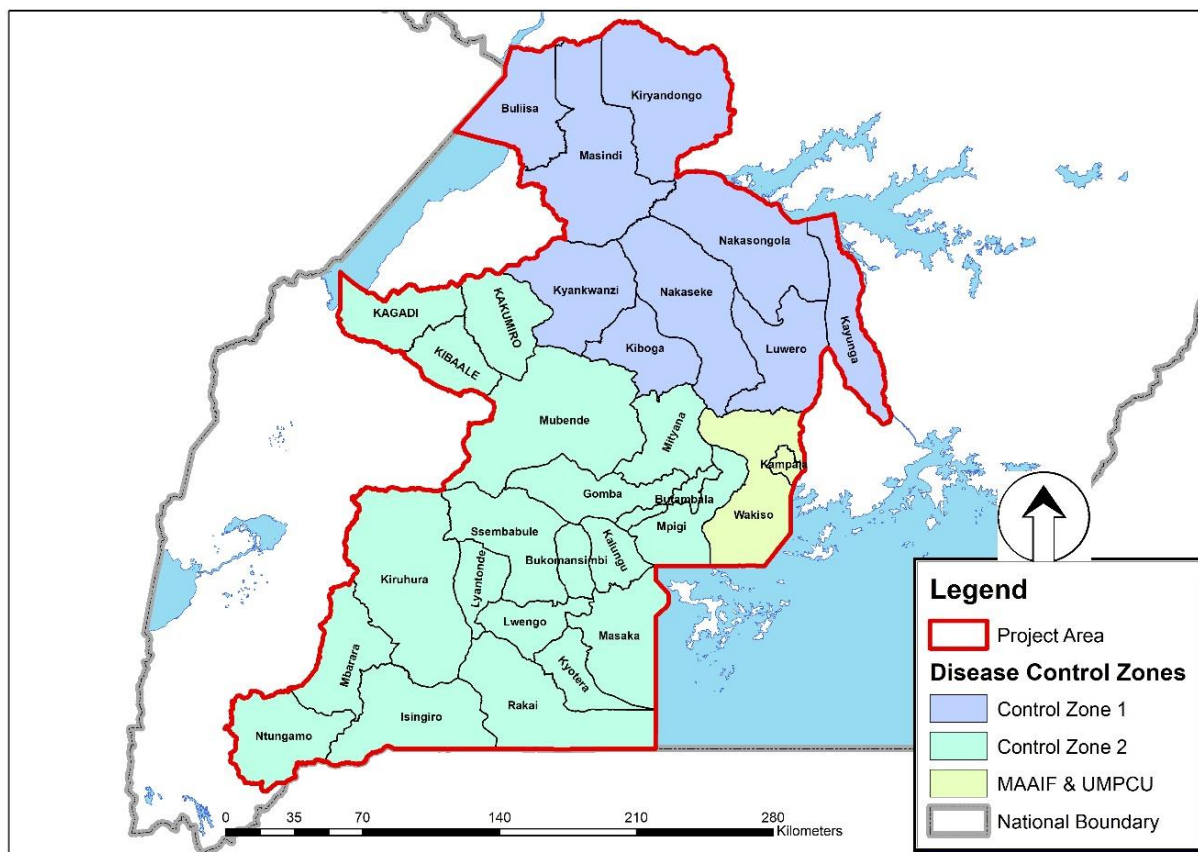


Fig 2 – Detailed Map of DCZ 1&2

Types of action

Types of action which may be financed under this call should aim at contributing to Beef meat production, productivity and quality assurance in the targeted areas, giving priority to climate smart, environmentally-sustainable, locally-developed practices including smallholder agriculture with a focus on women and youth, while aiming to promote local meat consumption to stimulate the market, stimulating the demand for processed meat products, increasing safer meat processing and ensuring animal welfare practices during transportation.

The following types of action are **eligible**:

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

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

As mentioned in section 1.2 regarding the priorities under the 4 lots, the following illustrates the kinds of activities that could be proposed which are indicative and non-exhaustive.

Lot 1: Promote animal disease control and prevention in the targeted areas

- *Establish Disease Control Buffer Zones at the Uganda-Tanzania Border and indicatively at Nakasongola and Masindi Districts with capacity to reduce FMD outbreaks frequency in the central parts of disease control zone 1.*
- *Suitable infrastructure for disease control to be designed and constructed.*
- *Establish compartments in both Disease control zones building on the approach adopted for point 1 (buffer zones) in line with the OIE recommendations.*
- *Pilot a designed National Animal Identification and Traceability System in an identified area*
- *Support sample collection, testing and analysis of FMD and other priority diseases i.e. Ticks and ticks borne diseases (TTBDS), Contagious Bovine Pleuropneumonia (CBPP), and Lumpy Skin Disease (LSD)*
- *Design and implement vector (focused on ticks) control measures*
- *Biohazard and chemical waste management measures*

Lot 2: Improve pasture (Rangeland) and water management.in a climate-smart way

- *Promote improved pasture management at local level*
- *Training on best practices for commercial destocking,*
- *Diversification of economic opportunities agro,*
- *Ecology/conservation agriculture practices,*
- *Controlling bush encroachment (in consultation with academia).*
- *promoting tree planting in degraded/deforested areas*
- *Promote integrated water management (IWM) at local level*
- *Contingency management and planning for adverse weather condition (DDM &R)*
- *Pasture management and reseedling*
- *Dry season grazing schemes – linked to feedlot development.*
- *Linking rangeland management to prediction, indexing and livestock insurance schemes.*

Lot 3: Promote supplementary feeding

- *Promote use of by-products of local industry and crop residues on-farm and in feedlots*
- *Using residual standing hay*
- *Promoting feedlot operations*
- *Involve small holder groups on silage, hay-making, feedlot management through climate smart practices*

Lot 4: Value addition and capacity building

- *Capacity building along the beef value chain*
- *Support urban women group into commercialization of value added beef meat products e.g. cooked beef, sausages etc*
- *Support establishment of commercial beef processing units*

Financial support to third parties⁸

Applicants may propose financial support to third parties.

Applicants may propose financial support to third parties in order to help achieving the objectives of the action.

The maximum amount of financial support per third party is EUR ≤ 60 000 (except where achieving the objectives of the actions would otherwise be impossible or overly difficult in which case no thresholds apply).

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:

- (i) the overall objectives, the specific objective(s) and the outputs⁹ (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.

Eligible third parties may be a legal person. They may include community based organisations, grass roots organisation, professional organisations, women association and youth groups etc. This list is not exhaustive.

Eligible third parties may also be natural persons if they are the direct beneficiaries of activities falling within the objectives and priorities listed in section 1.2 above.

Financial support to third parties under this procedure must be aimed at supporting action in line with the objectives and priorities listed in section 1.2 above and may, inter alia, include support in the form of start-up capital to activities falling within the scope of this procedure.

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).

⁸ These third parties are neither affiliated entity(ies) nor associates nor contractors.

⁹ As per OECD DAC definition, the term 'results' includes: 'impact' (overall objective), 'outcome(s)' (specific objective(s) and 'output(s)'.

Number of applications and grants per applicants / affiliated entities

The lead applicant may not submit more than one application(s) per lot under this call for proposals.

The lead applicant may not be awarded more than one grant(s) per lot 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 be the co-applicant or affiliated entity only one application(s) per lot under this call for proposals.

2.1.5. Eligibility of costs: costs that can be included

Only 'eligible costs' can be covered by a grant. The categories of costs that are eligible and non-eligible are indicated below. The budget is both a cost estimate and an overall ceiling for 'eligible costs'.

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

- actual costs incurred by the beneficiary(ies) and affiliated entity(ies);
- [one or more simplified cost options.

Simplified cost options may take the form of:

- **unit costs:** covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
- **lump sums:** covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.
- **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

Simplified costs options (SCOs) are divided in two categories:

1/ "output or result based SCOs": this category includes costs linked to outputs, results, activities, deliverables in the framework of a specific project (for example the determination of a lump sum for the organization of a conference, or for the realisation of a determined output/activity). Where possible and appropriate, lump sums, unit costs or flat rates shall be determined in such a way to allow their payment upon achievement of concrete outputs and/or results. This type of SCO can be proposed by the Beneficiary (no threshold is applicable) at proposal's stage. In case the evaluation committee and the contracting authority are not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

2/ "other/recurrent SCOs". This second category entails simplified cost options embedded in the accounting practices of the beneficiary, for which an ex-ante assessment is deemed necessary, considering the need of a consistent application of the conditions required. Examples are: an additional percentage on actual salaries to cover remuneration-related costs or the use of an allocation method to apportion costs of a project office foreseen in the Description of the Action. In order the use of systemic/recurrent SCOs, the beneficiary's accounting practices need to have been positively assessed by an audit firm based on standard ToRs provided by the Commission. To obtain reimbursement of this category of SCOs, the beneficiary shall make reference to the previously obtained ex-ante assessment in the budget justification sheet (annex e3c).

The amounts or rates have to be based on estimates using objective data such as statistical data or any other objective means or with reference to certified or auditable historical data of the applicants or the affiliated entity(ies). Determining SCO is possible also through 'expert judgement' provided by internally available experts or procured in accordance with the applicable rules. Experts must be either commissioned auditors or

chartered accountants, or staff of the Commission but cannot be staff of the beneficiary. The methods used to determine the amounts or rates of unit costs, lump sums or flat-rates must comply with the criteria established in Annex K, and especially ensure that the costs correspond fairly to the actual costs incurred by the beneficiary(ies) and affiliated entity(ies), are in line with their accounting practices, no profit is made and the costs are not already covered by other sources of funding (no double funding). Refer to Annex K for the details of the procedure to be followed depending on the type and amount of the costs to be declared as SCO.

Applicants proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital letters to 'UNIT COST' (per month/flight etc.), 'LUMPSUM', 'FLAT RATE' in the Unit column (see example in Annex K).

Additionally, in Annex B, in the second column of worksheet no.2, 'Justification of the estimated costs' per each of the corresponding budget item or heading applicants must:

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc for output or result based SCO.
- clearly explain the formulas for calculation of the final eligible amount for output or result based SCO¹⁰
- make reference to the previously obtained ex-ante assessment for other/recurrent SCOs.

In case of output or result based SCOs the evaluation committee and the contracting authority decide whether to accept the proposed amounts or rates on the basis of the provisional budget submitted by the applicants, by analysing factual data of grants carried out by the applicants or of similar actions. In case the evaluation committee and the contracting authority are not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

No threshold is set ex-ante for the total amount of financing that can be authorised by the contracting authority on the basis of simplified cost options. Other/recurrent SCOs can be declared only if previously successfully ex-ante assessed.

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the grant contract do not reveal problems requiring changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and ineligible costs). The checks may give rise to requests for clarification and may lead the contracting authority to impose modifications or reductions to address such mistakes or inaccuracies. It is not possible to increase the grant or the percentage of EU co-financing as a result of these corrections.

It is therefore in the applicants' interest to provide a **realistic and cost-effective budget**.

The grant may take the form of a single lump-sum covering the entire eligible costs of an action or a work programme.

Single lump sums may be determined on the basis of the estimated budget, which should comply with the principles of economy, efficiency and effectiveness. Compliance with these principles shall be verified ex ante at the time of evaluation of the grant application.

When authorising single lump sums the authorising officer responsible shall comply with the conditions

¹⁰ Examples:- for staff costs: number of hours or days of work * hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km * pre-set cost of transport per km; number of days * daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event * pre-set total cost per participant etc.

applicable to output or result based SCOs.

When using this form of financing, the description of the action shall include detailed information on the essential conditions triggering the payment, including, where applicable, the achievement of outputs and/or results.

The responsible authorising officer may consider that the usual cost accounting practices of the beneficiary are compliant with the conditions applicable to simplified cost options, if they are accepted by national authorities under comparable funding schemes. In this case the grant beneficiary shall demonstrate that the national authority accepted the cost accounting practices and will have to specify in which context this acceptance is given.

The evaluation committee and the contracting authority will assess if the funding scheme is comparable and in case of positive outcome will consider these practices as if they were ex-ante assessed by an external auditor.

Eligible direct costs

To be eligible under this call for proposals, costs must comply with the provisions of Article 14 of the general conditions to the standard grant contract (see Annex G of the guidelines).

Contingency reserve

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

Eligible indirect costs

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

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

Contributions in kind

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

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

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.

Contributions in kind may not be treated as co-financing

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

Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred in accordance with Article 7.5 of the general conditions of the standard grant contract, at the latest at the end of the action;
- currency exchange losses;
- credit to third parties.
- salary costs of the personnel of national administrations

Ethics clauses and Code of Conduct

a) Absence of conflict of interest

The applicant must not be affected by any conflict of interest and must have no equivalent relation in that respect with other applicants or parties involved in the actions. Any attempt by an applicant to obtain confidential information, enter into unlawful agreements with competitors or influence the evaluation committee or the contracting authority during the process of examining, clarifying, evaluating and comparing applications will lead to the rejection of its application and may result in administrative penalties according to the Financial Regulation in force.

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

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

Zero tolerance for sexual exploitation and sexual abuse:

The European Commission applies a policy of 'zero tolerance' in relation to all wrongful conduct which has an impact on the professional credibility of the applicant.

Physical abuse or punishment, or threats of physical abuse, sexual abuse or exploitation, harassment and verbal abuse, as well as other forms of intimidation shall be prohibited.

c) Anti-corruption and anti-bribery

The applicant shall comply with all applicable laws and regulations and codes relating to anti-bribery and anti-corruption. The European Commission reserves the right to suspend or cancel project financing if corrupt practices of any kind are discovered at any stage of the award process or during the execution of a contract and if the contracting authority fails to take all appropriate measures to remedy the

situation. For the purposes of this provision, 'corrupt practices' are the offer of a bribe, gift, gratuity or commission to any person as an inducement or reward for performing or refraining from any act relating to the award of a contract or execution of a contract already concluded with the contracting authority.

d) Unusual commercial expenses

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

Grant beneficiaries found to have paid unusual commercial expenses on projects funded by the European Union are liable, depending on the seriousness of the facts observed, to have their contracts terminated or to be permanently excluded from receiving EU/EDF funds.

e) Breach of obligations, irregularities or fraud

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

2.2. How to apply and the procedures to follow

Information in PADOR will not be drawn upon in the present call.

2.2.1. Concept note content

Applications must be submitted in accordance with the concept note instructions in the grant application form annexed to these guidelines (Annex A). Applicants must apply in **English**.

Please note that:

1. In the concept note, lead applicants must only provide an estimate of the requested EU contribution as well as an indicative percentage of that contribution in relation to the eligible costs of the action. A detailed budget is to be submitted only by the lead applicants invited to submit a full application in the second phase.
2. The elements outlined in the concept note may not be modified in the full application. The EU contribution may not vary from the initial estimate by more than 20%. Lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines in Section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email.

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

3. Only the concept note form will be evaluated. It is therefore of utmost importance that this document contains ALL relevant information concerning the action. No additional annexes should be sent.

Any error or major discrepancy related to the concept note instructions may lead to the rejection of the concept note.

Clarifications will only be requested when information provided is not sufficient to conduct an objective assessment.

Hand-written concept notes will not be accepted.

2.2.2. Where and how to send concept notes

The concept note together with its relating checklist¹¹ and declaration by the lead applicant (to be found in **Part A Sections 2 and 3** of the grant application form) must be submitted in one original and three copies in A4 size, each bound.

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

Where lead applicants send several different concept notes (if allowed to do so by the guidelines of the call), each one must be sent separately.

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

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

Postal address

The Permanent Secretary

Ministry of Finance, Planning and Economic Development. Plot 2/12 Apollo Kaggwa Road. P.O

Box 8147 Shimoni Rd 1, Kampala.

Uganda.

Concept notes 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 concept note is complete using the checklist for concept note (Part A Section 2 of the grant application form). Incomplete concept notes may be rejected.

2.2.3. Deadline for submission of concept notes

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

In the first case, the concept note must be sent before the date for submission, as evidenced by the postmark or deposit slip¹², but in the second case it is the acknowledgment of receipt given at the time of the delivery of the concept note which will serve as proof.

¹¹ Please note that the concept note should not be rejected only because the lead applicant did not submit the checklist or the information in the checklist is not correct.

The deadline for the submission of concept notes is 21st December 2018 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 21st December 2018, before 15:00 hours local time, as evidenced by the signed and dated receipt. Any concept note submitted after the deadline will be rejected.

The contracting authority may, for reasons of administrative efficiency, reject any concept note submitted on time to the postal service but received, for any reason beyond the contracting authority's control, after the effective date of approval of the concept note evaluation, if accepting concept notes that were submitted on time but arrived late would considerably delay the evaluation procedure (for instance when concept notes are received after the evaluation committee has finished its work and evaluating them would imply re-calling the evaluation committee) or jeopardise decisions already taken and notified (see indicative calendar under Section 2.5.2)

2.2.4. Further information about concept notes

An information session on this call for proposals will be held on 19th November at 9:00hrs at the MoFED Boardroom, Kampala.

Questions may be sent by e-mail (Please mention the call reference number in the subject line) no later than 21 days before the deadline for the submission of concept notes to the address(es) below, indicating clearly the reference of the call for proposals:

E-mail address: nao@finance.go.ug

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

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

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

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure will be published on the website of DG International Cooperation and Development: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and MFPEP website, as the need arises. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

2.2.5. Full applications

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using Part B of the grant application form annexed to these guidelines (Annex A). Lead applicants should then keep strictly to the format of the grant application form and fill in the paragraphs and pages in order.

The elements outlined in the concept note cannot be modified by the lead applicant in the full application. The EU contribution may not vary from the initial estimate by more than 20 %, although lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines under Section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits

¹² It is recommended to use registered mail in case the postmark would not be readable.

imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email.

Lead applicants must submit their full applications in the same language as their concept notes.

Please complete the full application form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the checklist (Part B, Section 7 of the grant application form) or any major inconsistency in the full application (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

Please note that only the full application form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators (and assessors, if used). It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action.

Applications must be submitted in accordance with the instructions on the concept note instructions in the grant application form annexed to these guidelines (Annex A).

Applicants must apply in English: Applicants must apply in the language most commonly used by the target population in the country in which the action takes place.

2.2.6. Where and how to send full applications

Full applications (i.e. the full application form, the budget, the logical framework and the declaration by the lead applicant) must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) to the address below:

Postal address

The Permanent Secretary

Ministry of Finance, Planning and Economic Development. Plot 2/12 Apollo Kaggwa Road. P.O

Box 8147 Shimoni Rd 1, Kampala.

Uganda.

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

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

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

Where lead applicants send several different applications (if allowed to do so by the guidelines of the call), each one must be sent separately.

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

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

2.2.7. Deadline for submission of full applications

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

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

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected.

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

2.2.8. Further information about full applications

Questions may be sent by e-mail (Please mention the call reference number in the subject line) no later than 21 days before the deadline for the submission of full applications to the addresses listed below, indicating clearly the reference of the call for proposals:

E-mail address: nao@finance.go.ug

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

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

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

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure, will be published on the website of DG International Cooperation and Development: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> MFPEP Website as the need arises. It is therefore advisable to consult the abovementioned website regularly 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 possible assistance of external assessors. All applications will be assessed according to the following steps and criteria.

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in Section 2.1, the application will be rejected on this sole basis.

(1) STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

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

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the concept note satisfies all the criteria specified in the checklist in Section 2 of Part A of the grant application form. This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

Scores*

1. Relevance of the action	Sub-score	20
1.1 How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? 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 (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately?	5	
1.4 Does the proposal contain particular added-value elements (e.g. innovation, best practices)? <i>[and the other additional elements indicated under 1.2. of the guidelines for applicants]</i>	5	
2. Design of the action	Sub-score	30
2.1 How coherent is the overall design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results?	5x2**	
2.2 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5	
2.3 Does the design take into account external factors (risks and assumptions)?	5	

2.4 Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic?	5	
2.5 To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, youth, combating HIV/AIDS (if there is a strong prevalence in the target country/region)?	5	
TOTAL SCORE		50

* 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 70% and not exceeding 150% of the available budget for this call for proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot, where relevant.

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

(2) STEP 2: OPENING & ADMINISTRATIVE CHECKS AND] EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- If the submission deadline has been met. Otherwise, the application will automatically be rejected.
- If the full application satisfies all the criteria specified in the checklist (Section 7 of Part B of the grant application form). This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

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

Scoring:

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

Evaluation grid

Section	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house experience of 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.

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

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

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

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

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)¹³:

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity¹⁴. 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 meantime¹⁵. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. For action grants exceeding EUR 750 000 and for operating grants above EUR 100 000, the lead applicant must provide an audit report produced by an approved external auditor where it is available, and always in cases where a statutory audit is required by EU or national law. That report shall certify the accounts for up to the last 3 financial years available. In all other cases, the applicant shall provide a self-declaration signed by its authorised representative certifying the validity of its accounts for up to the last 3 financial years available.

This requirement shall apply only to the first application made by a beneficiary to an authorising officer responsible in any one financial year.

3. The external audit report is not required from (if any) the co-applicant(s) or affiliated entities.

¹³ No supporting document will be requested for applications for a grant not exceeding EUR 60 000.

¹⁴ Where the lead applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

¹⁵ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

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.

4. A copy of the lead applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)¹⁶. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).
5. 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.]
6. 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.
7. List of any other supporting documents required.
 - For all Lots: The applicant must produce documentary evidence of relevant experience.
 - For Lot 1 - Must be able to produce documentary evidence of relevant experience dealing with animal health and disease control programmes, including close working relationships with government structures at National and local levels. Experience and working relationship with continental and international animal health institutions will be considered as an added advantage
8. 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 English of the relevant parts of these documents proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, must be attached for the purpose of analysing the application.

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

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

¹⁶ This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to Section 2.4.2.

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 and, if rejected, the reasons for the negative decision.

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

2.5.2 Indicative timetable

	DATE	TIME
1. Information meeting (if any)	19 th November 2018	09:00 at the MFPED Boardroom
2. Deadline for requesting any clarifications from the contracting authority	30 th November 2018	15:00
3. Last date on which clarifications are issued by the contracting authority	10 th December 2018 11 days before the submission deadline	15:00
4. Deadline for submission of concept notes]	21 st December 2018 (45 days from publication)	15:00
5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	11 th January 2019	
6. Invitations to submit full applications	18 th January 2019	
7. Deadline for submission of full applications	4 th March 2019 (45 days)	15:00
8. Information to lead applicants on the	18 th March 2019	

evaluation of the full applications (Step 2)		
9. Notification of award (after the eligibility check) (Step 3)	01 st April 2019	
10. Contract signature	1 st May 2019	

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

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 the web site of DG International Cooperation and Development: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and MFPED website.

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 (see Annex G of these guidelines). By signing the application form (Annex A of these guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract. Where the coordinator is an organisation whose pillars have been positively assessed, it will sign a contribution agreement based on the contribution agreement template. In this case references to provisions of the standard grant contract and its annexes shall not apply. References in these guidelines to the grant contract shall be understood as references to the relevant provisions of the contribution agreement .

Implementation contracts

Where implementation of the action requires the beneficiary(ies) and its affiliated entity(ies) (if any) to award procurement contracts, those contracts must be awarded in accordance with Annex IV to the standard grant contract.

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

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

Subcontracting: Subcontracting is the implementation, by a third party with which one or more beneficiaries have concluded a procurement contract, of specific tasks forming part of the action as described in annex to the grant contract (see also the general terms and conditions in the model grant contract).

3. List of annexes

DOCUMENTS TO BE COMPLETED

Annex A: Grant application form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical framework (Excel format)

[Annex D: Legal entity sheet¹⁷]

[Annex E: Financial identification form]

Annex F: Organisation data form

DOCUMENTS FOR INFORMATION¹⁸

Annex G: Standard grant contract

- Annex II: general conditions

- Annex IV: contract award rules

- Annex V: standard request for payment

- Annex VI: model narrative and financial report

- Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action

- Annex VIII: model financial guarantee

- Annex IX: standard template for transfer of ownership of assets

Annex H: Daily allowance rates (per diem), available at the following address:

http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en (as all necessary information is available via the link the publication of the annex is optional)

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

Annex K: Guidelines for assessing simplified cost options.

Useful links:

Project Cycle Management Guidelines

http://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en

The implementation of grant contracts

A Users' Guide

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

Financial Toolkit

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

Please note: The toolkit is not part of the grant contract and has no legal value. It merely provides general guidance and may in some details differ from the signed grant contract. In order to ensure compliance with their contractual obligations beneficiaries should not exclusively rely on the toolkit but always consult their individual contract documents.

* * *

¹⁷ Only applicable where the European Commission will make the payments under the contracts to be signed.

¹⁸ These documents should also be published by the contracting authority.