



Government of Kenya



COMMUNITY DEVELOPMENT TRUST FUND

COMMUNITY ENVIRONMENTAL FACILITY

Guidelines for grant applicants

Restricted Call for Proposals 2011

Reference: CEF 2011

Deadline for submission of proposals: 22 August 2011

The Community Environment Facility of the Community Development Trust Fund (CDTF) is supported by the European Union and the Government of Denmark as grant support to the Government of Kenya.



European Union

EMBASSY OF DENMARK

DANIDA

**INTERNATIONAL
DEVELOPMENT COOPERATION**

NOTICE

This is a restricted Call for Proposals (CfP). In the first instance, only the application form of the Concept Application Forms must be submitted for evaluation. Thereafter, applicants whose Concept Application Forms have been successfully selected will be invited to submit a full application.

All Internet links provided in the CfP guidelines are valid at the time of publication of this Call for Proposals. Nevertheless, they may be subject to changes at a later stage.

In case of difference of interpretation between the English and the Kiswahili versions, the English version will be used.

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Only Annex 1 (Part a) is included in the guidelines. All other annexes are available from the referenced website

1. COMMUNITY ENVIRONMENTAL FACILITY 2011

1.1 BACKGROUND

The Community Development Trust Fund (CDTF) was established in 1996 through a Financing Agreement between the Government of Kenya (GoK) and the European Union (EU), and gazetted under Legal Notice No. 3030 dated 26th March 1996. This was repealed through legal notice No. 172, dated 20th September 2007, thus allowing CDTF to be multi-donor funded.

Since 1996, the Community Development Trust Fund, as part of the Ministry of State for Planning, National Development and Vision 2030, has over the years implemented some **800 community-based socio-economic and environmental projects in rural and peri-urban areas** in Kenya. Funding of CDTF and of the projects has been provided by the European Union and the Government of Denmark. Overall the community-based environmental projects contribute to the Government of Kenya's decentralized agenda, especially improved livelihood systems and conservation of community natural resources.

Because of the successful implementation of the 800 projects with their benefits to local communities, the European Union and the Government of Denmark agreed to provide funding for the fourth phase of the Community Development Programme (CDP-4). The CDP-4 **overarching goal** is to reduce poverty in Kenya through empowering communities to initiate and implement community-based socio-economic infrastructure and environmental projects subsequently leading to better governance at the local, district, county and national levels. **The CDP-4 purpose** is to support and mainstream community-led approaches to poverty reduction and sustainable management of natural resources by communities in rural and peri-urban areas.

The CDP-4 has two components, namely: 1) the Community Environmental Facility (CEF); and 2) the Community Development Initiative (CDI). CDTF has a budget of approximately Kshs 2 billion for the formulation and implementation of community-based environmental projects in environmentally critical areas in Kenya.

Community-based environmental initiatives will be identified competitively through issuing of a Call for Proposals (CfP). The Call for Proposals guidelines will involve the following stages:

1. Announcing of the Call for Proposals;
2. Organizing of information sessions in different parts of Kenya;
3. Inviting Community-based organisations across Kenya to submit a Concept Application Form;
4. Receiving all the Concept Application Forms;
5. Assessing all the Concept Application Form based on the provided criteria;
6. Selecting the most feasible Concept Application Form;
7. Informing all applicants on the status (whether accepted or not) of their Concept Application Form;
8. Assisting all community-based organisations whose Concept Application Form have been accepted to prepare a Full Proposal;
9. Receiving all the Full Proposal Application Forms;
10. Assessing all the Full Proposal Application Forms;
11. Selecting the most feasible Full Proposal Application Forms with approval of the CDTF Board of trustees;
12. Informing all applicants whether their Full Proposal Application Forms have been accepted or not; and
13. Concluding grant agreements with successful applicants.

1.2 OBJECTIVES OF THE CEF PROGRAMME AND PRIORITY ISSUES

The **overall objective** of the Community Environmental Facility is to support community projects aimed at poverty reduction through improved livelihood systems and the conservation of community natural resources and initiatives for enhanced environmental management and governance.

Kenya's natural resources fuel her economy and if wisely used will continue to sustain its growth on sustainable pathways. Environmentally critical areas also provide important goods and services to adjacent communities and beneficiaries further afield. Linkages between these environmentally important areas and downstream communities form a network of interactions. These interactions continue to benefit or harm both adjacent and downstream communities depending on how they are managed. Due to human use pressures, these interactions have been disrupted negatively affecting the quality and the productivity of such environmentally important areas in terms of environmental goods and services. Climate change may potentially alter interactions between and across ecosystems. Climate change coupled with pressure resulting from increased demands for environmental goods and services, will affect the ability of critical ecosystems to continue supporting livelihoods for local communities. Building ecosystems' resilience from climate change and providing alternative livelihood and energy sources to communities is urgent. Capacity building and empowerment of communities will be critical in achieving the twin goals of poverty reduction and environmental sustainability. The CEF call for proposals is targeted at enhancing productivity of environmentally critical areas so as to achieve poverty reduction and environmental sustainability. Kenya's diverse ecosystems are targeted as what happens in one part of an ecosystem, has implications on that particular ecosystem, as well on adjacent ecosystems. See annex 5 for a description on the ecosystem approach adopted for the CEF call for proposals.

Under the CEF sub-component, the Community Development Trust Fund (CDTF) will assist communities to design suitable projects, provide training and guidance in project management and governance, and engage with governmental, non-state-actors and quasi government institutions in the implementation of environmental initiatives in environmentally important areas.

The categories of projects to be considered under this call for proposals are:

Lot 1: Projects proposed to be implemented in Kenya's five main water towers of **Aberdares Range, Cherangani Hills, Mau Forest Complex, Mt. Elgon, and Mt. Kenya**. This is because of their critical contribution to the Kenyan economy in hydropower production, ecological sustenance for wildlife, agricultural production, tourism and biodiversity conservation¹. Support to Lot 1 projects will amount to 40% of the CEF investment.

Lot 2: Projects proposed for support in **any other important environmental ecosystems in Kenya** such as in forests, swamps, lakes, coastal, marine, important wildlife areas, river basins and dry-lands. Support to Lot 2 projects will amount to 60% of the CEF investment.

Recognizing the need to enhance resilience of ecosystems and communities to the adverse impacts of climate change, take off pressure on forested ecosystems from energy requirements and address gender aspects, this Call for Proposals accords priority to projects proposed in the priority areas of 1) Climate change adaptation and mitigation, and 2) Renewable Energy².

¹ Republic of Kenya, Ministry of Planning, National Development and Vision 2030. 2008. First Medium Term Plan (2008-2012). Government Press, Nairobi. See Chapter 5.3.2 and Implementation matrix D3: Environment, Water and sanitation

² This priority is accorded to proposals for either Lot 1 and Lot 2.

Broadly, the priority issues for both Lot 1 and Lot 2 include, but not limited to: conservation of threatened ecosystems; soil and water conservation; renewable energy conservation; water, sanitation and pollution; nature-based enterprises; eco-agricultural initiatives, climate change adaptation and mitigation, alternative technology adoption; and enhanced natural resource management.

Specifically, the priority areas include, but are not limited to:

- Forest protection and management including reforestation for livelihood enhancement and carbon sequestration;
- Rural renewable energy management and conservation;
- Pollution and waste control management in urban and peri-urban areas in Kenya;
- Water supply development that is linked to improvement catchment management;
- Enhance capacity of Water Resources Users Association (WRUAs) to allocate, regulate and conserve water in environmentally critical areas;
- Biodiversity conservation;
- Flood control and mitigation;
- Wildlife and environmental conflict management;
- Climate change adaptation and mitigation on local livelihoods and natural resource initiatives;
- Innovative approaches relating to enhancing ecosystem services;
- Nature-based livelihoods support;
- Development of incentive mechanisms to enhance community participation and financing of natural resource management by private sector in especially in ecosystems they rely on for their day-to-day activities;
- Application of already developed appropriate technologies to enhance soil fertility and increased productivity;
- Conservation of degraded wetlands and marine ecosystems;
- Enhancement of pastoral livelihood systems including introducing safety nets;
- Reduction of threats and conflicts over natural resources;
- Strengthening traditional management systems of pastoral communities; and
- Strengthening of local capacity environmental governance systems & structures.

All CEF-supported environmental initiatives must:

1. Show, whenever relevant, how the following cross-cutting issues have been considered in the project design, implementation and monitoring:
 - Gender equality: that men and women participate in and benefit from the project
 - Good governance: that projects are run in a transparent manner and that the project implementation committees (PIC) are accountable and engage the project beneficiaries throughout the different stages of project implementation
 - Prevention of HIV/AIDS and improved sexual and reproductive health.
 - Participation and non-discrimination of vulnerable groups, such as children, older people and people with disabilities.
2. Show that the project has been collectively identified by the community or a group of communities and is a priority need;
3. Show how the community will monitor the technical and financial aspects of implementation; and
4. Show how the outputs will be sustained after completion of the project.

Integration of projects with the Government's environmental and development plans.

The proposed project must be in line with the relevant Provincial or District Environmental Action Plan and progressively align to county plans. Therefore the District Environment Officer³ must confirm on the Concept Application Form and the

³ In case where a district does not have a District Environment Officer (or alternate), the confirmation can be done by the representative of a relevant line ministry.

Full Proposal Application Form that the proposed project is in line with the priorities of the District Environmental Action Plan (DEAP). In districts where there is no approved District Environmental Action Plan, the certification must attest that the proposed project does not contradict the Environmental Management and Coordination Act (EMCA), 1999 or NEMA's Strategic Environmental Plan.

The proposed project should not presently be supported by any other major environmental programme. Stalled projects due to lack of funds and which meet the eligibility criteria of this call for proposals qualify for support.

Geographical criteria:

The CEF investment will be focused on Kenya's environmentally critical areas. Given the contributions of Kenya's water towers, CDTF will endeavor to invest:

- i) 40% of the CEF investment (**Lot 1**) towards projects proposed for support in the ecosystems of Kenya's five main water towers of **Aberdares Range, Cherangani Hills, Mau Forest Complex, Mt. Elgon, and Mt. Kenya**. This is because of their critical contribution towards hydropower production, ecological sustenance for wildlife, agricultural production, tourism and biodiversity conservation in all of Kenya ⁴.
- ii) 60% of the investment (**Lot 2**) towards support of proposed projects in **any other important environmental ecosystems** in Kenya;

All projects under **Lot 1** and **Lot 2** will be implemented over a period of not more than 36 months.

Organisation of project implementation:

1. Projects should be directly implemented by community-based organisations as detailed in point 2.1.1;
2. The community-based organisations implementing the projects can be assisted by partners and associates (see section 2 for definitions) such as Non-State Actors, Community-Based Organizations, Local Authorities, Government Agencies, and Private Sector;
3. Partnership arrangements are aimed at enhancing the capacities of communities to design and implement environmental initiatives.
4. Priority will be accorded to proposals with a high benefit to cost ratio, meaning the quantity of benefits directly delivered to the communities as compared to the total cost of the project;
5. Applications should include an estimate of the number of beneficiaries expected to benefit from the proposed project. The estimates should be broken down by gender;
6. Applicants should indicate factors or risks that may negatively affect project implementation;
7. Applications should meet a priority need with impacts within or across environmentally important ecosystems;
8. Any governing body such as the Board of the Applicant and any implementation body, such as a Project Implementation Committee (PIC) should have a gender balance in line with standing Government guidelines. This means that at least 30% of their members must be either men or women;
9. Applications should involve all relevant members of the communities in the identification, planning, implementation and monitoring of the project;
10. Projects should incorporate cross cutting issues namely i) gender equality; ii) Good governance; iii) prevention of HIV/AIDS and improved sexual and reproductive health; and iv) Participation and non-discrimination of vulnerable groups, such as children, older people and people with disabilities; and
11. Projects which provide social services such as schools and health should incorporate components which provide water and sanitation and which integrates environmental concerns such as environmental education, waste disposal and tree planting..

⁴ Republic of Kenya, Ministry of Planning, National Development and Vision 2030. 2008. First Medium Term Plan (2008-2012). Government Press, Nairobi. See Chapter 5.3.2 and Implementation matrix D3: Environment, Water and sanitation

Types of support activities that may be financed under this call

The following are some of the support activities that could be funded under this call (these are not exhaustive):

- Capacity building of communities, including training;
- Information provision to communities through publicity campaigns and workshops
- Acquisition of licenses and permits;
- Environmental Impact Assessment and environmental audits;
- Project design related studies;
- Design and construction of infrastructure such as water supply systems, including spring development, rain water harvesting, bore holes, rock water harvesting etc;
- Procurement of energy saving devices, including energy efficient stoves and solar power units for public facilities,
- Engagement of supervisors for construction;
- Establishment of operations and management structures;
- Implementation of project exit strategies;
- Technical assistance to the community by NGOs, Government offices, and parastatals as partners or associates;
- Hiring of project staff; and
- Coordination costs associated with the project implementation.

1.3 FINANCIAL ALLOCATION PROVIDED BY CDTF

Indicative allocation of funds

The overall indicative amount made available under this call for proposals is **Kshs.2 Billion**. The indicative amount for **LOT 1 is 800 million Shillings** and that for **LOT 2 is 1.2 billion shillings**.

The Community Development Trust Fund (CDTF), as the Contracting Authority reserves the right not to award all available funds and/or to adjust the funds between the two lots in line with the proposals received.

Size of grants

Any grant awarded to a specific project under this Call for Proposals (CfP), covering the 2 lots, must fall within the following ceiling amounts:

- **Minimum amount:** KSh 7.5 million (including community contribution).
- **Maximum amount:** KSh 31.5 million (including community contribution).

A grant requested from CDTF may not be for more than 90% of total cost of the project.

A grant requested from CDTF may not be for less than 50% of total cost of the project.

This means a minimum of 10% community contribution of the total project cost is required. The maximum community contribution is 50% of the total cost of the proposed project.

Any co-financing will have to be from sources other than the European Union budget or the European Development Fund or from the Government of Denmark.

2. RULES FOR THIS CALL FOR PROPOSALS

The following definitions apply to the present guidelines:

Partnership: group of two organizations, meaning the applicant and its partner involving shared responsibilities for the purpose of implementing the proposed project.

Applicant: the community-based organization responsible for submitting the application (see 2.1.1.1 for more details on community-based organisations).

Partner: the organisation of the partnership other than the applicant.

Associate: organisation that plays an active role in the project but which cannot benefit from funding under the grant, with the exception for payments for per diem and travel cost undertaken for the benefit of the project.

Contractor: organization identified and contracted by the beneficiary or its partner(s) in accordance with the appropriate procedures in order to execute specific tasks in implementing the action.

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- Applicant and partner who may request a grant and its partners: see point 2.1.1;
- Projects for which a grant may be awarded see point 2.1.2; and
- Types of costs, which may be taken into account in determining the amount of the grant: see point 2.1.3.

2.1.1 Eligibility of the Applicant and Partners

2.1.1.1 Eligibility of applicants: who may apply?

(i) In order to be eligible for a grant, applicants **must be**:

- Legal persons or entities registered **in Kenya** and operate under the relevant legislation. These are **Community Based Associations** registered under the Ministry of Gender, Sports, Culture and Social Services, Water Resource Users Associations registered as per the Water Act (2002, Community Forest Associations registered by the Registrar of Societies as per and Forests Act (2005); Trusts and Group Ranches incorporated under the Ministry of Lands; and Cooperative societies incorporated under the Ministry of Cooperatives; and
- Be non profit making; and
- Be registered in Kenya, and
- Be directly responsible for the preparation and management of the Project with their partner, not acting as an intermediary.

NOTE: When submitting the Concept Application Form, applicants must show that their organization is either registered or has applied for registration with the relevant authority. When submitting the Full Proposal Application Form, the applicants must have been registered with the relevant authority (ies).

(ii) Applicants are not eligible under this call or cannot be awarded grants if they are or have been:

- Bankrupt, being wound up, or having their affairs administered by the courts;

- Convicted of an offence concerning their professional conduct;
- Guilty of grave professional misconduct;
- Fulfilled obligations relating to the payment of social security contributions or the payment of taxes;
- The subject of a judgment for fraud, corruption, involvement in a criminal organization or any other illegal activity; and
- Subject to a conflict of interest.

In the "Declaration of Applicant", which is part of the Concept Application Form, applicants must declare that they do not fall into any of these situations. The Declaration of Applicants must be **completed and signed**, otherwise the applicant may be excluded from the Call for Proposals.

2.1.1.2 Partnerships and eligibility of partners

An applicant may act by itself or with partner organisations. Partnerships are encouraged: i) where these prove effective in providing communities with technical and managerial assistance; and ii) where the partnership does not disadvantage the applying community in terms of costs associated with the partnership arrangement. Communities can work **with a maximum of two partners and unlimited number of associates**. The number of partners and associates should be manageable depending on the type of the project and the applicant's capacity. Partners include other community-based organizations and non-state actors. Associates include governmental agencies like Local Authorities or quasi government institutions like Kenya Wildlife Service (KWS), Water Resources Management Authority (WRMA), and Kenya Forest Service (KFS) or relevant line ministries. The applicant may, if needed change its partners and associates when preparing the Full Proposal Application Form, to enhance effectiveness in the project implementation and management.

i) Eligibility of partners:

- Community-Based Organisations that satisfy the same eligibility criteria as the applicant or
- Non-State Actors⁵ registered in Kenya or in a Member State of the European Union or European Economic Area, an official candidate country that is a beneficiary of the Instrument for Pre-Accession Assistance and have presence in Kenya, the Africa Caribbean and Pacific (ACP) States, and least developed countries as defined by the United Nations. See Annex 6 for the list of eligible countries.

ii) The following are not partners and do not have to sign the "partnership statement":

- **Associates**

Other organisations that may be involved in the Project. Such associates play a real role in the Project but may not receive funding from the grant with the exception of per diem and/or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. The associates have to be mentioned in the application form as provided.

⁵ Non-State Actors include: non governmental organisations, organisations representing indigenous peoples, organisations representing national and/or ethnic minorities, local traders' associations and citizens' groups, cooperatives, trade unions, organisations representing economic and social interests, organisations fighting corruption and fraud and promoting good governance, civil rights organisations and organisations combating discrimination, local organisations (including networks) involved in decentralized regional cooperation and integration, consumer organisations, women's and youth organisations, teaching, cultural, research and scientific organisations, universities, churches and religious associations and communities, the media and any non governmental associations and independent foundations, including independent political foundations

- **Contractor**

During the project implementation, the grant beneficiaries have the possibility to award contracts to subcontractors. Sub-contractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract.

2.1.2 Eligible Projects: Projects for which an application may be made

Definition:

A Project is a set of activities aimed at resolving an identified problem.

Duration:

The planned duration of projects under Lot 1 and Lot 2 is less than 36 months.

Sectors or themes:

See section 1.2 of this Call for Proposal guidelines for the eligible sectors or themes.

Location:

Projects **may only take place in Kenya**. See section 1.2 for more details on the geographical criteria.

Ineligible projects are those:

- Concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- Concerned only or mainly with individual scholarships for studies or training courses;
- Projects which discriminate against individuals or groups of people on grounds of their gender, sexual orientation, religious beliefs or lack of them, race or their ethnic origin;
- Projects supporting political parties;
- Projects aimed at religious conversions;
- Social activities such as paying of bursaries, school fees, hospital bills or initiatives that only benefit small sections of a larger community or are not in line with the objectives of CEF;
- Other social activities that are not in line with the objectives of the CEF; and
- Projects whose main objective is to make individual profit other than social, economic and environmental benefits for an entire community and that can be re-invested to sustain the project will not be accepted.

Monitoring and evaluation:

Applications should include in their full proposal applications and Budgets appropriate measures for monitoring the implementation of the proposed project evaluation as required.

Visibility:

Applicants should include in their full proposal applications and budgets their planned measures to guarantee the visibility of their activities and of CDTF and its donors. For further information in this regard, please consult the CDTF Visibility Guidelines attached as Annex 7.

Number of applications and grants per applicant:

- An applicant may not submit more than one application under this call for proposals;
- An applicant may not at the same time be partner in another application;
- Partners and associates may take part in more than one application.

2.1.3 Eligibility of costs

Eligible costs are those which may be taken into consideration for the grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on costs to be incurred in the implementation of the project.

In the Concept Application Form, only budget estimates are expected. A detailed budget will be prepared on submission of the Full Proposal Application Form as stated in section 2.4.1.

i) Eligible costs

To be eligible under the Call for Proposals, costs actually incurred by the applicant must meet all the following criteria as per article 14 of the General Conditions to the Standard Grant Contract:

- They are incurred during the implementation of the project with exception of costs relating to final reports, expenditure verification and evaluation of the project;
- Must be indicated in the estimated overall budget of the project;
- Must be necessary for the implementation of the project;
- They are identifiable and verifiable, in particular being recorded in the accounting records of the beneficiary and determined according to the applicable accounting standards of Kenya; and
- Must be reasonable, justified and comply with the requirements of sound financial management.

ii) Contingency reserve

A contingency reserve not exceeding 5% of the eligible costs may be included in the Budget of the Project. It can only be used with the **prior written authorisation** from CDTF.

iii) Contributions in kind (also see section 1.3)

The contribution by the community can be in cash, in kind or both. In such cases, the value of such contributions must not exceed:

- a) either the costs actually borne and duly supported by accounting documents; and
- b) or costs generally accepted based on existing market rates.

If the applicant proposes co-financing in kind, this must be included in the budget of the Full Proposal Application Form. The cost of staff assigned to the project is eligible when paid by the beneficiary or partner.

iv) Ineligible costs

The following costs are not eligible:

- debts and provisions for losses or debts;
- interest owed;
- items already financed in another framework;
- purchases of land or buildings, except where necessary for the direct implementation of the Project, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest before project financing commences;
- currency exchange losses;
- taxes, including VAT, unless the Beneficiary, or partner can show it cannot reclaim them
- credit to third parties; and
- Top-ups on salaries, whether from the applicant or its partner (salary cost are allowed).

v) Indirect costs

This call for Proposal does NOT include a provision for indirect costs (overheads)

Guidelines for the Call for Proposals for the Community Environmental Facility (CEF 2011)

2.2 INFORMATION DISSEMINATION ON THE CALL FOR PROPOSALS

This is a restricted call for proposals. In the first instance, only Concept Application Forms using the provided Concept Application Form must be submitted for evaluation. Thereafter, applicants whose Concept Application Forms have been successfully pre-selected will be invited to submit Full Proposal Application Forms.

Information workshops will be conducted to provide information on the call for proposals including eligibility, thematic and geographical criteria. Information on dates and venues for the information workshops are provided in Annex 4 to the guidelines. In case of changes, additional communication will be provided through Kenya Broadcasting Corporation, FM and AM radio stations.

Questions regarding any aspect of this Call for Proposals may be sent by e-mail (cef@cdtfkenya.org), or by mail or hand delivery to the CDTF office in Nairobi, or by hand delivery to any of the CDTF regional offices mentioned above, indicating clearly the reference of the call for proposals. Questions must reach CDTF by **14th February 2011**, which is **21 days** before the deadline for the submission of Concept Application Forms. CDTF has no obligation to provide clarification on questions received after this date.

CDTF will provide replies on all questions received by mail or email, replies will be given no later than **24th February 2011**, which is **11 days** before the deadline for the submission of Concept Application Forms.

Questions and answers that may be relevant to other applicants, as well as other important notices for applicants, may be published on the internet at the CDTF web site <http://www.cdtfkenya.org>. It is therefore recommended to regularly consult the above mentioned website in order to be informed of the questions and answers published.

Questions can also be put to CDTF staff in person or by telephone. However, only written responses will be binding to CDTF.

2.3 HOW TO APPLY: CONCEPT APPLICATION FORM

2.3.1 Content of the Concept Application Form

- Applications must be submitted in accordance with the instructions on the Concept Application Form annexed to these Guidelines.
- The Concept Application Form can be either in **English or Kiswahili**.
- In the Concept Application Form, the applicants must only provide an estimate of the total costs of the proposed project, which comprises the amount of their contribution and the amount requested from CDTF.
- Only the applicants invited to submit a Full Proposal Application Form in the second phase will be required to present a detailed budget. This detailed budget may not vary from the initial estimate by more than 30% except in cases where additional elements (components) are added to enhance sustainability of the benefits. The applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount of co-financing, as laid down in the Guidelines.
- **Any major error or discrepancy related to the points listed in the instructions on the Concept Application Form may lead to the rejection of the Concept Application Form.**

- Clarifications will only be requested when information provided is unclear, thus preventing CDTF from conducting an objective assessment.
- **Legible hand-written Concept Application Forms will be accepted.**
- The estimated cost of the project must be in **Kenya Shilling**.
- Only the Concept Application Forms and its supporting documents will be evaluated. It is therefore of utmost importance that this document contain **ALL** relevant information concerning the proposed Project. This includes evidence of registration of the organization or application for registration to the relevant authority and the confirmation by the District Environment Officer that the proposed project is in line with the priorities of the District Environmental Action Plans (DEAP).

2.3.2 Where and how to send Concept Application Forms

- **One original and two copies** of the Concept Application Form together with its Checklist and supporting documents must be submitted to the Community Development Trust Fund.
- The Concept Application Form must be submitted in a sealed envelope, which must bear the **reference number and the title of the call for proposals**, together with the full name and address of the applicant. It must mention **"Not to be opened before the opening session"**.
- The Concept Application Form can be submitted by ordinary mail, registered mail, private courier service or by hand-delivery (a signed and dated receipt will be given to the deliverer) at the address below:

CDTF HEADQUARTERS - NAIROBI

Josem Trust House, Ground Floor
 P.O Box 62199-00200 NAIROBI
 Bunyala/Masaba Road
 Tel. (020) 2727799,2727888, 2727901 or 2710999/56
 Fax: (020) 2723496 or 2721382

CDTF-WESTERN REGIONAL OFFICE – ELDORET

Kiptagich House (Central Bank Building), 6th Floor
 Uganda road.
 P.O Box 6597-30100 ELDORET
 Tel: (053) 2063116
 Fax: (053) 2063049

CDTF-COAST REGIONAL OFFICE – MOMBASA

KCB Building, Treasury Square (Opposite Central Bank of Kenya),
 1st Floor, Suite A.
 P.O Box 2163-80100 MOMBASA
 Tel: (041) 2223541
 Fax: (041) 2223536

CDTF-EASTERN REGIONAL OFFICE – MERU

Opposite the Jehovah's Witness Kingdom Hall - Kagaa
 (2km from the Makutano junction)
 P.O Box 293-60200 MERU
 Tel: (020) 243 0790, 243 0246 or 243 0219
 Fax: (064) 31340

Applicants must verify that their Concept Application Form is complete using the provided Checklist.

Guidelines for the Call for Proposals for the Community Environmental Facility (CEF 2011)

INCOMPLETE CONCEPT APPLICATION FORMS WILL BE REJECTED.

2.3.3 Deadline for submission of the Concept Application Forms

The deadline for the submission of the Concept Application Forms is 7th **March 2011** 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 **15:00hrs (this is 3:00 pm)** as evidenced by the signed and dated receipt.

ANY CONCEPT APPLICATION FORM SUBMITTED AFTER THE DEADLINE WILL AUTOMATICALLY BE REJECTED.

2.3.4 Evaluation and selection process of Concept Application Forms

CDTF will manage the evaluation and assessment process. If the examination of the application reveals that the proposed Project does not meet the **eligibility criteria** stated in paragraph 2.1.3, the application shall be rejected on this sole basis.

All Projects submitted by applicants will be assessed according to the following steps:

STEP 1: ADMINISTRATIVE CHECK OF THE CONCEPT APPLICATION FORM

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Concept Application Form satisfies all the criteria specified on the Checklist. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis.
- Evidence of registration, or application of for registration as required under point 2.2.1 above;
- Evidence that the District Environment Officer has confirmed that the proposed project is in line with the priorities of the District Environmental Development Plan.
- Eligibility of applicant, location, duration, thematic area, budget limits, and community contribution.

STEP 2: EVALUATION OF THE CONCEPT APPLICATION FORM

The evaluation of the Concept Application Forms that have passed the first administrative check will cover the relevance, project description and its effectiveness, and the sustainability of the project.

The Concept Application Form will be given an overall score out of 50 points in accordance with the breakdown provided in the Evaluation Grid below.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

Evaluation Criteria	Scores
1. Relevance of the Project	20
1.1 Relevance of the project to the needs and constraints of the location in general, and to those of the final beneficiaries in particular.	5(x2)*
1.2 Relevance to the priorities and objectives mentioned in the Guidelines. A maximum score of 5 points can only be given to projects that focus on climate change or renewable energy.	5(x2)*
2. Project description and its effectiveness	20
2.1 Assessment of the problem analysis. Applicants to provide a priority list of community needs and show why a particular need is proposed for support under this call for proposals.	5

2.2	Assessment of the proposed activities (consistency in relation to the objectives, purpose and expected outputs).	5(x2)*
2.3	Assessment of the role and involvement of all stakeholders and, partners and associates.	5
3. Sustainability of the project		10
3.2	Assessment of the long-term sustainable impact on the final beneficiaries.	5(x2)*
TOTAL SCORE		50

** the scores are multiplied by 2 because of their importance*

Only Concept Application Forms with a minimum score of 30 points will be considered.

Once all Concept Application Forms have been assessed, a list will be established with the proposed Projects ranked according to their total score.

The highest scoring Concept Application Forms, the value of which corresponds to 140% of the funds available for this Call for Proposals, will be selected.

Following the opening session and the administrative check and evaluation of the Concept Application Form, CDTF will send a letter to all applicants, indicating whether they have been recommended for further evaluation.

STEP 3: VERIFICATION OF ELIGIBILITY AND THE FIELD APPRAISAL

The eligibility verification will be based on a field appraisal. This will **only** be performed for the applications that have been successfully evaluated and selected.

During the field appraisal, the applicants' eligibility and capacity to implement the proposed project will further be validated. The field appraisal will involve eligibility check on the existence of a community, project design approach, need for the proposed project, gender integration and mainstreaming, partnership arrangements, capacity of the project implementation committee and the sustainability of the project. Applicants whose Concept Application Forms are successfully appraised will be notified and informed on the next steps. This will include support in the development of full proposal Application Forms.

A summary of the applications made and of successful applications will be posted in the CDTF website.

2.4 HOW TO APPLY: FULL PROPOSAL APPLICATION FORM SUBMISSION AND EVALUATION

2.4.1 Preparation of the Full Proposal Application Form

NOTE: Full Proposal Application Forms must **only** be submitted for **selected** Concept Application Forms.

Applicants invited to submit a Full Proposal Application Form must fill Part B of the application form annexed to these Guidelines (see Annex 1). Applicants should keep strictly to the format of the application form and fill in the paragraphs and the pages as provided.

CDTF will assist applicants and their partners in the preparation of Full Proposal Applications Forms. Other organisations, including partners and associates may also assist the communities in the preparation of the full proposal application form. This is done to ensure that the applications are of high quality, address a development need and poverty in a comprehensive, efficient, effective and sustainable manner and adequately integrate relevant cross-cutting issues.

This support to communities will be need-based but limited to a maximum of 3 people over a maximum period of 3 days depending on the needs of the applicant. Relevant district officers such as District Development Officer, the

District Environmental Officer and the District Social Officer will be invited to participate and contribute. The contents of the Concept Application Forms cannot be modified in the full application form, except in cases where this improves the efficiency, effectiveness and the sustainability of benefits. The detailed budget may not vary from the initial estimate by more than 30% except in cases where additional elements (components) are added to enhance sustainability of the benefits. The applicant is free to adapt the percentage of co-financing required under point 1.3.

Any error related to the points listed in the Checklist (Part B, Section V of the Grant Application form) or any major inconsistency in the full application form may lead to the rejection of the application.

Clarifications will only be requested when information provided is unclear, thus preventing Community Development Trust Fund from conducting an objective assessment.

Full proposal applications **must be typed and in English only**.

The budget must be expressed in **Kenya Shillings**.

CDTF will only assess the Full Proposal Application Form and all its required annexes. It is therefore important that these documents contain **ALL relevant information** concerning the proposed Project.

APPLICATIONS WHICH DO NOT MEET THESE CRITERIA MAY BE REJECTED.

2.4.2 Where and how to send the Full Proposal Application Form

Applications must be submitted to the same addresses as for the Concept Application Forms as stated in **section 2.3.2**

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

Submit one original and two copies of the completed application form.

Mark on the outer side of envelope the **reference number and the title of the call for proposals**, together with the full name and address of the applicant. The envelope also needs to mention: "**Not to be opened before opening session**".

Applicants must verify that their application is complete using the checklist provided.

INCOMPLETE APPLICATIONS MAY BE REJECTED.

2.4.3 Deadline for submission of the Full Proposal Application Form

The deadline for the submission of full proposals will be indicated in the letter sent to the applicants whose Concept Application Forms have been pre-selected.

2.4.4 Evaluation and selection process of Full Proposal Application Form

All Full Proposal Application Forms submitted by applicants will be assessed through the following steps:

STEP 1: ADMINISTRATIVE CHECK OF THE FULL PROPOSAL APPLICATION FORM

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The full proposal application form satisfies all the criteria specified in the Checklist (Section V. of part B of the grant application form). If any of the requested information is missing or is incorrect, the application will be rejected on that **sole** basis and the application will not be evaluated further.

Following the administrative check, the Contracting Authority will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, and whether their application has been recommended for further evaluation.

STEP 2: EVALUATION OF THE FULL PROPSAL APPLICATION FORM

To ensure transparency, independence and neutrality, CDTF personnel who provide assistance to communities will not assess the Full Proposal Application Forms of those same communities.

The evaluation of the Full Proposal Application Form, including the proposed budget, and the capacity of the applicant and its partners, will be carried out in accordance with the evaluation criteria set out in the Evaluation Grid shown below.

Scoring:

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

Evaluation Criteria	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicant and, if applicable, partners have enough experience of project management ? Does the Project adequately address any gaps through a capacity building?	5 x 2
1.2 Do the applicant and, if applicable, partners and associates have enough technical expertise ? Does the Project adequately address any gaps through a capacity building?	5
1.3 Does the applicant have sufficient sources of finance (in cash or in kind)?	5
2. Relevance	25
2.1 How relevant is the proposal to the objectives and one or more of the priorities of the call for proposals? A maximum score of 5 points can only be given to projects that focus on climate change or renewable energy.	5 x 2
2.2 How relevant to the particular needs of poverty issues of the target location?	5
2.3 How clearly defined and strategically chosen are the final beneficiaries? Have their needs been clearly defined and does the proposal address them appropriately?	5 x 2
3. Assessment of appropriateness, consistency, comprehensiveness, coherence and feasibility	25
3.1 Are the activities proposed appropriate, and consistent with the expected outputs?	5
3.2 How coherent is the overall design of the Project? (does it reflect the problem analysis)	5
3.3 Is the partner and stakeholders' level of participation in the Project satisfactory?	5
3.4 Is the action plan clear and feasible?	5
3.5 Does the proposal contain objectively verifiable indicators for the outputs of the Project?	5
4. Sustainability	15
4.1 Is the Project likely to have a tangible impact on the beneficiaries?	5
4.2 Are the expected outputs and benefits of the proposed Project sustainable : -financially <i>(how will the activities maintaining structures and generating benefits be financed after the funding ends?)</i> -institutionally <i>(will structures allowing the activities to continue be in place at the end of the Project?)</i> -environmentally <i>(will the Project have a negative/positive environmental impact?)</i>	5 x 2
5. Budget, Efficiency and Effectiveness	15
5.1 Are the activities appropriately reflected in the budget?	5(x2)*
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5
Maximum total score	100

Only Full Proposal Application Forms with a **minimum score of 12 points for its financial and operational capacity** will be considered

Provisional selection:

Following the evaluation, a table listing the applications ranked according to their score and within the available financial envelope will be established as well as a reserve list following the same criteria.

Note: The scores awarded in this phase are completely separate from those given to the Concept Application Forms of the same application.

2.5 NOTIFICATION OF CDTF's DECISION

2.5.1 Content of the decision

Applicants will be informed in writing of CDTF's decision concerning their application and, in case of rejections, the reasons for the negative decision.

A summary of the applications made and of successful applications will be posted in the CDTF website.

Applicants believing that they have been harmed by an error or irregularity during the award process may file a complaint with CDTF by writing to:

**The CDTF Programme Coordinator,
Josem Trust House, Ground floor, Bunyala/Masaba Road,
P.O. Box 62199-00200;
Tel 2727799, 2727888 or 2727901,
Fax 2721382,
Nairobi.**

Such a complaint will be discussed by the CDTF Board of Trustees and a response communicated in 90 days.

2.5.2 Indicative time table

ACTIVITY	DATE	TIME
Date of launch of Call for Proposal and invitation to submit Concept Application Forms to CDTF	17 th January 2011	-
Information Workshops	24 th Jan – 4 th Feb 2011	
Deadline for request for any clarifications from the Community Development Trust Fund (CDTF)	14 th Feb 2011	-
Last date on which clarifications are issued by the Community Development Trust Fund (CDTF)	24 st Feb 2011	-
Deadline for submission of Concept Application Forms	7th March 2011	15:00 hrs
Opening, administrative check, and evaluation of Concept Application Forms	By 21 st March, 2011	-
Information to applicants on the opening, administrative check and evaluation of Concept Application Form	By 21 st April, 2011	-
Information to Applicants on verification of eligibility and field appraisal	1 st July , 2011	-
Invitations for submission of Full Application Form	8 th July, 2011	-
Deadline for submission of Full Application Forms	22nd August , 2011	15:00 hrs
Information to applicants on the Full Application Form administrative check and evaluation	22 nd September, 2011	-
Contract signature	28 th Oct 2011 – 31 st Jan 2012	-

2.6 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE PROJECT

Following the decision to award a grant, the Beneficiary will be offered a contract based on CDTF's standard contract. By signing the Application form (Annex A of these Guidelines), the applicant declares accepting, in case a grant is awarded, the Contractual conditions as laid down in the Standard Contract.

Implementation contracts

Where implementation of the Project requires the Beneficiary to award procurement contracts, it must award the contract to the tenderer offering the best value for money, that is to say, the best price-quality ratio, in compliance with the principles of transparency and equal treatment for potential contractors, care being taken to avoid any conflict of interests. To this end, the Beneficiary must follow the procedures set out in Annex IV of the contract.

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED BY THE APPLICANT

ANNEX 1: PART A: CONCEPT APPLICATION FORMS

PART B: FORMATS FOR THE FULL APPLICATION , THE LOGICAL FRAMEWORK FOR FULL PROPOSAL TEMPLATE
FOR BUDGET FOR THE PROPOSED PROJECT

DOCUMENTS FOR INFORMATION

ANNEX 2: STANDARD CONTRACT

ANNEX 3: PROJECT CYCLE MANAGEMENT GUIDELINES

ANNEX 4: INFORMATION WORKSHOP VENUES

ANNEX 5: ECOSYSTEM APPROACH

ANNEX 6: ELIGIBLE COUNTRIES

ANNEX 7: CDTF VISIBILITY GUIDELINES

ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN UNION FINANCED CONTRACTS FOR EXTERNAL
PROJECTS

ANNEX III: BUDGET

ANNEX IV: CONTRACT AWARD PROCEDURES

ANNEX V: STANDARD REQUEST FOR PAYMENT

ANNEX VI: MODEL NARRATIVE AND FINANCIAL REPORT

All annexes can be downloaded from the following websites:

CDTF - <http://www.cdtfkenya.org//>

EU Delegation Website - http://ec.europa.eu/delegations/kenya/funding_opportunities/grants/index_en.htm

Europe Aid Website - http://ec.europa.eu/europeaid/work/funding/index_en.htm

RDE NRMP Webpage - <http://www.ambnairobi.um.dk/en/menu/Development/NaturalResourceManagement>