



This project is funded by the European Union

**GUIDELINES FOR APPLICANTS SEEKING FINANCIAL SUPPORT AND TECHNICAL ASSISTANCE UNDER THE GREEN RECYCLING ENTERPRISES ENGAGING IN NEW TECHNOLOGY FOR A CIRCULAR ECONOMY IN ZAMBIA (GREENTech4CE)**

**Reference No:**

**Agreement No. EuropeAid /177993/DD/ACT/ZM**

**DEADLINE FOR SUBMISSION**  
**13<sup>th</sup> December, 2024 at 12.00 (noon) CAT**

**CALL I – MEDIUM ENTERPRISES**  
**GRANT BETWEEN EUR 100,000 and EUR 500,000**

This project is implemented





## NOTICE

This is a restricted call under the **Green Recycling Enterprises Engaging in New Technology for a Circular Economy in Zambia (GREENTech4CE)** Project. **This is the first call (“Call I”) of at least two calls targeting medium-sized enterprises.** The second call (“Call II”) is planned to be issued six (6) months after the close of Call I. During Calls I and II, approximately EUR 8 million will be allocated, supporting medium sized enterprises with financial assistance through matching grants<sup>1</sup>.

Eligible applicants will be required to submit first project concept notes (PCNs) and then full proposals (FPs) which shall be evaluated based on their alignment and compatibility with the green, circular and digital (GCD) economy objectives.

All received applications will be reviewed by a dedicated panel. Successful applicants whose concept notes are shortlisted shall be invited to submit FPs. **Before applying for this call, SMEs must first register to request access to the GreenTech4CE on-line application portal via the eligibility criteria link: [Request to Apply](#).**

To kick off the application process, applicants need to complete a preliminary online eligibility form (Refer to Annex 1 – preliminary online eligibility form). The form consists of key information required and provides for applicants consenting to the terms and conditions set for participating in the call. Successful applicants will thereafter be onboarded to the GREENTech4CE application portal. The aim of using this platform is to enhance the efficiency of the application process and management of the call for concept notes. The platform will also offer a better service to businesses through functionalities such as on-line submission and the ability to track the approval status of submitted applications.

The GREENTech4CE project is seeking a balanced portfolio of MSMEs, skewed to the green, circular and digital sectors, social inclusivity e.g. women and youth entrepreneurs, and the capacity to deliver on the fund’s objectives. **These guidelines are meant to guide businesses to successfully submit applications in the first Call.**

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<sup>1</sup> For the definition of matching grant see section 2.3

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## 1 BACKGROUND

The **Green Recycling Enterprises Engaging in New Technology for a Circular Economy in Zambia (GREEN Tech4CE)** project is a € 22.7 million initiative funded by the European Union. The Project is based on a collaboration with the Ministry of Green Economy and Environment (MoGEE), the Ministry of Small and Medium Enterprise Development (MoSME), the Ministry of Commerce, Trade and Industry (MoCTI) and the Ministry of Technology and Science (MoTS) as well as with representatives of the private sector, such as the Zambia Chambers of Commerce and Industry (ZACCI), Business Development Service Providers Association of Zambia (BDSPA), Bankers Association of Zambia (BAZ), Zambia Association of Manufacturing (ZAM) and National Advisory Body of Impact Investors (NABII) amongst other private sector actors.

The GREENTech4CE project is dedicated to fostering sustainable and inclusive economic growth in Zambia, supporting the growth of start-ups and MSMEs within the green, circular economy and digital sectors and those enterprises that are seeking to implement or in transition to green, circular and digital business models. Through comprehensive technical and financial support, GREENTech4CE will drive innovation, create employment opportunities, and facilitate economic diversification. This project falls under the broader Green Economy Promotion and Diversification (GEPD) Project supported by the European Commission, which seeks to address Zambia's economic vulnerabilities and environmental challenges. Together, these initiatives strive to build a resilient and sustainable future for Zambia.

The project is inspired by the **European Commission's Circular Economy Action Plan (CEAP) launched in March 2020**, one of the main building blocks of the European Green Deal. The CEAP promotes the transition to a circular economy as a means of reducing pressure on natural resources and creating sustainable growth and jobs, thus decoupling economic growth from natural resources depletion. The action plan announces initiatives along the entire life cycle of products, targeting product designs, circular economy processes, sustainable consumption, prevention of waste, and the extension of the lifespan of resources to retain them in the economy, as long as possible. The project also supports the **EU-Zambia Strategic Partnership on CRMs**<sup>2</sup> by contributing to the achievement of the objectives of the Memorandum of Understanding (MOU) signed between the EU and the Zambian Republic on sustainable mineral value chains in October 2023.

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<sup>2</sup> [https://single-market-economy.ec.europa.eu/system/files/2023-11/MoU\\_CRM\\_EU\\_Zambia\\_26\\_10\\_2023\\_signed.pdf](https://single-market-economy.ec.europa.eu/system/files/2023-11/MoU_CRM_EU_Zambia_26_10_2023_signed.pdf)



The GREENTech4CE project supports the implementation of the recently launched Zambia’s **Green Growth Strategy** to generate economic growth that is also socially inclusive and environmentally sustainable. It supports the **Eighth National Development Plan (8<sup>th</sup> NDP)** objectives to achieve economic diversification, increase local value addition, create new and decent jobs. The project targets the “missing middle” – which are businesses that are considered too risky because they are in new or innovation led sectors, and growth stage businesses not too mature for commercial financing and other investments.

The key approach of the GREENTech4CE project is to support the growth and success of small and medium businesses by providing expert advice and funding. The project involves collaboration with various stakeholders, including the government, businesses, and consumers, to foster sustainable and positive changes in the green economy.

The project employs a blended financing model, combining business’s own contributions (*skin in the game*) with project financial support (*matching grant*) to stimulate further investment and commitment. It adopts an adaptive management approach, premised on co-creations as well as continuous improvements based on feedback and new information to address the needs of businesses and the community. It emphasises the inclusion such as of women and youth entrepreneurs, helping them overcome barriers to participating in the economy.

The Project is implemented by Self Help Africa (“SHA”) in a consortium with the Consortium Partners namely, Imani Development (International) Ltd (“IDIL”), Prospero Limited (“Prospero”) and Tandem Circular Consulting (“Tandem”). SHA is the Fund Manager for the GREENTech4CE.

## 2 OBJECTIVES OF THE GREENTECH4CE PROJECT

The intervention logic of the GREENTech4CE project aims to address the challenges MSMEs face in transitioning into a sustainable and diversified green, circular, and digital (GCD) economy. The project intends to enhance MSMEs’ capacities through technical assistance and financial support, to increase local value addition and sector diversification, to link value chains associated with CRMs and increase market awareness and access for GCD products. By improving the availability and diversity of financial products for MSMEs and fostering public-private learning and policy advocacy, the project seeks to attract more investments and facilitate MSME growth in Zambia’s GCD economy.

Specific objectives include support and development of **550 start-ups and micro-enterprises** through technical assistance and grant support for business development; boost economic growth by enhancing market access, including local, regional, and international markets to **330 start-ups and micro-enterprises and 250 SMEs**. Further, impact investors/venture capital



will develop and provide access to financial options for GCD MSMEs, joint ventures and start-ups, thus helping diversify the investment landscape.

Over its duration, the project will support, through financial support and technical assistance, approximately **800 MSMEs**<sup>3</sup>, engage between **8-15** business development service providers (BDSPs)<sup>4</sup>, financial service providers (FSPs), and set up and equip **two (2) Fabrication Laboratories (FabLabs)**<sup>5</sup> for design/prototyping offering entrepreneurs access to advanced software and technologies.

The Project has earmarked catalysing at least EUR 20 million of new investment for GCD MSMEs and start-ups, eventually translating into job creation - **2,000 new full-time equivalent (FTE) jobs and 4,000 existing FTE jobs** sustained within the targeted MSMEs, thereby generating a significant economic impact for employees and their households.

An estimated **500 individuals from targeted MSMEs** will complete specialised training and attain relevant qualifications through courses and modules in circular economy and financial, digital, and management literacy – this will include advising on curricula improvements for TVET qualifications related to circular economy. In addition, from a social inclusion perspective, the project will target **50% women and 75% youth entrepreneurs** as participants, enhancing their participation in sustainable GCD economies.

### 2.1 Financial allocation provided by the GREENTech4CE

The Project has been designed to provide financial support to Zambian companies amounting to EUR 15.7m. This amount will be disbursed through several calls during the life span of the project.

### 2.2 Financial allocation provided by the GREENTech4CE for the first call

Call I targets **established medium enterprises on a growth trajectory** and looking for scale-up or expansion capital within the green, circular and digital economy, including CRM. The GREENTech4CE reserves the right not to award all available funds.

### 2.3 Minimum Criteria of financial support and size of financial support

Any grant requested from the GREENTech4CE Project under Call I must fall within the following criteria:

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<sup>3</sup> (small medium enterprises and startups in and/or transitioning the Green, Circular or Digital economy)

<sup>4</sup> (including technical support for the identified BDSPs)

<sup>5</sup> <https://fabacademy.org/>



Business ownership structure	Minimum 50% Zambian citizen-owned business. Preference will be given to companies with shareholding participation of citizens of the European Union.
Min Turnover – one of the last 3 years	EUR 350,000
Max Turnover	EUR 1,700,000
Years of operations (Minimum)	3 years uninterrupted in Zambia
Audited Financial Statements (AFS)	3 years financial statements - 2 years AFS plus latest management accounts
Co-finance	Minimum 50%

The size of financial support will be :

Min Grant	EUR 100,000
Max Grant	EUR 500,000 <sup>6</sup>

**Any grant requested under this Call cannot be more than 50% of the total eligible costs of the proposal.** Applicants whose applications meet the above minimum criteria may not be entirely eligible to access the maximum available grant.

The balance (i.e. the difference between the total cost of the proposal and the amount requested as financial support) must be financed by the applicant in the form of cash/cash equivalents, credit or equity from owner(s) and/or external sources.

### 3 RULES FOR THIS CALL FOR CONCEPT NOTES AND FULL PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call. Applicants need to meet the selection criteria to be considered for financial support. Call I is tendered under a two-staged application. The applicant will be required to submit a concept note and only successful applicants will be invited to the full proposal stage.

#### 3.1 Eligible Sectors

To be eligible PCNs and FPs submitted must fall within the following eligible sectors:

<sup>6</sup> The grant support could be extended to EUR 1,000,000 for businesses with an EU partnership or with a strong proven track record,

- 1) Manufacturing
- 2) Mining (upstream and downstream) with a focus on artisanal mining in CRM
- 3) Services
- 4) Construction
- 5) Digital
- 6) Transport and Logistics
- 7) Energy

### 3.2 Eligibility criteria

There are three sets of eligibility and all three must be fulfilled to be eligible

- 1) the actors:

The applicant, i.e. medium enterprise submitting the application form. Medium businesses are defined in accordance with the Revised National Micro, Small and Medium Enterprise Development policy adopted by the Government of Zambia in December 2023<sup>7</sup>.

- 2) the actions:

Actions/initiatives for which a grant may be awarded, and size of support required.

- 3) the costs:

Types of cost that may be taken into account in setting the amount of the grant.

#### 3.2.1.1 Applicant Criteria

To be eligible for financial support and/or technical assistance, the applicant **must comply with all the criteria** listed below: Technical support is to be provided on company specific needs basis.

- a) Must be an established Zambian medium enterprise (as above). Individuals are **not** eligible.
- b) In the case of two enterprises applying as a joint venture (JV), they must provide proof of the JV/partnership agreement. One of the entities shall be the 'Lead applicant' and the other as 'Co-applicant(s)'.
- c) The lead applicant **must** be directly responsible for the preparation and management of the action with the co-applicant(s), not acting as an intermediary.
- d) Must be compliant with all national and local laws and regulations, including meeting all obligations relating to the payment of taxes and social security contributions and relevant health and safety and environmental standards.

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<sup>7</sup> <https://www.msme.gov.zm/wp-content/uploads/2023/12/2023-MSME-POLICY-FOR-MSMED.pdf>



- e) Must be a for-profit entity and seeking expansion and/or growth capital.
- f) The business must have minimum three (3) years of uninterrupted operations in Zambia at the date of application,
- g) In addition, the business must have a yearly turnover<sup>8</sup> in **one of the last three (3) years** of at least EUR 350,000<sup>9</sup> as evidenced by audited accounts.
- h) The business must have three (3) years of financial statements including audited accounts for the two (2) most recent years plus latest management accounts. The audited accounts should have been prepared in accordance with International Financial Reporting Standards (IFRS) by an accountant accredited by the Zambia Institute of Certified Accountants (ZICA),
- i) Must be able to contribute at least 50% of the project cost through a blend of cash and cash equivalents<sup>10</sup>, credit<sup>11</sup> or equity from own or third-party sources.
- j) To be committed to sustaining practices of the green circular models both during and post the secured investment.

Applicants must meet the eligibility criteria as stipulated above and provide all the required documentation before their application can be considered. Non-submission of mandatory documentation under the eligibility criteria shall deem the project proposal nonresponsive.

For JVs or partnerships, the lead applicant must meet all the eligibility criteria in its own right and will be held accountable for the implementation of the action including the management and accountability of the Co-applicant(s) Therefore, applicants are encouraged to carefully vet their co-applicant(s) to ensure they are operating legally in line with the laws of Zambia and have the capacity to fulfil the role outlined in the proposed project.

### 3.2.2 Co-applicant(s) Eligibility Criteria

Co-applicant(s) must 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. The following basic criteria apply to co-applicant(s):

- a) Eligibility criteria may **not** apply as those for the lead applicant but must be operating in eligible sectors in **3.1**.
- b) Eligibility criteria related to actors, actions and costs shall apply as those for the lead applicant

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<sup>8</sup> Turnover is defined by that income directly derived from its commercial activity. Grants and other income do not, under the terms of the GREENTech4CE, constitute sustainable revenue.

<sup>9</sup> See Annex 3 for ZMW / EUR exchange rates to use in application or visit: [https://commission.europa.eu/funding-tenders/procedures-guidelines-tenders/information-contractors-and-beneficiaries/exchange-rate-inforeuro\\_en](https://commission.europa.eu/funding-tenders/procedures-guidelines-tenders/information-contractors-and-beneficiaries/exchange-rate-inforeuro_en)

<sup>10</sup> Monetary assets and investment with a maturity < 6 months

<sup>11</sup> Credit can come from any source including that provided through its local partner financial institutions.



- c) Co-applicant may be a non-profit organisation, offering services i.e training and technical support to lead applicant.
- d) Co-applicant(s) must be compliant with all the above criteria in 3.2.1.1 applicable to lead applicants including all national and local laws and regulations, with an exception of the following specific requirements:

Business ownership	Registered business incorporated in Zambia (preferably Zambian, European) Could be a not for profit organisation
Min Turnover	EUR 10,000
Max Turnover	EUR 100,000
Years of operations	2 years uninterrupted in Zambia
Audited Financial Statements (AFS)	Financial statements for past two (2) years (management accounts can also be provided if available)
Co-finance	N/A

### 3.2.3 Associates and Contractors

The following entities are not applicants:

- Associates (i.e. ‘Small value chain actors’)
 

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. Associates do not have to meet the eligibility criteria referred to in Section 3.2.1.1. Associates must be mentioned in the concept note.
- Contractors
 

The grant beneficiaries are permitted to award contracts. Associates cannot also be contractors in the project. Contractors are subject to the EU’s procurement rules.

### 3.2.4 Exclusion Criteria

Any applicant and/or its value chain players will be excluded from participation in this Project if:

- a) It is bankrupt, subject to insolvency or winding-up procedures, where its assets are being administered by a liquidator or by a court, where it is in an arrangement with creditors, where its business activities are suspended, or where it is in any analogous situation arising from a similar procedure provided for under national laws or regulations.



- b) It has been established by a final judgment or a final administrative decision that the medium enterprise is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the laws of the country in which it is established.
- c) It has been established by a final judgment or a final administrative decision that the medium enterprise is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the medium enterprise belongs, fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract.
- d) It has been established by a final judgment or a final administrative decision that the medium enterprise or its principals have been guilty of fraud, corruption, conduct related to a criminal activity, terrorist related offences or financing, money laundering, child labour or other offenses concerning trafficking in human beings.
- e) Shown significant deficiencies in performance of a contract or agreement financed by the European Union Budget which led to termination or penalties.
- f) Entering into agreement with other economic operators with the aim of distorting competition.

#### **4 ELIGIBLE ACTIONS TO BE FUNDED**

This call will fund for-profit initiatives, which result in a measurable positive impact through creating direct jobs, and indirect jobs by strengthening value chain actors such as micro, small medium businesses/cooperatives, aggregators, artisanal and small miners (ASM) operating in green, circular and digital value chains, and empowering women and young entrepreneurs. The call will not be open for applications with an agricultural and/or biodiversity focus.

#### **Duration of Financial Support**

The initial planned duration of an action may not be less than 24 months nor exceed 36 months or up to 31st December 2027, whilst taking into account a minimum of 2 months processing time. During this period, the financial support will be disbursed based on a negotiated milestone structure to be agreed upon before conclusion of the contract. The specific milestones will form part of the contract between the fund manager and the beneficiary business.

## 4.1 Location

Activities must take place in the Republic of Zambia. Special attention will be given to initiatives and businesses within the eligible sectors in 3.1 above in Lusaka, Copperbelt, and North-Western.

## 4.2 Types of activities and initiatives

The Projects may include (but are not limited to):

- Investments promoting innovation in the green, circular economy such as: bio-waste management, waste recovery, separation of waste at source, aggregation of different types of waste etc., including but not limited to glass, electronics, paper, bottles etc.
- measures aimed at setting up business model that enables the provider to retain ownership of the product thereby allowing the customer access to high quality green, circular or digital products through leasing, renting or subscription services.
- measures that are creating and capturing value of materials such as converting waste into energy (e.g. biogas, biochar, etc.) or valuable resources, equipment as a service (EaaS), remanufacturing, reprocessing, etc.,
- Production, supply, of sustainable transportation i.e. electric vehicles or component of electric vehicles, setting up of services using e-vehicles, shared mobility platforms. This can extend to construction, installation, maintenance/management of charging stations.
- Conception and production, distribution of training material using innovative methodologies, such as digital platforms and tools, particularly if targeting green, circular business models or production processes, women and youth entrepreneurs' empowerment, improvement of environmental and safety standards at work
- Supply of equipment aimed at improving energy efficiency or introduction of circular business models and/or circularity in part of production/transformation process
- Investments in shared and connected platforms or digital solutions that allow businesses, logistics providers, and other stakeholders in a supply chain to collaborate in real time and reduce costs
- Strengthening existing ancillary value chain actors or onboarding of such informal groups or facilitating the creation of micro-small entities/cooperatives to promote their integration into formalised value chains and improvement of ESG standards.
- Measures aimed at increasing local transformation of critical raw materials and minerals, including through involvement of Artisanal and small mines.



- measures in the mining and manufacturing sector aiming at improving ESG standards, promoting formalisation, increasing productivity, access to market and linkage with downstream value chains of ASM,
- Activities that promote innovation and specialisation in machine repair and refurbishment services by reducing the need for new machinery or increasing the lifespan of equipment, supporting the circular economy through the reuse and repair of equipment, particularly in relation to mining equipment
- Measures aiming at making existing CRM off-takers (buyers and processors) who specialize in adding value to raw minerals, particularly through refining, recycling, and manufacturing end-use products, acting as a technical and business anchor, providing services such as equipment leasing, market access, processing/refining facilities, or training to ASMs.
- Activities that establish and support specialized recycling centres that focus on the secondary collection, dismantling, and recovery of valuable CRMs from electrical waste and electronic equipment (WEEE).
- Collaborative initiatives with the local municipal council (who are the custodians or managers of solid waste) through provision of services waste management collection services to manage landfills and commercialise waste to recycling companies and thus empowering small value chain actors such as aggregators.
- Undertaking of feasibility studies meant to explore opportunities for the sustainable utilisation of resources and promoting circularity, waste-to-value initiatives, product life extension strategies, resource efficient manufacturing, development of sustainable models addressing sustainable extraction and production of critical minerals.<sup>12</sup>

## 5 VISIBILITY

The applicants must take all necessary steps to publicise the fact that the European Union has financed or co-financed the action through the GREENTech4CE Project. As far as possible, actions that are wholly or partially funded by the European Union must incorporate information and communication activities designed to raise the awareness of specific or general audiences of the reasons for the action and the EU support for the action in the country or region concerned, as well as the results and the impact of this support. Applicants

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<sup>12</sup> Maximum grant award for feasibility studies is up to EUR 100,000 with recipient required to match 30% of total requested funds

must comply with the objectives and priorities and guarantee the visibility of the EU financing<sup>13</sup>.

## 6 NUMBER OF APPLICATIONS PER CALL AND AWARDS PER APPLICANT

There are limits to participation in the Project:

- An applicant may not submit more than one (1) application under this call for proposals.
- An applicant may not be awarded more than one (1) grant under this call for proposals.

## 7 COST ELIGIBILITY

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 GREENTech4CE financial support should be invested in costs that result in improved integration of MSMEs in circular economy value chains and in improved technical capacity of businesses. This can include costs associated with:

- Operating Expenditure (OpEx) – working capital for enhancing operational capacity such as; management systems e.g. enterprise resource planning (ERP) tools, specialised BDS support, etc.
- Capital Expenditure (CapEx) such as; purchase and installation of machinery, technologies to enable the implementation or transition to green, circular and digital economy models and innovations
- capacity building, including skills and leadership development, financial literacy and management, record-keeping, creating business procedures and policies, etc.
- feasibility/technical studies needed to test a model before launching into commercialisation, or scaling up

The GREENTech4CE financial support cannot cover the following costs:

- debts and debts service charges (interest);

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<sup>13</sup> See the Communication and Visibility Manual for EU external actions specified and published by the European Commission at: [https://www.eeas.europa.eu/delegations/mauritius/new-guide-communicating-and-raising-eu-visibility-guidance-external-actions\\_en?s=110](https://www.eeas.europa.eu/delegations/mauritius/new-guide-communicating-and-raising-eu-visibility-guidance-external-actions_en?s=110)





- provisions for losses, debts or potential future liabilities.
- costs declared by the Beneficiary(ies) and financed by another action or work Project receiving a European Union financial support (including through the European Development Fund);
- currency exchange losses.
- credits to third parties (including input credit)
- in kind contributions
- salary costs of the personnel of local/national/regional administrations.

Please note that projects can include the aforementioned costs provided that they are covered by the applicant's match funding.

## 8 ETHICS AND CODE OF CONDUCT

Applicants are expected to aspire to the highest responsible business standards. Self Help Africa is completely against fraud, bribery and corruption and other forms of wrongdoing.

**All Self Help Africa and Consortium Partner staff including members of the GREENTech4CE implementation team or Management Board are expressly forbidden to support the development of concept notes and full proposals with or on behalf of applicants.**

**Companies that solicit the support of GREENTech4CE team members will be disqualified and excluded from participation in ALL GREENTech4CE calls.**

**Any companies involved in collusion or in receipt of unauthorised support shall be subject to a financial recovery order should they be in receipt of funds and subsequently discovered during project implementation.**

Self Help Africa and its Consortium Partners will not ask for money for providing information on development of concept notes or proposals nor in the implementation of projects. Any suspicions of attempted fraud, bribery or corruption by staff or other applicants, should be reported immediately. All reports are treated confidentially.

Likewise, if any fraud, bribery or corruption during the call process is discovered, Self Help Africa reserves the right to terminate the cooperation with the MSME in question.

Self Help Africa is committed to being open, honest and accountable, and we work towards being transparent in all of our operations. Very occasionally, as in all large organisations, a person or persons working with or for the organisation may appear to be acting improperly, negligently or criminally.



The organisation encourages individuals, and organisations with whom it works in partnership, (who act in good faith) to report serious malpractice through the channels listed below. We will ensure that those who raise concerns of suspected serious malpractice are protected from dismissal, victimisation or any other detrimental treatment provided that they follow the procedures set out below. People to whom a disclosure of serious malpractice is made should ensure that this policy and procedure is the correct one to follow in the circumstances.

If you are concerned about wrongdoing, please report in confidence directly to a senior SHA staff member at our country office, or through our Ethics Point\* facility by visiting [selfhelpafrica.ethicspoint.com](https://selfhelpafrica.ethicspoint.com).

If you feel you cannot report locally, please either:

- Call our HQ on +353 1 677 8880 and ask to be called back
- Send an SMS to +353 87 240 4343 and ask to be called back
- Email [confidential.reporting@selfhelpafrica.org](mailto:confidential.reporting@selfhelpafrica.org) with details of the issue.

\*Navex is an independent company. Your conversation will not be recorded. You can choose to remain anonymous with only details concerning your report passed back to Self Help Africa senior management board level at HQ. Any costs incurred in making a report will be reimbursed.

### 8.1 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 GREENTech4CE. Any attempt by an applicant to obtain confidential information, enter into unlawful agreements with competitors or influence the evaluation committee or the contracting authority during the process of examining, clarifying, evaluating and comparing applications will lead to the rejection of its application and may result in administrative penalties.

Organisations whose staff have recently (since 1 January 2024) left the employment of Self Help Africa, worked on current or recent contracts to provide services or goods, or who have been project implementation partners to Self Help Africa, must declare the nature of the relationship during the application process and may be deemed ineligible for funding. Failure to declare relevant information in the application may lead to termination of any contract agreed under this Project, as well as an action for recovery of all grant funding advanced.

Applicant companies whose directors or officers are closely related - spouse, son, daughter, sibling - to a current employee of SHA must declare this relationship at the time of their

application for funding. Failure to declare relevant information may lead to termination of any contract agreed under this Project, as well as an action for recovery of all grant funding advanced.

## 8.2 Respect for human rights as well as environmental legislation and core labour standards

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

**Zero tolerance for sexual exploitation and sexual abuse:** The European Union and the Fund Manager 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.

## 8.3 Anti-corruption and anti-bribery

The applicant shall comply with all applicable laws and regulations and codes relating to anti-bribery and anti-corruption in Zambia. The European Union and the Fund Manager reserve 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. 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 GREENTech4CE Project.

## 8.4 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 in the main contract, commissions not paid in return for any actual and legitimate service, commissions remitted to a tax haven, commissions paid to a payee who is not clearly identified or commissions paid to a company which has every appearance of being a front company. Grant beneficiaries found to have paid unusual commercial expenses on projects funded by the European Union are liable,

depending on the seriousness of the facts observed, to have their contracts terminated or to be permanently excluded from receiving EDF funds.

### 8.5 Breach of obligations, irregularities or fraud

The GREENTech4CE Project reserves the right to suspend or cancel the procedure, where the award procedure proves to have been subject to a substantial breach of obligations, irregularities or fraud. If substantial breach of obligations, irregularities or fraud are discovered after the award of the contract, the GREENTech4CE Project shall refrain from concluding the contract and recover any funds disbursed.

## 9 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

GREENTech4CE Project is adopting a two-stage application process:

1. Concept Note – open to all eligible applicants
2. Full Proposal – open only to those applicants with successful CNs

The GREENTech4CE is inviting eligible applicants to submit their concept notes and full proposals in line with the set criteria.

The applicants are advised to read the:

- GREENTech4CE Project Brief,
- GREENTech4CE Project Call Guidelines,
- FAQs to inform themselves of their eligibility and overall fit of their business and project to the objectives and criteria of the GREENTech4CE Fund.

A series of online information sessions will be held for the applicants to provide an opportunity to ask questions and seek clarifications. The schedule for these sessions will be available on the specified websites on the EU Delegation website, the Self Help Website and project website <https://selfhelpafrica.org/greentech4ce/> and through media outlets. A recording will be available on the website.

Questions may also be sent by e-mail no later than 7 days before the deadline for the submission of concept notes to email address: The Fund Manager has no obligation to provide responses to questions submitted later. Responses will be published on the website <https://selfhelpafrica.org/greentech4ce/> periodically. The final set of responses will be published five (5) days before the call deadline. Individual replies will not be given to questions. It is therefore advisable for applicants to consult the above-mentioned website regularly in order to be informed of the questions and answers published.

To ensure equal treatment of applicants, prior opinion on eligibility of a specific action or detailed responses on the nature of activities will not be given. All answers to questions will be made public.

Members of the GREENTech4CE team as well as all staff of Self Help Africa and Consortium Partners are forbidden from providing information outside the above process. Companies attempting to solicit information outside the process outlined in this document will be excluded from this call for proposals and any future calls. Action may be taken at any point in the application and implementation process should evidence of actions contrary to the Call Guidelines come to light.

## 9.1 Stage 1: Concept Note

### 9.1.1 Preparation and Submission

The applicant medium enterprises will need to submit a project concept note (PCN) in English. The application form will be accessed through the on-line platform GREENTech4CE Application\_Portal which allows the applicant to register and submit concept notes.

Applicants needs to register on the GREENTech4CE portal before being able to access to the application portal (see page 3 of these guidelines)

Once registered, applicants will be able to download the application questions from the website <https://selfhelpafrica.org/greentech4ce/> to assist in understanding of details and preparation of the application.

The Call for concept notes will be open on 22<sup>nd</sup> November 2024 and will run for a minimum of 21 days. The Project Concept Note will require applicants to outline:

Requirements
<ul style="list-style-type: none"> <li>● The applicant entity and co-applicants(s);</li> </ul>
<ol style="list-style-type: none"> <li>a. The applicant bears financial liability and is the funded party. The assessment process considers the prior history of the applicant in its relationship with the supporting business(es) or similar – hence partner management. It also considers the applicant’s direct experience in generating the intended outcomes.</li> <li>b. A partner business plays a supporting role to that of the main applicant. A supporting business cannot be on more than one application in any single Call (the lead applicant should check this).</li> </ol>
<ul style="list-style-type: none"> <li>● Concepts from women-owned enterprises, or where women are in directive position, or those that benefit women-owned MSMEs are encouraged.</li> </ul>

<ul style="list-style-type: none"> <li>• Applicants should display sufficient capacity (technical, management and financial) to implement the proposed project successfully and account for funds provided</li> </ul>
<ul style="list-style-type: none"> <li>• How their project addresses and contributes to the GREENTech4CE fund objectives;</li> </ul>
<ul style="list-style-type: none"> <li>• Specific challenge(s) to be addressed;</li> </ul>
<ul style="list-style-type: none"> <li>• Proposed activities, initiatives, approaches, outcomes and impact;</li> </ul>
<ul style="list-style-type: none"> <li>• Estimated budget and outline of match-funding sources (which must be minimum 50% of the project budget).</li> </ul>
<ul style="list-style-type: none"> <li>• Completion of a self-declaration of eligibility.</li> </ul>
<ul style="list-style-type: none"> <li>• Present evidence of meeting key eligibility criteria by uploading references for:             <ol style="list-style-type: none"> <li>a. Company registration,</li> <li>b. Tax compliance and</li> <li>c. Recent annual financial statements when requested.</li> </ol> </li> </ul>

Applicants will also have to agree to the terms and conditions in Annex 1 before they can submit the completed application.

The concept notes must only be submitted via the on-line platform GREENTech4CE Application\_Portal in English language. Upon submission of a concept note online, the applicant will receive an automatic confirmation of receipt to the e-mail provided in the application. Only complete applications will be evaluated and therefore, applicants are urged to review their applications for completeness before submission. **Please note that incomplete concept notes will be rejected.**

**The deadline for the submission of concept notes is 13<sup>th</sup> December, 2024 at 12.00 (Noon) CAT (Central African Time).**

Applicants are **NOT** permitted to submit more than one concept note in this call.

**Any concept note submitted after the deadline will be rejected.**

### 9.1.2 Evaluation of project concept notes

All applications will be assessed as follows.

The concept notes that pass the initial eligibility check, based on information provided in the concept note, will be evaluated. This check will cover the self-declaration of turnover, company registration and tax compliance.

The specific areas for assessment include:

- a) **Economic Drivers/Viability:** This assessment area looks at business and project viability and growth focusing on turnover, profit, cash flow, efficiency and market potential. In addition, the business capacity is assessed in terms of management, governance, financial and risk management.
- b) **Social impact:** How will the applicant include small value chain actors (especially the numbers of women and youth entrepreneurs and ASM) and create employment opportunities particularly for youth and women.
- c) **Supporting a Green, Circular and Digital Economy:** Strategies for adapting and promoting a green, circular and digital economy.
- d) **Promotion of the implementation of the EU-Zambia strategic partnership on sustainable raw materials value chains**
- e) **Additionality and effectiveness:** An assessment of whether the project would not be able to proceed without GREENTech4CE financial support and the degree by which the applicant is leveraging the requested financial support.

### 9.1.3 Concept Note: Evaluation Criteria

CRITERIA	SCORING SYSTEM
<b>I. COMMERCIAL DRIVERS/VIABILITY</b>	<b>Max. of 40 Points</b>
<b>Value Proposition</b>	
<ul style="list-style-type: none"> <li>● Innovative approach of project to address green, circular and digital economy opportunities, challenges in meeting EU-Zambian Strategic Partnership on CRM objectives.</li> <li>● Demonstrated existing/potential market demand for products or services in the target markets.</li> </ul>	15 Points
<ul style="list-style-type: none"> <li>● Business turnover and profitability as a result of project implementation</li> </ul>	10 Points
<b>Business Capacity</b>	<b>Max. of 15 Points</b>





<ul style="list-style-type: none"> <li>Internal capacity of the medium enterprises to implement the project (management, governance, financial management)</li> </ul>	5 Points
<ul style="list-style-type: none"> <li>Financial health of the medium enterprises (growth in turnover, profitability, financing sources)</li> </ul>	5 Points
<ul style="list-style-type: none"> <li>Business risk identification and mitigation capacity</li> </ul>	5 Points
<b>I. SOCIAL IMPACT</b>	<b>Max. of 20 Points</b>
<ul style="list-style-type: none"> <li>Demonstrated opportunities for employment creation - direct jobs at the medium enterprise level as well as potential indirect jobs through value chain actors.</li> </ul>	10 points
<ul style="list-style-type: none"> <li>Social inclusivity – integration and empowerment of women and youth entrepreneurs</li> </ul>	10 points
<b>II. ALIGNMENT TO GREEN, CIRCULAR ECONOMY</b>	<b>Max. of 30 Points</b>
<ul style="list-style-type: none"> <li>Demonstrated application of innovation and scale of green, circular and digital economy practices and models</li> </ul>	15 points
<ul style="list-style-type: none"> <li>Sustainable Sourcing and materials optimisation</li> </ul>	15 points
<b>III. ADDITIONALITY, SUSTAINABILITY AND REPLICABILITY</b>	<b>Max. of 10 Points</b>
<ul style="list-style-type: none"> <li>Demonstration that the project would not proceed without GREENTech4CE fund financial support and is sustainable and easily replicable.</li> </ul>	10 points

All concept notes submitted will be scored according to the above criteria. A shortlist of projects will be created based on the scores achieved, taking into account the total amount of funds for financial support available in this call.

Only the highest-ranking concept notes will be considered for pre-selection. The number of concept notes selected will take into account the ranking and the indicative financial envelopes for each lot, where relevant.

Successful pre-selected applicants will be invited to submit a full proposal.

### 9.1.4 Evaluation of Project Full Proposals (FP)

#### Full Proposal Scoring Criteria

The evaluation of proposals will be based on the full proposal submitted by the medium enterprise as well as the preliminary eligibility assessment and other verifications done by the Fund Manager. The proposals will be evaluated to verify whether the applicant has:

- a) Sustainability of the business beyond the project financial and technical support provided.





- b) The management capacity, professional competencies, qualifications and experience required to successfully complete the proposed action.
- c) Access to complementary funding where appropriate.

This evaluation will be based on the criteria below.

### 9.1.5 Preparation

Applicants that advance to the next stage will be invited to a full proposal development information session. Details on the date and venue will be included in the invitation letter.

Questions may also be sent by e-mail no later than 7 days before the deadline for the submission of concept notes to email: [info@greentech4ce.org](mailto:info@greentech4ce.org) The Fund Manager has no obligation to provide responses to questions submitted later. Responses will be published on the website ([www.selfhelpafrica/greentech4ce](http://www.selfhelpafrica/greentech4ce) ) periodically. The final set of responses will be published five (5) days before the call deadline. Individual replies will not be given to questions. It is therefore advisable for applicants to consult the above-mentioned website regularly in order to be informed of the questions and answers published.

Applicants will be expected to provide detailed budgets and to develop monitoring tools that will be required during the contract period. The tools will include a results chain which will in a schematic way, show how the activities undertaken by the applicant will lead to improvements for value chain actors. A schedule of milestones linked to the work plan will form the basis for the disbursement schedule.

The Fund Manager will facilitate access to the full proposal platform. This will be via a secured online Salesforce site where the Fund Manager will set up an account for each shortlisted applicant. During the full proposal stage the applicants will have to submit an expanded concept note, a full project budget and a number of compliance documents.

**Applications must be submitted together with evidence of match-funding** in the form of a board resolution for internal funds or a letter of intent (LOI) or similar from third parties providing 3rd party finance. **The project will not be contracted until formal and final approvals are received from 3rd party financiers.**

Applicant should submit only fully filled and duly completed proposal templates and applicable annexes via the online platform for evaluation. It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action.

Clarifications will only be sought from the applicant when information provided is unclear and thus prevents the conducting of an objective assessment.

Applicants are strongly advised not to wait until the last day to submit their full applications, since heavy internet traffic or a fault with the internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Fund Manager cannot be held responsible for any delay due to such mentioned difficulties.

#### 9.1.6 Full application submission

The full applications must be submitted via the online platform i.e. the **GREENTech4CE Application Portal**. The submission must be in English language. Upon submission of the full application online, the applicant will receive an automatic confirmation of receipt to the e-mail provided in the application. Only complete applications will be evaluated and therefore, applicants are urged to review their applications for completeness before submission.

**The deadline for the submission of full applications shall be communicated following successful evaluation of the PCNs.**

**Any application submitted after the deadline will be rejected.**

#### 9.2 Pre-award assessment

Each pre-award assessment will require pre-submission of key operational documents, and a one (1) day visit that will aim to discuss and verify the full feasibility of project, and to assess the medium enterprise 's ability to integrate small value chain actors into circular economy value chains as outlined in the full proposal (*See preliminary eligibility criteria checklist attached*)

Web searches will be conducted using key words to identify details in the public domain of potential wrongdoing by applicant companies or their principals.

The following will be checked during the pre-award assessment:

- Staff capacity adequacy to implement the proposed activities to achieve the desired results. This will involve interviews of the critical team in charge of the implementation process to gather their level of engagement and awareness and recommend appropriate capacity building interventions where necessary.
- System adequacy to capture monitoring data and/or ease of modification to enhance M&E processes. This will entail review of institutional reports generated by the

existing systems, interviews with the relevant staff to gain in depth understanding on what can be achieved from the M&E platform, identify what support is necessary to achieve satisfactory reporting and data management levels for Results Based Funding monitoring.

- Adequacy of processes and procedures to facilitate accountability, transparency and objective reporting. The controls in place to mitigate falsification of claims, enhance responsive and timely feedback. Identify gaps which may need to be addressed for successful implementation of the Project.
- Financial strength of the beneficiary to undertake the activities without interrupting the core business activities, ability to source for credit support for the enhancement of the Project objectives or mobilise resources for the success of the initiatives.
- In depth review of funding lines within the business. Critical to this is to understand if existing donor funding is in place and the role it plays within the organisation. This focus is to avoid the risk of double funding/fraud.
- Extent of institutional outreach, product diversity and client base. Would there be a ready client base and product platform to roll out the initiatives with ease or would it call for intensive capital investment to actualise results?
- Adequacy of proposed budget in relation to proposed interventions, client contribution, alignment of proposed incentive/interventions with assessed position.
- Extent and nature of current business relationship with value chain actors in the CE value chains.

Should it be found that the information in the project that full proposal document misrepresents the true position of the business, GREENTech4CE is at liberty to reject the application at pre-award screening.

This evaluation will be based on the criteria below.

### 9.2.1 Full Proposal Scoring Criteria

SN	CRITERIA	Scoring system
<b>1.0</b>	<b>PROJECT RELATED</b>	<b>Max. 45 Points</b>
<b>1.1</b>	<b>Value Proposition</b>	<b>30 Points</b>

SN	CRITERIA	Scoring system
	<ul style="list-style-type: none"> <li>The extent to which the project is expected to contribute, directly or indirectly to job creation opportunities: % of women and % youth</li> </ul>	10 points
	<ul style="list-style-type: none"> <li>The role the project will play in strengthening an existing business model, develop a new sustainable model, and/or generate profitable outcomes for businesses involved in the project.</li> </ul>	10 points
	<ul style="list-style-type: none"> <li>Capacity to address the objectives of diversification, green and circular economy and/or the strategic partnership on CRM.</li> </ul>	10 points
<b>1.2</b>	<b>Market Prospect</b>	<b>15 Points</b>
	<ul style="list-style-type: none"> <li>Existence of market demand and opportunity</li> </ul>	10 points
	<ul style="list-style-type: none"> <li>Degree of circularity of products – /linear or downstream circular or upstream circular or full circular</li> </ul>	5 points
<b>2.0</b>	<b>APPLICANT RELATED</b>	<b>Max. 45 Points</b>
<b>2.1</b>	<b>Governance and Management Related</b>	
	<ul style="list-style-type: none"> <li>The overall experience and qualifications of the applicant’s management and technical team</li> </ul>	5 points
	<ul style="list-style-type: none"> <li>Project track record - number of projects successfully done</li> </ul>	10 points
	<ul style="list-style-type: none"> <li>Where relevant, the suitability of the coordination mechanism in place to ensure all organizations involved in the project fulfil their roles and responsibilities effectively and efficiently.</li> </ul>	5 points
	<ul style="list-style-type: none"> <li></li> </ul>	
<b>2.2</b>	<b>Financial Performance Related</b>	
	<ul style="list-style-type: none"> <li>The quality of the financial plans (e.g. source and application of funds, and likely cash flow) and the financial accounts.</li> </ul>	10 points
	<ul style="list-style-type: none"> <li>The level of understanding (by the applicant) of the risks of the project, and measures proposed to manage these risks.</li> </ul>	5 points
<b>2.3</b>	<b>Monitoring and Evaluation Related</b>	
	<ul style="list-style-type: none"> <li>Clear M&amp;E workplan, feasibility of achieving set milestones, e.g. number of formalised small value chain actors, total direct and indirect jobs created; etc.</li> </ul>	10 points
<b>3.0</b>	<b>ADDITIONALITY, SUSTAINABILITY AND REPLICABILITY</b>	<b>Max. 10 points</b>
	<ul style="list-style-type: none"> <li>Demonstration that the project would not have proceeded without GREENTech4CE Project support</li> </ul>	5 points
	<ul style="list-style-type: none"> <li>Degree to which the project is sustainable and easily replicable in other areas and contexts</li> </ul>	5 points
	<b>MAX. OVERALL SCORE</b>	<b>Max. 100 points</b>



SN	CRITERIA	Scoring system
	<p><b>PROVISION FOR DESCRESIONARY AWARD TO SCORES BY THE INDEPENDENT INVESTMENT COMMITTEE</b></p>	
	<ul style="list-style-type: none"> <li>Other factors that merit consideration by the Independent Investment Committee (IIC) in scoring the Project in relation to innovation, value for money, female leadership, potential to transform the market and business environment, potential to improve household poverty levels, etc.</li> </ul>	<p><b>5 Points</b></p>

### 9.2.2 Provisional selection

The evaluation panel will rank PCNs and FPs based on overall scores. A provisional selection list will be drawn based on the highest scores. The list will depend on the budget provision, albeit a reserve list may also 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.

## 10 NOTIFICATION ON THE APPLICATION

The applicant will be informed in writing of the decision concerning their application and, if rejected, the reasons for the outcome. The letter will be sent by e-mail and will appear online automatically in the Salesforce profile of the user who submitted the application.

The decisions to approve or reject applications are final and cannot be appealed. The award letter may include a provision for adjustment of activities and budget lines.

## 11 CONTRACTING AND REPORTING OBLIGATIONS

### 11.1 Contract

The applicants will be required to enter into a formal contract once the project proposal is approved and they have demonstrated capacity to secure the matching funds. The contract will be issued by Self Help Africa for the purpose of this Project. The FP and the budget will form part of the contract.

### 11.2 Reporting requirements

The contracted medium enterprises will be required to report regularly to the Fund Manager. The reports will include both narrative and financial reporting.

The key reporting requirements for applicants will include:

- Quarterly narrative and financial progress reports related to the project.
- Annual financial reporting for the overall medium enterprise including implementation progress indicators as agreed at the contract stage.
- Branding and marketing efforts to demonstrate public in line with EU requirements of the impact of the interventions.

**The disbursement of funds will be linked to the reporting cycle and achievement of agreed milestones.**

### 11.3 Monitoring

The Fund Manager will monitor the project regularly. However, the medium enterprise will be required to report on metrics that are collected at its business level and all ancillary levels such as numbers of aggregators in the value chain; new jobs/total jobs; turnover/profit; staff numbers and services to and/or from value chain actors, etc.

During the implementation period quarterly visits to the successful medium enterprises to review progress against milestones, results chain indicators, collect additional information against indicators, and validate that self-reported information is accurate.

In addition, the Fund Manager will conduct surveys of the small value chain actors active in the project. These surveys will focus on impacts at household level and will be carried out at the cost of the Fund Manager. However, cooperation from the medium enterprise is required.

### 11.4 Checks and Audit

The successful applicant shall allow any external auditor authorized by Staff members and/or external auditors that may be appointed by SHA to verify, by examining the documents and to make copies thereof or by means of on-the-spot checks of original documents, the implementation of the contract and conduct a full audit, if necessary, on the basis of supporting documents for the accounts, accounting documents and any other document relevant to the financing of the project. The successful applicant shall ensure that on-the-spot access is available at all reasonable times. The successful applicant shall ensure that the information is readily available at the moment of the audit and if so requested, that the data be handed over in an appropriate form. These inspections may take place up to 4 years after the final payment.

Furthermore, the successful applicant shall allow any external auditor authorised by Self Help Africa carrying out verifications as required to carry out checks and verification on the spot in accordance with the procedures set out by Self Help Africa in the contract which reflect appropriate European Union legislation for the protection of the financial interests of the European Union against fraud and other irregularities. To this end, the successful applicant undertakes to give appropriate access to any external auditor authorised by Self Help Africa carrying out verifications as required to the sites and locations at which the project is implemented, including its information systems, as well as all documents and databases concerning the technical and financial management of the action and to take all steps to facilitate their work. Access given to agents of any external auditor authorised by Self Help Africa carrying out verifications shall be on the basis of confidentiality with respect to third parties, without prejudice to the obligations of public law to which they are subject. Documents must be easily accessible and filed so as to facilitate their examination and the successful applicant must inform Self Help Africa of their precise location.



The successful applicant guarantees that the rights of any external auditor authorised by Self Help Africa carrying out verifications as required to carry out audits, checks and verification shall be equally applicable, under the same conditions and according to the same rules as those set out in this Article, to the successful applicant's implementing partners, and subcontractors.

### 11.5 Evaluation

The GREENTech4CE Project will be evaluated for its effectiveness and efficiency periodically. The medium enterprises will also be required to participate in these activities such as baseline studies, mid-term and end term.



## ANNEX 1: PRELIMINARY ELIGIBILITY CRITERIA ONLINE FORM (SAMPLE)

This is a restricted call for Green Recycling Enterprises Engaging in New Technology for a Circular Economy in Zambia (GREENTech4CE). The intervention logic of the GREEN Tech4CE project is based on a market systems approach aimed at overcoming the challenges MSMEs face to develop a sustainable green, circular, and digital (GCD) economy. The project intends to enhance MSMEs' capacities through technical assistance and financial support, linking value chains associated with critical raw materials and increasing market awareness and access for GCD products.

By improving the availability and diversity of financial products for MSMEs and fostering public-private learning and policy advocacy, the project seeks to attract more investments and facilitate MSME growth in Zambia's GCD economy. The project involves collaboration with various stakeholders, including the government, businesses, and consumers, to foster sustainable and positive changes in the green economy. It employs a blended financing model, combining project funds with business contributions to stimulate further investment and commitment.

Eligible applicants will be required to submit full proposals which shall be evaluated based on their alignment and compatibility with the green circular and digital (GCD) economy objectives. Existing start-ups and micro-enterprises which are active in the GCD economy and/or have potential to transition existing activities into GCD activities will be identified

**To determine if you are eligible to apply to this call, SMEs must first register via the preliminary application form using the link. Eligible enterprises will be invited to submit full proposals**

## ANNEX 2: PRELIMINARY ELIGIBILITY CRITERIA CHECKLIST

AREA	YES	NO
<b>CORPORATE GOVERNANCE &amp; STRATEGY</b>		
● Certificate of incorporation and other company incorporation documents		
● Latest PACRA printout showing shareholders and beneficial shareholders		
● Articles or Memorandum of Association or equivalent document		
● Organisational Chart (Organogram)		
● Profiles of Management team		
● Profiles of Directors		
● Strategic Plan/Business plan		
<b>BUSINESS ENVIRONMENT</b>		
● Business Type: For-Profit Business		
● Business Permit/Business Levy		
● Address of business office/registered office (Title deeds, Lease Agreement, etc.)		

● Operating history of 3 years (minimum)		
● Company profile and general description of the business		
● Regulatory requirements including licenses		
<b>ADMINISTRATION &amp; COMPLIANCE</b>		
● ZRA Latest Tax Clearance Certificate.		
● Valid Latest NAPSA Compliance Certificate		
● Valid Workers Compensation Certificate		
● Valid NHIMA Certificate		
● Fire/Safety/Health/NEMA certificates		
● Administrative Policy/Procedure Manual		
● Procurement Policies		
● Policy regarding and evidence of organisational policy and procedure review		
<b>HUMAN RESOURCE MANAGEMENT</b>		
● Number of full-time employees (FTE) showing role, department/location.		
● Number of part-time employees (PTE)		
● Operational Manual (sections on HR, Staffing, finance, procurement, logistics)		
● Staff handbook (sections on per diems, benefits and other entitlements)		
● Salary Payment Vouchers		
<b>FUNDING REQUIREMENTS</b>		
● Funding required		
● Use of Proceeds & Breakdown		
● Financial Assistance History (Grant, etc)		
● Proof of match-funding in the form of a letter from the bank if a loan is being sought or a board resolution for cash or cash equivalents or an investment offer letter.		
<b>FINANCIAL INFORMATION &amp; MANAGEMENT</b>		
● 12 months Bank Statements		
● ZRA TPIN		
● VAT certificates		
● Other ZRA requirements such as smart invoicing		
● Fixed Asset Register		
● Full annual audited financial statements (AFS) for the past two years		
● Detailed management accounts for the current year to date.		
● At least 3-year forecast profit & loss, balance sheet and cash flow statements plus the supporting assumptions.		
● a declaration by the auditor that the financial statements meet International Financial Reporting Standards (IFRS) or IPSAS		
● Details of the auditor's registration with the Zambia Institute of Chartered Accountants (ZICA). The database will be checked to confirm the auditor's legitimacy.		

<b>CURRENT SERVICE PROVIDERS</b>		
● Suppliers and contracts		
● Offtakers/Customers and contracts		
● Principal bankers		
● Auditors		
● Advisors or Consultants or BDSPs (if any) (Current & Past 3 years)		

### ANNEX 3: APPLICATION TERMS AND CONDITIONS

The following terms and conditions will be part of the initial application process and will need to be agreed to when applicants submit their concept notes.

#### Terms & Conditions

1. The call for project full proposals is not and shall not constitute an award commitment on the part of the GREENTech4CE Project.
2. All awards will be subject to the GREENTech4CE Project terms and conditions and are entirely contingent on the availability of funding.
3. Self Help Africa reserves the right to accept or reject any project or cancel the solicitation process at any time and shall have no liability to the proposing organisations submitting the project concept note or full proposal for such rejection or cancellation of the request for concept notes or full proposals.
4. All information provided by Self Help Africa in this call is offered in good faith. Individual items are subject to change at any time without notice to applicants. Self

Help Africa shall not be responsible for any use of the information submitted by applicants or for any claims asserted therefrom.

5. Self Help Africa is a corruption and fraud free organization and any attempt to solicit for information/support contrary to the call guideline during concept note submission process will lead to direct rejection.
6. Any conflicts of interest (including any family relations to staff of the fund manager, the funders or other parties with prior information regarding the call) arising from the submission of a proposal must be fully disclosed to the fund manager in the application.
7. Self Help Africa has no obligation to provide individual response to any questions raised by the applicant in the process of submitting this project concept note. We will publish all the responses on <https://selfhelpafrica.org/greentech4ce/> and it's upon the applicant to regularly check for response to his/her questions.
8. Self Help Africa will keep the applicant's data in accordance with the EU General data protection and regulation. This data will be retained for a period of 5 years beyond the financial support period unless the applicant requests to have their data removed from our systems, in which case we will respond to the request in full within 24 hours.
9. Company information such as email address, phone numbers, business registration, PIN Number and physical address shall remain private and will be used for purposes of evaluating investment opportunities, including pre-award assessments, anti-terrorist and sanctions checks etc., under the fund and other related services. Any other use of this information will not be without direct authority from the applicant.
10. Self Help Africa guarantees Intellectual Property right and will not use contents of this concept note in a manner that infringes, violates or misappropriates the applicant's intellectual property rights or other proprietary rights.
11. The applicants shall meet their own costs in submitting the project concept notes.
12. You certify that all information provided as part of this application is true and correct to the best of your knowledge and belief. You also agree that Self Help Africa is within her right to suspend the application in case of provision of untrue or incomplete information by the applicant.

#### **ANNEXURE 4: ELIGIBILITY CRITERIA FOR FINAL BENEFICIARIES**

Final Beneficiaries shall undertake to engage with value chain actors using commercial agreements<sup>14</sup> in which obligations of both parties are set out and which are intended to be legally binding by both parties.

Such commercial agreements shall where applicable:

- Not lead to value chain entities over-indebtedness, if a credit is part of the commercial agreement.

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<sup>14</sup> Commercial contracts can be written, verbal, or implied in a formal or an informal manner.

- Promote equal opportunities for value chain actors without discriminating against particular groups and in access to income generated by the business transaction.
- Not undermine women’s rights (e.g. land traditionally used by women to produce food is not appropriated by men to conduct other businesses even if they are in the sectors specified above.
- Follow good commercial conduct, good faith and fair dealing<sup>15</sup>:
  - i. Apply free, prior and informed consent of those supplying or receiving goods/services to or from the Final Beneficiary;
  - ii. Ensure that commercial agreements are negotiated transparently and fairly among the parties, considering both parties’ needs and risks and with adequate time for the small value chain actors to understand implications of accepting the terms of the offer;
  - iii. Ensure that the terms (e.g. price, price formulas, payment terms) of the commercial agreement and the obligations of both parties are spelled out in an unambiguous and simple way.

While a written contract is the preferred type of commercial agreement for longer term commercial relationships between Final Beneficiary and the supporting value chain actors, or their groups/associations/clubs, in cases where the Final Beneficiary is already using a well-tested model (at least two years) of working with value chain actors in which fair trading practices are enshrined, a written contract with each value chain actor may be substituted with a written commercial framework policy by the Final Beneficiary.

The Final Beneficiary nevertheless commits to adhere to the conditions set out under items i., ii. and iv., to engage with value chain actors to explain the details of its policy on a regular basis, to communicate all changes to the value chain actors in a reasonable time before such changes shall become effective and to keep a track record of its engagement with the value chain actors. Where illiteracy is a problem, value chain actors should be given oral explanations.

- iv. Have a conflict resolution and dispute settling system in place.

Final Beneficiaries shall promote adoption of value chain actors they work with, build sufficient capacities through access to technical advice, provided by either the Final Beneficiary or a qualified third party, as relevant.

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<sup>15</sup> The following examples of unfair trading practices as a general rule will not be allowed: (1) late payments for perishable food products, (2) last

Final Beneficiaries are not limited only to work with primary actors but also downstream value chain actors, e.g. (secondary) processors, storage / logistics service providers and wholesale/retail operators, to the extent that such actors can quantify and report the value chain actors engaged by their suppliers and ensure compliance with green, circular and digital practices and good commercial practices, as required above.



## ANNEX 5: EXCHANGE RATES ZMW / EUR)

Information on the official and up to date exchange rates can be accessed through the **following link**:

[https://commission.europa.eu/funding-tenders/procedures-guidelines-tenders/information-contractors-and-beneficiaries/exchange-rate-infoeuro\\_en](https://commission.europa.eu/funding-tenders/procedures-guidelines-tenders/information-contractors-and-beneficiaries/exchange-rate-infoeuro_en)

Exchange Rates to Use ZMW/EUR			Exchange Rates to Use ZMW/EUR			Exchange Rates to Use ZMW/EUR		
FY (Jan to Dec)	EUR 100,000 in ZMW	Average Rate (EuroInfo)	FY (Jul to Jun)	EUR 100,000 in ZMW	Average Rate (EuroInfo)	FY (Apr to Mar)	EUR 100,000 in ZMW	Average Rate (EuroInfo)
2024		n/a	23/24	2,518,033	25.18	23/24	2,318,477	23.18
2023	2,130,292	21.30	22/23	1,862,685	18.63	22/23	1,803,832	18.04
2022	1,790,003	17.90	21/22	2,039,107	20.39	21/22	2,241,931	22.42
2021	2,025,312	20.25	20/21	2,460,633	24.61	20/21	2,281,240	22.81
2020	1,435,351	14.35	19/20	1,627,227	16.27	19/20	1,490,706	14.91

Exchange Rates to Use ZMW/EUR			Exchange Rates to Use ZMW/EUR			Exchange Rates to Use ZMW/EUR		
FY (Jan to Dec)	EUR 350,000 in ZMW	Average Rate (EuroInfo)	FY (Jul to Jun)	EUR 350,000 in ZMW	Average Rate (EuroInfo)	FY (Apr to Mar)	EUR 350,000 in ZMW	Average Rate (EuroInfo)



2024		n/a	23/24	8,813,115	25.18	23/24	8,114,670	23.18
2023	7,456,022	21.30	22/23	6,519,396	18.63	22/23	6,313,412	18.04
2022	6,265,009	17.90	21/22	7,136,875	20.39	21/22	7,846,759	22.42
2021	7,088,592	20.25	20/21	8,612,214	24.61	20/21	7,984,339	22.81
2020	5,023,729	14.35	19/20	5,695,293	16.27	19/20	5,217,470	14.91

Exchange Rates to Use ZMW/EUR			Exchange Rates to Use ZMW/EUR			Exchange Rates to Use ZMW/EUR		
FY (Jan to Dec)	EUR 500,000 in ZMW	Average Rate (EuroInfo)	FY (Jul to Jun)	EUR 500,000 in ZMW	Average Rate (EuroInfo)	FY (Apr to Mar)	EUR 500,000 in ZMW	Average Rate (EuroInfo)
2024		n/a	23/24	12,590,165	25.18	23/24	11,592,385	23.18
2023	10,651,460	21.30	22/23	9,313,423	18.63	22/23	9,019,160	18.04
2022	8,950,013	17.90	21/22	10,195,535	20.39	21/22	11,209,656	22.42
2021	10,126,560	20.25	20/21	12,303,163	24.61	20/21	11,406,198	22.81
2020	7,176,756	14.35	19/20	8,136,133	16.27	19/20	7,453,529	14.91

Source: [https://commission.europa.eu/funding-tenders/procedures-guidelines-tenders/information-contractors-and-beneficiaries/exchange-rate-infoeuro\\_en](https://commission.europa.eu/funding-tenders/procedures-guidelines-tenders/information-contractors-and-beneficiaries/exchange-rate-infoeuro_en)





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