



**Contracting Authority:** Southern African Development Community

Integrated Institutional Capacity-Building (IICB) Programme

Strengthening engagement and cooperation with civil society organisations

Guidelines for grant applicants

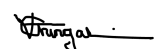
Budget: USD 460,000

Reference: SADC/3/5/2/118

Deadline for submission of concept note and full application: date 27<sup>th</sup>  
January 2021

## NOTICE

This is an open call for proposals, where all documents are submitted together (concept note and full application). In the first instance, only the concept notes will be evaluated. Thereafter, for the lead applicants who have been pre-selected, the full applications will be evaluated. 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.



# Table of contents

<b>1. INTEGRATED INSTITUTIONAL CAPACITY-BUILDING (IICB) PROGRAMME</b>	<b>4</b>
1.1. Background.....	4
1.2. Objectives of the programme and priority issues .....	5
Financial allocation provided by the contracting authority .....	5
<b>2. RULES FOR THIS CALL FOR PROPOSALS</b>	<b>6</b>
2.1. Eligibility criteria.....	<b>Error! Bookmark not defined.</b>
2.1.1. Eligibility of applicants (i.e. lead applicant and co-applicant(s)).....	<b>Error! Bookmark not defined.</b>
2.1.2. Affiliated entities.....	<b>Error! Bookmark not defined.</b>
2.1.3. Associates and Contractors .....	<b>Error! Bookmark not defined.</b>
2.1.4. Eligible actions: actions for which an application may be made.....	<b>Error! Bookmark not defined.</b>
2.1.5. Eligibility of costs: costs that can be included .....	<b>Error! Bookmark not defined.</b>
2.2. How to apply and the procedures to follow .....	14
2.2.1. Application forms.....	14
2.2.2. Where and how to send applications .....	14
2.2.3. Deadline for submission of applications .....	15
2.2.4. Further information about applications .....	15
2.3. Evaluation and selection of applications .....	16
2.4. Submission of supporting documents for provisionally selected applications .....	23
2.5. Notification of the Contracting Authority's decision .....	24
2.5.1. Content of the decision.....	24
2.5.2. Indicative timetable .....	25
2.6. Conditions for implementation after the Contracting Authority's decision to award a grant.....	25
<b>3. LIST OF ANNEXES</b>	<b>27</b>

# 1. INTEGRATED INSTITUTIONAL CAPACITY-BUILDING (IICB) PROGRAMME

## 1.1. BACKGROUND

Enshrined in Article 5 (2b), 16A and Articles 23 of the SADC Treaty is a recognition of the need to develop a Non-State Actor (NSA) engagement mechanism by the Southern African Development Community (SADC). Various SADC Protocols and Summit Communiqués have also emphasised the need for a more profound and effective engagement mechanism of NSAs as an important stakeholder in the implementation of the SADC Agenda. Specifically, the SADC Treaty states that ‘SADC must in pursuit of its objectives, seek to involve fully, the people of the region and key stakeholders’, and that ‘it shall cooperate with and support their initiatives, ‘in order to foster closer relations among communities, associations and peoples of the region’. The key stakeholders listed include the private sector, civil society, non-governmental organisations (NGOs), workers and employers’ organisations. The amendment to the Treaty adds that non-state actors can provide inputs into SADC policy development and assist in project implementation, monitoring and evaluation, according to their areas of competence. Key protocols which provide for engagement with non-state actors include the Protocol on Trade in the SADC Region (1996), SADC Protocol on Mining (1997), Protocol on Politics, Defence and Security Cooperation (OPDSC Protocol) and SADC Employment and Labour Protocol (2014). Furthermore, SADC Council Decisions from the August 2004 Grand Baie Council Meeting in Mauritius, the September 2009 Kinshasa meeting in the DRC and the August 2011 Council Meeting in Luanda, Angola underscored the need for more formalized and institutionalized engagement between SADC and Non-State Actors. The same recognition is evident in the architecture of the Regional Indicative Strategic Development Plan, especially the revised version (2015 – 2020).

The history of SADC cooperation with non-state actors has taken many forms, from ad hoc arrangements to loosely defined collaborations. Over the years, non-state actors in their various forms have collaborated with SADC in implementing programmes aimed at promoting regional integration and cooperation. However, as absence of an explicit consolidated policy framework for engaging NSAs which has meant limited involvement in adding value to the process of SADC regional economic and political integration. Following decisions by Council and the Ministerial Committee of the Organ, the SADC Secretariat undertook studies to inform the development of a Non State Actors Engagement Mechanism. The main objective of the studies was to assess SADC’s engagement with Non-State Actors and to propose options for more effective mechanisms that would ‘‘make SADC a more effective and efficient vehicle for Community Building’’ (SADC 2001).

The studies found that although the participation of NSAs in regional economic and political integration has increased, several gaps exist in the current forms of engagement with NSAs by SADC in regional processes. These gaps include the absence of a formal structure or overarching mechanism or framework to ensure systemic NSA engagement; the existence of programmatic challenges at both the national and regional levels that hinder engagement; and the presence of a diverse group of actors that have different levels of understanding of how SADC operates. The existence of gaps is further compounded by the fact that NSAs not only have limited understanding of the SADC Programme of Action and Revised RISDP which limits their ability to articulate their added value to the regional integration agenda. Current engagement with is limited to interface with SADC Secretariat missing opportunities provided in the Treaty to engage with broader SADC Community structures and regional integration agenda.

Building on the Non-State Actors Engagement Mechanism (NSAEM) currently undergoing approval processes within SADC structures, this call for proposals is part of the overall Integrated Institutional Capacity-Building (IICB) Programme supported by the European Union (EU). The IICB the overall IICB Programm was formulated with two specific objectives:

Specific Objective 1 (SO1): To enhance the capacity of SADC Member State structures to facilitate and co-ordinate implementation of the regional agenda at country level; and

Specific Objective 2 (SO2): To enhance service delivery by the SADC Secretariat in support of programme/projects planning, co-ordination, resource mobilisation, implementation, monitoring and knowledge-sharing of regional commitments at country level. The SADC Secretariat is responsible for implementing SO2.

Therefore, through this call , the IICB Programme seeks to support the implementation of NSAEM which contributes towards the effective implementation of the SADC regional integration agenda. Particularly, it

foresees to support Civil Society to communicate the benefits of SADC more widely, implement mechanism of cooperating with Civil Society organisations that support implementation of the RISDP and strengthen civil society capacities to engage with the Secretariat. One of the results of the SO2 aims to improve SADC Secretariat engagement with regional and country level stakeholders in the implementation of the SADC regional programmes.

## **1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES**

The **global objective** of this call for proposals is to contribute towards strengthening engagement and cooperation with regional civil society organisations in the implementation of the SADC regional integration agenda

The **specific objective(s)** of this call for proposals is/are to:

- i. Strengthen civil society/non-state actors' capacities to engage with the SADC Secretariat and contribute to the definition and implementation of the regional integration agenda;
- ii. Develop and disseminate information and messages designed to enhance the visibility of SADC and the benefits of regional integration

In this Action, the SADC Secretariat recognizes the importance of civil society organisations in the process of championing the regional integration agenda. However, noting capacity and resource limitations, this Action seeks to deepen engagement and cooperation with regional level civil society organisations in communicating benefits of regional integration being driven by SADC.

The priority issues of this call are:

- Strengthen regional civil society platforms' capacities to engage with the SADC Secretariat
- Capacity building support to civil society through regional platforms.
- Development of robust and innovative awareness raising strategies at both regional and national levels aimed at communicating the benefits of SADC and regional integration.

## **1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY**

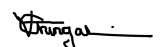
The overall indicative amount made available under this call for proposals is **USD 460,000**. The Contracting Authority reserves the right not to award all available funds.

Each pilot project/action will be between **USD 200.000** and **USD 460.000**. This amount will depend on the nature and scale of the proposal..

### **a) Size of grants**

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: 70% of the total eligible costs of the action.
  - Maximum percentage: 90% of the total eligible costs of the action
- b) 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.



## 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 SADC Procurement and Grants Policy of 2019 and SADC Procurement and Grants Guidelines of November 2020, which is applicable to the present call (available on the Internet at this address <http://www.sadc.int/opportunities/procurement/sadc-procurement-documentation/>)

### 2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

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

(2) the actions:

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

(3) the costs:

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

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

##### **Lead applicant**

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

- be a legal person **and**
- be non-profit-making **and**
- be established in a one or more than one SADC Member State **and/or**
- be established in a) an ACP State; b) a Member State of the European Union; c) beneficiaries of the Instrument for pre-accession assistance; d) a Member State of the European Economic Area; e) Overseas Countries and Territories; f) developing countries and territories, as included in the OECD-DAC list of ODA Recipients, which are not members of the G20 group, without prejudice to the status of the Republic of South Africa<sup>1</sup> (See footnote), as governed by Protocol 3 of the Partnership Agreement; and be a legal person with experience in undertaking research and innovation activities in the SADC region; **and**
- be directly responsible for the preparation and management of the action.

(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 2.5.2 of the SADC Guidelines for Procurement and Grants;

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<sup>1</sup> Article 4 (1) of the said Protocol 3 excludes South Africa as a beneficiary from EU Development Finance. However, natural and legal persons from South Africa are allowed to participate in awards of contracts financed from the financial resources under the Cotonou Agreement and that participation does not benefit from the preferences accorded to natural and legal persons from ACP States.

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

The lead applicant may act individually if established in one or more SADC Member States, or with co-applicant if not established in a SADC Member State, as follows:

(i) Eligible applicants not established in one or more SADC Member States must act with at least one co-applicant established in a SADC Member State.

(ii) The co-applicant shall be responsible for the implementation of a minimum of 35% of the total eligible costs or a minimum of 20% of total eligible costs in the case of two or more co-applicants.

If awarded the grant contract, the lead applicant will become the beneficiary identified as such in the grant contract. The lead applicant 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/herself.

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

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

### **2.1.2. Affiliated entities**

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

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

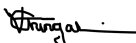
Only entities having a structural link with the applicants (i.e. the lead applicant or a co-applicant), in particular a legal or capital link.

This structural link encompasses mainly two notions:

- (i) Control on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings:

Entities affiliated to an applicant may hence be:

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



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

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

#### What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

- Entities that have entered into a (procurement) contract or subcontract with an applicant, act as concessionaires or delegates for public services for an applicant,
- Entities that receive financial support from the applicant,
- Entities that cooperate on a regular basis with an applicant on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract (unless this consortium agreement leads to the creation of a "sole applicant" as described above).

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

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

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

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

Affiliated entity(ies) must satisfy the same eligibility criteria as the lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Part B section 5 of the grant application form.]

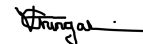
### ***2.1.3. Associates and Contractors***

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 the Procurement rules agreed between the Lead Applicant and the Contractors.

#### ***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 12 months or exceed 24 months.

#### **Sectors or themes**

- Strengthen regional civil society platforms capacities to engage with the SADC Secretariat
- Capacity building support to civil society organisations through regional platforms.
- Development of robust and innovative awareness raising strategies at both regional and national levels aimed at communicating the benefits of SADC and regional integration.

#### **Location**

Actions must take place in at least 2 Member States of SADC region, except South Africa in accordance with Article 4 (1) of Protocol 3 under the Cotonou Agreement, which excludes South Africa as a beneficiary from EU Development Finance.

#### **Types of 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;
- actions concern only or mainly with the procurement of assets such as motor vehicles and computers etc

#### **Types of activity**

Actions which may be financed under this call include: capacity building support not limited to trainings but also organisational development of civil society organisations contributing to the definition of SADC regional agenda and strengthening of regional networks. Actions should also develop engagement and communication strategies, communication products and related activities to communicate the benefits of SADC and regional integration.

#### **Financial support to third parties<sup>2</sup>**

Applicants **may not** propose financial support to third parties.

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<sup>2</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.

## Visibility

The applicants must take all necessary steps to publicise the fact that the SADC Secretariat has financed or co-financed the action. As far as possible, actions that are wholly or partially funded by the SADC Secretariat must incorporate information and communication activities designed to raise the awareness of specific or general audiences of the reasons for the action and the SADC 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](http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en)).

## Number of applications and grants per applicants / affiliated entities

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

The lead applicant may not be awarded more than one grant(s) under this call for proposals.

The lead applicant may not be a co-applicant or an affiliated entity in another application at the same time.

A co-applicant/affiliated entity may not submit more than **2 (two)** application(s) under this call for proposals.

A co-applicant/affiliated entity may not be awarded more than **2 (two)** grant(s) 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:

- 1. Actual costs incurred by the beneficiary(ies) and affiliated entity(ies).**
- 2. 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.

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). 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 E, 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 E for directions and a checklist of controls to assess the minimum necessary conditions that provide reasonable assurance for the acceptance of the proposed amounts.

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 E)

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.
- clearly explain the formulas for calculation of the final eligible amount<sup>3</sup>
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

At contracting phase, the Contracting Authority decides 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 and by performing checks established by Annex E.

The total amount of financing on the basis of simplified cost options that can be authorised by the Contracting Authority for any of the applicants individually (including simplified cost options proposed by their own affiliated entities) cannot exceed USD 30 000 (the indirect costs are not taken into account).

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 SADC Secretariat co-financing as a result of these corrections.

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

The simplified cost option may also take the form of an apportionment of Field Office's costs.

Field Office means a local infrastructure set up in one of the countries where the action is implemented or a nearby country. (Where the action is implemented in several third countries there can be more than one Field Office). That may consist of costs for local office as well as human resources.

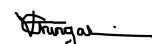
A Field Office may be exclusively dedicated to the action financed (or co-financed) or may be used for other projects implemented in the partner country. When the Field Office is used for other projects, only the portion of capitalised and operating costs which corresponds to the duration of the action and the rate of actual use of the field office for the purpose of the action may be declared as eligible direct costs.

The portion of costs attributable to the action can be declared as actual costs or determined by the beneficiary(ies) on the basis of a simplified allocation method (apportionment).

The method of allocation has to be:

1. Compliant with the beneficiary's usual accounting and management practices and applied in a consistent manner regardless of the source of funding and
2. Based on an objective, fair and reliable allocation keys. (Please refer to Annex F to have examples of acceptable allocation keys).

<sup>3</sup> 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.



A description prepared by the entity of the allocation method used to determine Field Office's costs in accordance with the entity's usual cost accounting and management practices and explaining how the method satisfy condition 1 and 2 indicated above, has to be presented in a separate sheet and annexed to the Budget.

The method will be assessed and accepted by the evaluation committee and the Contracting Authority at contracting phase.

At the time of carrying out the expenditure verifications, the auditors may check if the costs reported are compliant with the method described by the beneficiary(ies) and accepted by the Contracting Authority.

Adequate record and documentation must be kept by the beneficiary(ies) to prove the compliance of the simplified allocation method used with the conditions set out above. Upon request of the beneficiary(ies), this compliance can be assessed and approved ex-ante by an independent external auditor. In such a case, the simplified allocation method will be automatically accepted by the evaluation committee and it will not be challenged ex post.

When costs are declared on the basis of such allocation method the amount charged to the action is to be indicated in the column "TOTAL COSTS" and the mention "APPORTIONMENT" is to be indicated in the column "units" (under budget heading 1 (Human resources) and 4 (Local Office) of the Budget).

### 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 F of the guidelines).

The applicants (and where applicable their affiliated entities) agree that the expenditure verification(s) referred to in Article 15.7 of the General Conditions to the standard grant contract (see Annex F of the guidelines) will be carried out by {the Contracting Authority or any external body authorised by the SADC Secretariat.

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

### 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 SADC Secretariat, it may not claim indirect costs on its incurred costs within the proposed budget for the action.

### Contributions in kind

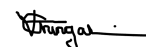
Contributions in kind mean the provision of goods or services to beneficiaries or affiliated entities free of charge by a third party. As contributions in kind do not involve any expenditure for beneficiaries or affiliated entities, they are not eligible costs.

Contributions in kind may not be treated as co-financing

### Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);



- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a SADC Secretariat 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;
- taxes, including VAT, unless the Beneficiary (or, where applicable, its partners) can show it cannot reclaim and the applicable regulations do not exclude coverage of taxes;
- credit to third parties.

#### Disbursement of funds

Financial management of the project shall be within the existing SADC Secretariat institutional financial arrangements. Within the administrative rules, Member States can agree on mechanisms to expedite disbursements of Funds. Disbursements of Funds to the project shall be in tranches such that the first disbursement does not exceed 25% of the total amount of the project Funding. 75% of any previous disbursement must be cleared before the next disbursement is effected. A clear detailed financial and technical report must be submitted as part of the application for any subsequent disbursements, according to the Guidelines of the Implementation of the Projects which will be part and parcel of the agreement to be signed.

### **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.

#### 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).

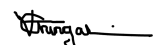
#### **Zero tolerance for sexual exploitation and sexual abuse:**

SADC 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. SADC 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 SADC/ European Union are liable, depending on the seriousness of the facts observed, to have their contracts terminated or to be permanently excluded from receiving further 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

### 2.2.1. *Application forms*

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

Applicants must apply in English

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

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

Hand-written applications will not be accepted.

Please note that only the grant application form and the published annexes which have to be filled in (budget, logical framework) will be evaluated. It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action. No additional annexes should be sent.

### 2.2.2. *Where and how to send applications*

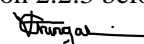
Applications must be submitted in one original and three copies. The complete application form (Part A: concept note and Part B: full application form), budget and logical framework must also be supplied in electronic format (USB memory device) in a separate and single file (i.e. the application must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version enclosed.

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 a lead applicant sends several different applications, each one has to be sent separately.

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

Applications must be submitted electronically via a specific email address provided for in section 2.2.3 below



**Lead 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.**

### ***2.2.3. Deadline for submission of applications***

The deadline for the submission of applications is **27<sup>th</sup> January 2021** electronically to the email below. Both Concept Note and Full Application should be submitted together to the email provided below on or before the closing date and time at **14:00 Hrs**. Any application submitted after the deadline will automatically be rejected.

Email address for submission of Concept note and Full Grant Applications is as follows

**Email: [iicbgrants@sadc.int](mailto:iicbgrants@sadc.int)**

### ***2.2.4. Further information about applications***

An information session on this call for proposals will be held on **17<sup>th</sup> December 2020 at 10.00 hours** virtually see link below;

Topic: **IICB Grant Guidelines information Session**

Time: Dec 17, 2020 10:00 AM Harare, Pretoria

Join Zoom Meeting

<https://us02web.zoom.us/j/82547962392?pwd=dWNlck83c2RiSGpuRSt6NGMyeG9kZz09>

Meeting ID: **825 4796 2392**

Passcode: **566984**

Join by SIP

[82547962392@zoomcrc.com](mailto:82547962392@zoomcrc.com)

Questions may be sent by e-mail no later than **6<sup>th</sup> January 2021** to the below address(es), indicating clearly the reference of the call for proposals:

E-mail address: [nyamukondiwa@sadc.int](mailto:nyamukondiwa@sadc.int) and [tenders@sadc.int](mailto:tenders@sadc.int)

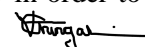
with a copy to: [ancube@sadc.int](mailto:ancube@sadc.int) and [vchingalawa@sadc.int](mailto:vchingalawa@sadc.int)

The Contracting Authority has no obligation to provide clarifications to questions received after this date.

Replies to clarifications will be given no later than **13<sup>th</sup> January 2021** 16.00hours. Closing day for receiving application shall be **27<sup>th</sup> January 2021 at 14.00 hours**.

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.

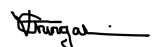
Questions that may be relevant to other applicants, together with the answers, will be published on the SADC Secretariat website. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.



### 2.3. EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Contracting Authority. All applications will be assessed according to the following steps and criteria.

- Selection and awards of grants under this support IICB Programme will follow rules and procedures of the EU on Grants award and as outlined in the SADC Policy on Procurement and Grants read with these Guidelines,
- 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 application satisfies all the criteria specified in the checklist in 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 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.

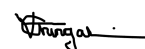
The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

**Scores**

<b>1. Relevance of the action</b>	Sub-score	<b>30</b>
1.1 How relevant is the proposal to the objectives and priorities of the call for proposals?*	5x2**	
1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other initiatives and avoidance of duplication)?	5x2**	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5	
1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices and the other additional elements indicated under 1.2. of the guidelines for applicants?	5	
<b>2. Design of the action</b>	Sub-score	<b>20</b>
2.1 How coherent is the overall design of the action?  In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**	
2.2 Is the action feasible and consistent in relation to the objectives and expected results?	5x2**	

**TOTAL SCORE**

**50**



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

\*\*these scores are multiplied by 2 because of their importance

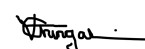
Once all concept notes have been assessed, a list will be drawn up with the proposed actions ranked according to their total score.

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 200% of the available budget for this call for proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot, where relevant.

After the evaluation of concept notes, the Contracting Authority will send letters to all lead applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the concept note was evaluated and the results of that evaluation.

The evaluation committee will then proceed with the lead applicants whose proposals have been pre-selected.



## (2) STEP 2: EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- If the full application satisfies all the criteria specified in the checklist (section 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.

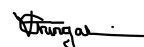
**The selection criteria** help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the lead applicant's financial capacity and are used to verify that they:

- 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
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient 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 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
<b>2. Relevance of the action</b>	<b>30</b>
<i>Score transferred from the Concept Note evaluation</i>	
<b>3. Effectiveness and feasibility of the action</b>	<b>20</b>
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
3.4 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
<b>4. Sustainability of the action</b>	<b>15</b>
4.1 Is the action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.)	5
4.3 Are the expected results of the proposed action sustainable?: <ul style="list-style-type: none"> <li>- financially (<i>how will the activities be financed after the funding ends?</i>)</li> <li>- institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?</i>)</li> <li>- at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>)</li> </ul>	5

- environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> )	
<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
5.1 Are the activities appropriately reflected in the budget?	/ 5
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	/ 10
<b>Maximum total score</b>	<b>100</b>

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 3.4 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 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)<sup>4</sup>:

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity<sup>5</sup>. 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 meantime<sup>6</sup>. This obligation does not apply to Member States which have signed a framework agreement with the SADC Secretariat.
2. For action grants exceeding USD 300 000 and for operating grants above USD 200 000, 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 SADC 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.
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)<sup>7</sup>. 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 G 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 H 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.
7. The lead applicant as well as all co-applicants and affiliated entities shall fill in and sign the declaration on honour certifying that they are not in one of the exclusion situations (see Section 2.5.2 of SADC Procurement and Grants Guidelines November 2020)

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4 The Contracting Authority may decide not to request supporting documents for applications for a grant not exceeding USD 60 000.

5 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.

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

7 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.

The requested supporting 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 SADC Secretariat, a translation into English of the relevant part 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 SADC Secretariat 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.

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.

### **2.5.2. Indicative timetable**

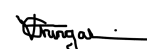
	<b>DATE</b>	<b>TIME</b>
<b>1. Information meeting</b>	17 <sup>th</sup> December 2020	10.00 hours
<b>2. Deadline for requesting any clarifications from the Contracting Authority</b>	6 <sup>th</sup> January 2021	16.00 hours
<b>3. Last date on which clarifications are issued by the Contracting Authority</b>	13 <sup>th</sup> January 2021	16.00 hours
<b>4. Deadline for submission of open procedures: applications</b>	27 <sup>th</sup> January 2021	14.00hours
<b>5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	12 <sup>th</sup> February 2021	16.00 hours
<b>6. Information to lead applicants on the evaluation of the full applications (Step 2)</b>	26 <sup>th</sup> February 2021	16.00 hours
<b>7. Notification of award (after the eligibility check) (Step 3)</b>	19 <sup>th</sup> March 2021	16.00 hours
<b>8 Contract signature</b>	26 <sup>th</sup> March 2021	16.00 hours

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 SADC Secretariat 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 F of these guidelines). By signing the grant application form (Annex A of these



guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract.

Subcontracting/secondary procurement

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 article 6 of the Special Conditions of contract to the standard grant contract.

### 3. LIST OF ANNEXES

***NOTE THAT ALL ANNEXES MUST BE ADAPTED AS FORESEEN TO THE CALL AND PUBLISHED TOGETHER WITH THE GUIDELINES***

#### **DOCUMENTS TO BE COMPLETED**

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Excel format)

#### **DOCUMENTS FOR INFORMATION<sup>8</sup>**

Annex D: Daily allowance rates (Per diem), available at the following address

Annex E: Guidelines and Checklist for assessing Budget.

Annex F: Standard Grant Contract

- Annex II: general conditions

- Annex IV: standard request for payment

- Annex V: model narrative report

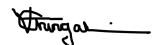
- Annex VI: model financial report

[ - Annex VII: model report of factual findings and terms of reference for an expenditure verification ]

[ - Annex VIII: model financial guarantee ]

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

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<sup>8</sup> The Contracting Authority must also publish these documents.