

Call for Proposals

**“Technical support for the establishment
and management of a Regional Climate
Action Transparency Hub (ReCATH) in
Central Asia”**

August 2021



Table of Contents

1. Background	2
2. Description of scope of work	6
3. Expected outcomes	7
4. Underpinning Principles	8
5. Description of Specific Activities	8
6. General Instructions for Proposal Submission	13
7. Evaluation Process	13
8. Evaluation Criteria	14
9. UNOPS Grant Support Agreement	18
Annex A - Expression of Interest	19
Annex B - Grant Application Form	
Technical Proposal	20
Financial Proposal	23
Annex C - Previous Experience Form	26
Annex D - Grant Support Agreement	27
Annex E - General Conditions	33

CALL FOR PROPOSALS (CFP)

1. Background

This background section provides an introduction to the Initiative for Climate Action Transparency (ICAT), the Regional Environmental Centre for Central Asia (CAREC) and the Regional Climate Action Transparency Hub (ReCATH) for Central Asia that ICAT is forming together with CAREC. ICAT is looking for a technical implementing partner to work together with CAREC and the ICAT Secretariat on setting up and running the Hub.

The Initiative for Climate Action Transparency (ICAT)

ICAT¹ supports countries in developing their capacity to build and manage a strong transparency framework that enables them to effectively implement the Paris Agreement. To assist with this, ICAT has built up a toolbox with methodologies and modelling tools that can be tailored to country needs. Activities encompass direct country support and establishing regional support centres and networks, including one for Central Asian countries.

In order for developing countries to develop and implement ambitious Nationally Determined Contributions (NDCs), the actions they commit to need to be anchored in sound data and information to underpin national policies that back up the actions required. Strong transparency frameworks enable national ownership, the integration of relevant stakeholders in policy processes, and they ensure accountability, at the national and international level, and in terms of policy and finance. An independent external evaluation recognized ICAT's impact in supporting countries to create such frameworks, enabling transformational policies based on sound evidence of their climate and local development impacts.

The Initiative for Climate Action Transparency (ICAT) has built over its first 5 years a strong foundation for its activities in terms of tools, methodologies, knowledge, experience and active networks in some 40 developing countries.

The ICAT infrastructure is tailored to support countries in developing their capacity to build and manage a strong transparency framework that can enable them to effectively implement the Paris Agreement. Core features of ICAT, in continuity of work accomplished and under way, are:

- Policy focus, aimed at enabling transformational change;
- Agility in responding to country needs, anchored in sustainable development assessments;
- Flexibility to innovate and create replicable approaches;
- Sound methodologies and tools; and
- Peer-to-peer collaboration and knowledge sharing.

¹ ICAT is an unincorporated multi-stakeholder partnership funded by four donors, the Children Investment Fund Foundation (CIFF); ClimateWorks Foundation (CWF); the German Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety (BMU); and the Italian Ministry for the Environment, Land and Sea (IMELS). These together with the ex-officio members UNFCCC and UNOPS form the Donor Steering Committee (DSC). The Initiative is managed by UNOPS on behalf of the DSC. Within UNOPS, the ICAT Secretariat manages ICAT day-to-day activities, coordinating and guiding the work of the implementing partners.

The next phase of ICAT builds on experience of work done so far, taking successful aspects of work to the next level, including by:

- Enabling transformational change: Placing still stronger emphasis on the links to sustainable development and finance, so that countries have the data and information required for mainstreaming climate policy in national development planning, including the data that allows integration of climate action through “green spending” in the COVID-19 recovery phase;
- Empowerment through participation: A focus on working with local staff or local institutions (e.g. think tanks, university institutes) helping them in a “hand-holding” manner with international expert support to prepare transparency frameworks (e.g. policy assessments, data protocols, trainings, system design);
- Flexible project design: Time-bound, targeted interventions with limited funding, rapidly deployed and in line with recipient countries’ absorption capacity to allow for quick interventions and flexibility in project design. Successful, short (12-18 months) interventions may be followed up with additional project modules if needed, building on established collaboration and deepening engagement;
- Peer-to-peer engagement: Pairing arrangements among partner countries to enable for direct interactions among national experts, sharing successful experience, approaches and tools. The selection of ICAT countries will be guided by ensuring a good mix of more and less advanced countries so that lighthouse examples can inspire others.

During its next phase up until June 2026, ICAT will deliver tangible results helping to move the Paris Agreement’s implementation closer to its stated objectives. Focus is on enabling transformational change through evidence-based policymaking. Change will take more time to unfold, but by 2026, there will be early signs of ICAT’s impacts in at least 42 developing countries, monitored based on ICAT’s established [monitoring, evaluation, learning and uptake \(MELU\) framework](#). ICAT’s support will enable these countries in the areas covered to:

- Improve NDC implementation through effective tracking of progress and facilitated finance mobilization;
- Better reporting under the Enhanced Transparency Framework by 2024; and/or
- Update their NDCs in 2025 based on sound, evidence-based policy assessments.

Country and regional support

ICAT offers its country and regional partners a menu of support options based on which they can tailor the project details that best suits their needs and priorities. Activities are country-driven, based on formal requests from ministries, and may include:

1. Building or enhancing the transparency systems for mitigation actions in one or several sectors, including: institutional capacity; greenhouse gas (GHG) inventories; reporting protocols and processes; data systems; and drafting of legal and regulatory documents;
2. Building a monitoring approach for adaptation actions in one or several sectors, including: stakeholder consultations; institutional capacity; reporting schemes; and data systems and tools;
3. Implementing and further developing NDCs, including: baseline; qualitative or quantitative indicators; tracking framework; and sustainable development impacts and transformational change potentials;

4. Assessing the impacts of policies (ex-ante or ex-post, in one or several sectors), using ICAT methodologies for the assessment of: GHG impacts; sustainable development impacts; and transformational change potential;
5. Integrating and/or aggregating climate actions through transparency at the subnational level and for non-state actors;
6. Identifying and furthering domestic benefits and synergies from enhanced climate action transparency, including using data and information to mobilize finance and to stimulate economic recovery during exceptional crises.

Knowledge development and sharing

Distilling the lessons learnt from the country and the regional activities, feeding them back into ongoing activities and sharing them widely, is a central feature of ICAT's approach in order to reach beyond the limited set of countries directly supported. This will include further enhancing the ICAT toolbox based on lessons learnt and tools and methodologies further developed in response to needs identified. Results are published and actively disseminated to encourage their application in other countries and through other programmes contributing to a global community of practice on climate action transparency, working in close partnership with other relevant programmes and initiatives.

By establishing partnerships with other relevant programmes and initiatives, ICAT aims to help strengthen a global community of practice on climate action transparency. Central to this will be the ongoing provision of an online knowledge exchange platform co-developed (currently in development). The platform will be an interactive site that enables these various communities of practice to connect, exchange and learn from each other, strengthening their capacity to meet their national climate goals and benefit their country's sustainable development.

Particular focus is placed on peer-to-peer learning among national experts by:

- Organizing together with partner initiatives regional, sub-regional or thematic workshops to facilitate exchange among country transparency experts and policymakers;
- Facilitating direct peer-to-peer collaboration among ICAT countries facing similar challenges and interested in using similar tools and approaches, through pairing arrangements to exchange practical insights and solutions.

Fostering peer-to-peer exchange is a particular focus for the regional hubs which will establish working groups and organize training activities among the experts of the region to facilitate active sharing of experience.

The Regional Environmental Centre for Central Asia (CAREC)

The Regional Environmental Centre for Central Asia (CAREC) is an independent, non-profit and non-political international organization, operating since 2001 through its headquarters in Almaty, Kazakhstan, its four country offices (in Nur Sultan, Kazakhstan; Bishkek, Kyrgyzstan; Dushanbe, Tajikistan; and Tashkent, Uzbekistan) and two project offices (in Ashgabat, Turkmenistan and Kabul, Afghanistan).

CAREC's unique mission mandated by the five Central Asian States, Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan, is to assist countries in the region in addressing environmental issues through promotion of cooperation among key stakeholders including local, national and regional authorities in urban and rural areas. As such, CAREC provides the platform for interstate and multisectoral

dialogue allowing introduction of cutting-edge know-how, knowledge and technologies in the region. This, in turn, promotes the deployment and application of innovative environmental policies, approaches and techniques, involvement of the public in environmental decision-making, and improvement of information exchange at the regional level.

The Regional Climate Action Transparency Hub (ReCATH) for Central Asia

The ReCATH for Central Asia aims at building capacity and creating a network in the region to support the countries in the region in their efforts to improve/build sustainable and comprehensive transparency / MRV (measurement, reporting and verification) systems that allow them to adequately support their national decision making processes regarding climate actions and policies, to reach out to investors and other stakeholders in implementing mitigation and adaptation actions and to meet their reporting requirements under the Paris Agreement. The Hub will adopt and implement a collaborative approach that brings together the five Central Asian States (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan) and supports technical experts and expert institutions in the region to build sustainable and comprehensive MRV/transparency systems.

Working Modalities

ICAT will provide resources to the Central Asia region through CAREC, in total USD 1 million for the three years period. These resources will be used to fund regional experts to be hired to work as part of a team (the ReCATH Centre) hosted by CAREC in Almaty to implement the agreed activities and act as resource persons for participating countries. Resources will also be available for expert support at the national level for each of the participating countries. Furthermore, resources will be available to fund regional training, peer-to-peer exchange activities, and other technical work to support transparency efforts in the region.

ICAT will also fund work by an international expert institution (identified through this CFP) that will act as an advisor to the personnel at the centre and to participating countries. It will also conduct training and technical support activities and review results of the work done.

A Steering Group will be formed by the five Central Asian States, with formal representatives from each, to oversee work plan development and implementation. It will also help to set up the Hub Network that will bring together government officials responsible for transparency matters and relevant experts, stakeholders and expert institutions from the region.

The Hub Management Team, composed of the head of the Centre in Almaty, the lead person from the international expert institution and the ICAT Secretariat, will be in charge of the selection and management of technical experts based at CAREC in Almaty. It will also provide oversight of the work of the Centre and the progress in implementing this work plan.

Setting up a community of practice and building country ownership provides the basis for ensuring that impacts of activities continue in countries beyond the lifetime of the Hub. Regional work will focus on building capacity among national experts, supported through systems and well-defined processes. The Hub will train experts in the region close to the countries so that countries can quickly draw on their expertise. Most of the capacity building focuses on learning by doing. Together, this ensures that impacts are self-supporting and sustained after the end of the programme. The focus on tools and methodologies and a community of practice will help ensure that transparency approaches will continue to spread and evolve also after the end of the programme.

Evidence-based policy frameworks are the foundation for programmatic climate finance, and the Hub

work will help countries access climate finance, including Green Climate Fund (GCF) funding and other resources, to take efforts forward over the longer term. This could also include extending the lifetime of the Hub, if the Central Asian States decide the needs for it, determine that this is the most effective way of meeting such needs and are able to raise resources for it.

Goals

The mission of the Hub will be achieved through six goals:

1. Establish a centre of expertise on climate action transparency in the region hosted by CAREC;
2. Assess country needs and priorities to identify key gaps that should be addressed through the work plan of the Hub;
3. Increase human and institutional capacity in Central Asia for enhanced transparency to empower Central Asian countries to participate effectively in the Paris Agreement (MRV, policy assessments, mobilizing finance, greenhouse gas inventories, NDC implementation and further development, drafting of legal and regulatory documents);
4. Create a network among experts and officials of the participating Central Asian States through working groups, trainings and peer to peer exchange activities;
5. Disseminate transparency tools and guidance (such as the ICAT tools and methodologies) and promote their use in the region by tailoring and further developing them to their specific needs and priorities;
6. Support resource mobilization for climate action in Central Asia.

2. Description of scope of work

Objective

To provide technical support and capacity building to the Regional Environmental Centre for Central Asia (CAREC) and its member countries in Central Asia for transparency related to climate actions and policies based on country and regional priorities and needs with the aim of equipping the countries in the region with capacity to effectively assess the impacts of their climate policies and actions and fulfil their transparency commitments under international frameworks, in particular the Enhanced Transparency Framework of the Paris Agreement.

Specific objectives

- To strengthen skills and awareness among the CAREC and respective government entities staff (e.g. Ministry of Environment) related to transparency work in order to build and further develop the frameworks and apply a set of tools and methodologies needed to undertake effective assessment of the GHG impacts of climate change policies and actions, along with their sustainable development outcomes and transformational change potential;
- To provide technical support to CAREC and the countries to develop/enhance domestic MRV/transparency systems, track NDC implementation and further develop NDCs, and assess the impact of other national climate change policies and actions. This shall build upon and complement previous and on-going efforts in country capacity-building activities related to the enhancement of institutional arrangements and the collection of information for GHG accounting/inventories or the assessment of policies and actions;
- Based on country demand, provide support to the countries in the application of ICAT methodologies, guides, modelling frameworks, data systems, metrics and other tools and methodologies as required;

- Based on country demand, provide technical support to use transparency to mobilize finance from public and private sources, identifying linkages with existing and emerging funding mechanisms and facilitating the establishment of public-private partnerships with the aim of ensuring more effective and transformational policy design and result in greater sustainable development benefits;
- Contribute to a growing community of practice around climate action transparency and foster learnings from the engagement with countries and regions to advance ICAT's capability to support countries in their transparency efforts and support transformational change in line with global climate objectives.

Rationale & Scope

The technical support will be provided within the framework of the ICAT [Strategic Approach](#) for three years until October 2024. The foreseen technical support will be implemented under ICAT's overall country engagement approach, covering the Regional Climate Action Transparency Hub for Central Asia encompassing the five (5) Central Asian States: Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan.

Information on outcome and specific activities follows in Section 3 and Section 4.

Project duration: The Implementing Partner is expected to start activities in November 2021 for a period of 3 years.

Estimated Budget: USD 300,000 to 375,000 for the three year period.

3. Expected outcomes

The outcomes and impact will be assessed based on ICAT's Monitoring, Evaluation and Learning Uptake (MELU) Framework, including (but not limited to) the following activity and impact indicators:

- Number of national stakeholders trained through training and /or workshops in the use of tools and methodologies for climate action transparency;
- Number of people that report putting their training on tools and methodologies for climate action transparency into practice through their work;
- Number of partners (national and sub national government and Non State Actors) actively participating in knowledge sharing through different channels with other countries on climate action transparency, including through non-ICAT events and activities (e.g. meetings, workshops, webinars, peer to peer exchange visits);
- Countries have resulted in measurable impact by advancing in at least one of the following key areas:
 - A new/refined MRV-transparency framework developed and put in place to measure and report on the effectiveness of climate policies and actions (at the national or subnational level and/or sector-specific);
 - A new/refined NDC tracking framework developed and put in place to improve tracking implementation and reporting on progress;
 - Improved integration of data on actions by subnational and non-state actors into national level data collection and management processes;
 - Adaptation monitoring measures, processes and/or plans have been developed and put in place; and/or

- An assessment of sustainable development impacts of climate-related policies has been conducted, and the data is used to engage planning ministries, treasuries or financial institutions.
- Countries are utilizing ICAT methodologies/guides/ tools to assess the impact of their climate actions and policies (Including for adaptation);
- Countries have improved the quality of their reporting to the UNFCCC;
- Countries have included new or refined policies and measures in support of a collective 2/1.5 degree ambition in their existing or updated NDCs;
- Countries have improved climate and/or sustainable development policies as a result of ICAT supported assessments at the sector and/or thematic level;
- Countries experience early signs of transformational change in line with global climate objectives.

4. Underpinning Principles

The following principles underpin all ICAT projects:

Partnership: Supporting national/regional entities in order to enable them to effectively and independently make climate policy decisions through effective partnership. All ICAT projects are built on shared understanding, effective communication, transparency and trust of a committed partnership.

Sustainability: Through the lifecycle of these grants, every attempt must be made by all partners to ensure that the capacities of the national/regional experts in partner countries and the region are developed so that the countries in the region can eventually run their its transparency framework effectively through the use of their its own capacities and capabilities, and there is capacity at the regional level to support them.

National/regional Focus: Focus must be consistently placed on the development of national and regional needs and priorities that benefit the local community while advancing global climate objectives, ensuring acceptance at the local level.

Gender Mainstreaming: Throughout the lifecycle of these grants, promoting women's empowerment and ensuring that women, girls, boys and men's experiences, needs, voices and participation are integrated into planning and activities to every extent possible.

5. Description of specific activities

All activities spelt out below shall be conducted in close coordination with the country focal points, CAREC and the ICAT Secretariat. All deliverables are subject to review and endorsement by the ICAT Secretariat.

In putting together the proposal the applicant should include considerations on the sustainability of the Hub after the end of the project as well as engagement with existing networks and partners in the region.

For the below activities the proposal should include time for regular coordination/reporting with/to the ICAT Secretariat and participation in ICAT's different fora: the Initiative Coordination Team (ICT), the Country and Toolbox Group (CTG), and the Communications Group. This entails active participation in meetings of approximately 8 hours per month by different core staff as well as the needed preparation for the meetings. The grantee also commits to report against the general ICAT KPIs under the ICAT MELU

Framework.

The Grantee will be responsible for implementation of the below activities. It is expected that most of the technical support and training activities will be provided in Russian:

Activity 1. Transparency Needs and Gap Analysis

The technical expert institution will provide technical advice and hands-on support to the Centre hosted by CAREC and to the countries to ensure successful completion of the below activities:

- a. An assessment of the current status in the countries of the region and their needs and priorities regarding MRV/transparency and the evidence base for mitigation and adaptation policies and actions, giving special priority attention to activities related to implementing and tracking implementation of NDCs and the further development of NDCs to identify key gaps to be addressed through the Hub;
- b. The mapping of key actors and institutions responsible for undertaking and supporting transparency efforts for climate policies and actions in the region and each of the countries, including policy makers, data experts, relevant research institutions, private sector associations and MRV/ transparency practitioners and assess their capacities and support needs. Also support the assessment of the institutional and legal frameworks in place and the determination of the requirements for a functional hub in terms of composition of the Hub (institutional and technical) to support long-term reporting under the ETF;
- c. The mapping of other international support programmes and activities running or planned in the region and identify potential overlaps and areas of collaboration with the activities of the Hub;
- d. An assessment of the regional needs and gaps for transparency work and for capacity development on MRV/ transparency systems and identify commonalities for potential priority sectors, focus areas, and cross-cutting issues in the countries as well as the required set of tools and methodologies that can meet the identified needs, including the need for translation of existing material;
- e. In close collaboration with country focal points and the ICAT Secretariat, development of an implementation plan, identifying realistic and tangible deliverables as well as expected outcomes and impacts in line with the regional priorities and ICAT's overarching mission and its MELU framework, defining the results and specifying which of the ICAT MELU indicators the Hub will contribute, and taking due account to maximize ICAT's value-added in light of the ICAT toolbox. The plan should also include a list of ICAT tools or methodologies to be applied, peer-to-peer learning activities for the region, and other inputs needed to enhance the capacity of countries in the region in the identified priority areas.

Outputs/deliverables

- Gap analysis for the region and each of the participating countries, including the current status, specific needs, and the areas of priority;
- Mapping of stakeholders, key actors and institutions in the participating countries and the region, relevant to transparency activities and their capacity building needs;
- A detailed implementation plan for the Hub that identifies activities up to [November] 2024, in line with this work plan and the budget that will be agreed between ICAT and CAREC. This plan will encompass the training programme and the technical support programme developed under activities 2 and 3. Activities include setting up topical working groups, conducting specific training activities, technical assistance activities, peer-to-peer exchange activities and support to the regional network and joint activities with other partner initiatives;
- Inception workshop with key stakeholders, technical implementing partner(s) and the ICAT Secretariat to agree on concrete and final sectors of priority as well as the capacity building

needs for the region and the completion of a start-of project survey for each country included in the agreement to support the creation of baseline data for the MELU framework.

Estimated timeline: 1 November 2021 to 31 July 2022.

Activity 2. Training activities

The technical expert institution will provide technical advice and hands-on support (including as a trainer of trainers) to the Centre hosted by CAREC and experts from the region to ensure successful completion of the below activities:

- a. Development of a training programme for the region to cover priority capacity building needs of key stakeholders, as identified in the needs and gap analysis (Activity 1) to enhance collaborative and efficient working and accelerate the development of competence in participating countries. The training approach should ensure that learnings are applied through in-country implementation and prioritize peer-to-peer learning activities. All areas supported by ICAT (as per ICAT 2.0 strategy) can be part of the scope of the training activities, with specific focus on ICAT tools and methodologies as relevant to the region.
- b. Organisation of training activities as online activities and through in-person training as per the training programme. A train-the-trainers approach should be used for training activities that need to target a larger group of participants at the country level. The proposal should include the costs of the participation of the technical expert institution to these training activities (where applicable), while the logistics and participation by CAREC staff will be covered through the budget available under the UNOPS/CAREC agreement.
- c. Roll out the training programme by training local experts as trainers in the region, taking into account the language needs of the region, including by organizing a summer academy and/or similar network training activities. The international expert institution will act as a mentor to these local trainers as the training programme is implemented and train local experts to act as regional resource persons for the implementation of the priority activities identified under activity 1;
- d. Monitor the roll-out of training activities and evaluate and advise the Centre on how to improve the training approach and material developed for training activities. Please note that material will also be required in Russian.

Outputs/deliverables:

The following deliverables may be adjusted for each country in accordance with the defined work plan:

- Capacity-building and training programme, including planned activities (workshops, webinars, summer academy, train-the-trainers activities);
- Training material including in Russian;
- Training activities as defined in the programme;
- Assessment reports on training activities implemented.

Estimated timeline: 1 December 2021 to 31 October 2024.

Activity 3. Technical Support Programme

The technical expert institution will provide technical advice, hands-on support and mentoring to personnel at the Centre hosted by CAREC and to the participating countries to ensure successful completion of the below activities:

- a. The development of a technical support programme based on the gap analysis conducted under Activity 1 to define the scope for technical support activities. Activities that meet the needs of at least half of the participating Central Asian States will be prioritized. Countries are encouraged to

bundle their support needs to realize economies of scale. The programme will determine the need for regional expertise, including experts to be hired at the ReCATH Centre based at CAREC in Almaty, and it will set up working groups, specifying the participating countries. The Hub will have a strong coordination function with regional consultants focusing on specific topics as per work plan supporting multiple countries. The programme will also define results and specify to which of the ICAT MELU indicators the activities will contribute;

- b. Development and setting up in the participating countries transparency frameworks (including the definition of responsibilities for collecting data), setting up and utilizing relevant tools and methodologies and compiling reports and other outputs using data from their transparency systems. Support will address specific needs in relation to Enhanced Transparency Framework requirements, MRV/transparency systems, tracking progress in NDC implementation and achievement, assessing the impacts of policies and measures on projected emissions and social, economic and other environmental parameters, and/or compiling information on climate change policies to mobilize finance;
- c. Revision of the implementation plan on an annual basis and as necessary to ensure alignment with country priorities and ICAT overarching goals. Each participating country will prepare an annual report on progress in building capacity and developing a transparency framework. These reports can be kept confidential among the country and the supporting regional and international experts or they can be shared, if so decided by the country;
- d. Build a network of country experts from the national governments, open to a broader community of experts including consultants. Working groups will be formed on priority topics identified in the gap analysis under activity 1. Activities can also be implemented through sub-groups, for instance taking into account specific sectoral or structural priorities;
- e. The technical support will be provided primarily through experts located at the Hub based at CAREC, with back-up from international experts. It will be provided through regular and ad-hoc technical input to local experts, consultants and institutions in the participating countries.

Outputs/deliverables:

- Technical support programme to define the scope for technical support activities, reviewed and discussed with the head of the centre at CAREC;
- Reports as defined in the work plan on relevant aspects of the countries' transparency framework or evidence-based policy approach;
- Progress reports on technical support activities, including the use of the ICAT tools and methodologies and the implementation of the capacity building plans (including recommendations and suggested changes/additions);
- Preparation of technical support material in Russian;
- Meetings (virtual and in-person) of the different working groups and sub-groups and reports on their progress;
- Country capacity building reports on progress in building capacity and developing a transparency framework;
- Final report covering all participating countries, including an analysis of final results obtained through the implementation of the ICAT activities, lessons learned and the use of the ICAT tools and methodologies, as well as reporting on the KPIs outlined in the ICAT MELU framework.

Estimated timeline: 1 November 2021 - 31 October 2024

Activity 4. Management support for the regional Centre (regional centre, national experts, network, progress reporting, outreach)

- a. Support the establishment and management of the ReCATH Centre and Hub network, including drafting of terms of reference for regional consultants and their on-boarding and initial training,

- and ongoing supervision of local experts to ensure they receive continued advice and support to advance the agreed-upon implementation plan;
- b. The Grantee will collaborate closely with CAREC and act as an advisor to the personnel at the Centre and the participating countries;
 - c. Support ICAT outreach activities and content management of knowledge products, including drafting of regular progress summaries, preparing case studies, and running and contributing to webinars/workshops;
 - d. Support the Centre and the network in effective knowledge management by setting up communications and knowledge management tools and processes;
 - e. Encourage peer-to-peer exchange and south-south cooperation during implementation among the countries of the region and, if relevant, other ICAT countries;
 - f. Ensure that technical support and approaches are fully coordinated in the Initiative.
 - g. Actively participate in monthly meetings with other ICAT implementing partners through the Initiative Coordination Team (ICT), including its subgroups currently the Country and Toolbox Group (CTG) and the Communications Group, sharing information on progress, lessons learnt, foreseen risks and bottlenecks and opportunities and planning and contributing to Initiative-wide outreach activities.

Outputs/deliverables:

- Work plan for the Hub and terms of reference for the regional consultants;
- Active participation to the above mentioned groups. This includes monthly meetings of the ICT, bi-weekly meetings of the CTG and monthly meetings with the Communications Group. The Grantee will contribute to these through active participation in discussions, presentation of project progress as required and provision of feedback on documents circulated as part of the meetings;
- Participation in international events when relevant, to provide input/updates on the ICAT project;
- Regular progress updates on the technical support activities and recommendations on potential improvements and opportunities that can be pursued through informal briefings to the ICAT Secretariat (monthly) and by updating the country update tool on a bi-weekly basis to highlight upcoming workshops, progress made, lessons learned and potential issues/delays;
- Communications and Knowledge Management tools and SOPs;
- Timely provision of narrative and financial progress and final reports and deliverables described under Activity 1, 2 and 3 including reporting against ICAT KPIs specified in the ICAT MELU Framework². Some ad hoc reporting is also required through surveys issued by the ICAT Secretariat (i.e. for trainings/workshops, reporting to UNFCCC and end of project surveys) the Grantee will facilitate the completion of such surveys by relevant country focal points and country counterparts by assisting the ICAT Secretariat with survey distribution and follow-up as needed;
- Outputs and outreach material developed under this project including in Russian, acknowledging ICAT support and showing the ICAT logo as appropriate.

Estimated timeline: 1 November 2021 - 31 October 2024

² The selected bidder may be asked to provide audited financial statements and terminal evaluations as a part of the contract deliverables

6. General instructions for proposal submission

General instructions for proposal submission
How to submit? Fill out the Expression of Interest form in Annex A, and prepare the Grant application form in Annex B, attaching necessary supporting documents to assist the evaluation of your submission.
When to submit? Deadline: 21st September 2021 (by 23:59, Copenhagen, Denmark Time)
Questions and clarification? Please contact Mr. Joseph Mensah at josephme@unops.org, by 17th September 2021 (23:00, Copenhagen, Denmark Time). Requests for clarifications or questions submitted before or after the mentioned date will not be considered.
Where to submit? Office email: icat@unops.org

7. Evaluation Process

In line with UNOPS evaluation principles of fairness, transparency and integrity, an independent Grant Evaluation and Selection Committee will be responsible for the review of proposals and the Grantee selection. The review will be based on the criteria outlined in the Call for Proposals and will include an assessment of the grant proposal's formal, technical and financial aspects. The review should usually include at least two (2) 'substantially compliant' proposals and result in the selection of the most responsive proposals as per the cumulative analysis of the Grant Evaluation and Selection Committee. The proposed grant cost/breakdown will not be the overriding evaluation criteria automatically resulting in the selection of the lowest priced, substantially compliant proposal. Quality, language skills and technical advantages for higher priced proposals (up to the ceiling amounts) may justify the selection of such proposals. Any non-compliant proposal may automatically be eliminated from the evaluation process.

After completion of the evaluation, but prior to award, UNOPS reserves the right to conduct background checks on the applicant recommended for award to confirm that the applicant meets the eligibility, qualifications and technical requirements set forth in this CFP, and reject applicants deemed to have not met such requirements.

UNOPS reserves the right not to award any grants for any reason or to award the grants to more than one (1) applicant per the categories outlined above.

7.1 Eligibility and Formal Requirements

Upon the opening of the proposals, UNOPS shall proceed to a Preliminary Examination of the proposals to confirm that all documents and technical information requested in this CFP have been provided, and UNOPS will assess the completeness of each document submitted. UNOPS may, without further consultation with the applicant(s), reject any proposal, during the Preliminary Examination stage, that does not comply with the formal eligibility requirements set out in Section 2 of this CFP.

Proposals that are incomplete or contain material deviations from, or reservations to, the terms of the Grant Support Agreement and its General Conditions (attached as Annex D and Annex E), may at the absolute discretion of UNOPS, be rejected or excluded from further consideration at any time during the evaluation, including after the Preliminary Examination.

7.2 Technical Evaluation

The applicant(s)' Technical Proposal should be submitted in line with Annex B. It shall be evaluated and scored based on its compliance with the Technical Evaluation criteria specified in the table below. If a Technical Proposal does not achieve a minimum threshold of 70% of the maximum obtainable points, it will not be considered for further evaluation.

7.3 Financial Evaluation

The Financial Proposal will only be assessed for grant applicants that achieve the minimum threshold score for the Technical Proposal. Technical Proposals that score above this threshold shall be checked for any arithmetic errors in computation and summation.

8. Evaluation Criteria

8.1 Eligibility and Formal Requirements

This criteria will be reviewed on a Pass/Fail basis. Any organisation that fails one or more of the eligibility criteria, or fails to submit any of the relevant documents requested is automatically disqualified from the evaluation process:

No.	Requirements/Qualification Criteria	Remarks
1	Grant applications shall only be accepted from non-governmental organizations, research and training institutions, community based organizations, or private companies with the ability to operate on a non-profit basis.	Applicant must provide proof of: 1. Entity registration
2	Organisation must demonstrate at least 3 years of experience (ref point 3) in working in Central Asia.	Applicant must submit: 1. Previous Experience Form

3	<p>Organisation must demonstrate at least 5 years of proven experience in research, policy analysis, and/or capacity building activities in MRV or climate action transparency in line with the Paris Agreement.</p>	<p>Applicant must submit:</p> <ol style="list-style-type: none"> 1. Previous Experience Form; and 2. Final report and/or reference letter from the most recent non-UNOPS project
5	<p>Organisation must demonstrate at least 5 years of experience in the development and/or coordination of capacity building activities with developing countries.</p>	<p>Applicant must submit:</p> <ol style="list-style-type: none"> 1. Previous Experience Form; and 2. Final report and/or reference letter from the most recent non-UNOPS project.
6	<p>Organisation must have administrative capacity for annual financial turnover of at least USD 200,000.</p>	<p>Applicant must submit:</p> <ol style="list-style-type: none"> 1. Certified financial statements for 2019 fiscal year; and 2. Certified financial statements for 2020 fiscal year. <p>The financial statements shall include balance sheets, income statements, cash flow statements and statements of shareholders' equity for 2019 and 2020 demonstrating a min yearly turnover of USD 200,000. Statements shall be duly stamped and signed by the organization's Director and Chief Financial Officer/Chief accountant. Audited financial statements for the same period shall be provided, if available.</p>

8.2 Technical Criteria

The Applicants' proposals must meet the requirements in the table below and obtain a minimum score of 2 in each area to be considered technically compliant.

Scoring

3 = Exceeds requirement

2= Meets requirement

1=Partially meets requirement

0=Does not meet requirement

Evaluation Areas	Score and Weight
Section A - Organizational Background & Capacity (Weight: 50)	
Organization has demonstrated experience in climate-related capacity building and climate MRV/transparency. Experience in climate policies/actions, access to finance, assessing sustainable development impacts and/or transformational change potential of climate policies is an added advantage.	/3 (30%)
Organization has demonstrated capacity and experience in research and policy analysis in the following sectors: energy, agriculture, forestry, and/or transport.	/3 (25%)
Organisation has demonstrated capacity to work in English and capacity to engage personnel to work with in Russian.	/3 (25%)
Organization has demonstrated history working with public and private sector clients, in particular in developing countries and has relevant experience in climate transparency / MRV.	/3 (20%)
Section B - Design of the proposed implementation approach (Weight: 40)	
Overall implementation plan proposes relevant actions, strategy and tasks clearly linked to the achievement of the desired objectives and outcomes, including inclusion of verifiable indicators to monitor activities against established objectives and outputs.	/3 (30%)
Proposed project team has relevant technical skill-set to implement capacity building in Central Asia in relevant areas of ICAT support e.g. capacity building; supporting the development of data systems; GHG emission inventory support; tracking NDC progress, GHG impact assessment of policies and actions.	/3 (25%)

<u>Note:</u> The CVs of proposed personnel are to be included in the submission.	
Proposal incorporates innovative approaches to capacity building which can enhance ICAT technical support to countries?	/3 (10%)
Technical and substantive content of the proposed activities is in line with the ICAT's Strategy and long term work programme activities for capacity building in countries.	/3 (10%)
Proposal incorporates approaches and activities which will ensure the sustainability of the grant projects' impacts, activities, or both.	/3 (10%)
Proposal presents a sound communication and stakeholder engagement strategy and provides a systematic approach to capture, share and disseminate the knowledge, lessons learned and good practices.	/3 (10%)
Both internal and external risks duly considered and the proposed mitigation actions are appropriate.	/3 (5%)
Section C - Other considerations (Weight: 10)	
The proposed project approach generates constructive linkages and partnerships with other projects on the subject matter, and demonstrates strategic partnerships.	/3 (50%)
Proposed project includes linkages or considerations that could contribute to the overall policy process of climate transparency with the potential to enhance developing countries ambition.	/3 (50%)

8.3 Financial Criteria

Scoring

3 = Exceeds requirement

2= Meets requirement

1=Partially meets requirement

0=Does not meet requirement

Evaluation Areas (Total weight: 100)	Score and Weight
Grant budget is within funds allocation and considers the 10% cap for indirect costs.	/3 (33.3%)
Overall budget realistic and accurate i.e. activities are appropriately budgeted and including categories eligible for support.	/3 (33.3%)
Budget breakdown by category ensures best value for money i.e. the costs are effective as justified by the seniority/expertise of the proposed team as well as considering economies of scale and optimization of resources for other categories.	/3 (33.3%)
Organization provides matching of grant funds.	Yes/No

9. UNOPS Grant Support Agreement

The UNOPS Standard Grant Support Agreement (GSA) (Annex D) containing UNOPS General Conditions (Annex E) are herewith attached. The GSA constitutes an integral part of this CFP as it is mandatory to accept this agreement with its conditions before submitting a proposal.

Annex A - Expression of Interest**Expression of Interest Form**

If your organization is interested in submitting a grant proposal in response to this CFP, please kindly prepare a short 'Expression of Interest' statement (below) and complete the Grantee Application Form (herewith attached as Annex B)

My organization _____ is hereby formally submitting a proposal for the advertised grant program/component. I confirm, hereby, that my organization meets the minimum requirements spelled out in the Call for Proposals.

Authorized signature:	
Name & Title:	
Contact info	
Date:	

Annex B - Grant Application Form

I. Technical Proposal

a. The organizational background and capacity to implement the grant activities

Proponent (please indicate principal applicant)	
In the case of a consortium, please list all partners and indicate the principal applicant	
Organization Registration No.	
UN Sanction	Confirm that the supplier is not included in the Consolidated United Nations Security Council Sanctions List , including the UN Security Council Resolution 1267/1989 list ;
Legal status – date and country of registration (to be attached to the submission)	
Nature of the proposing organization	1. Non-profit Entity; 2. Community-based organization, 3. Research or training institution; 4. Company acting not-for-profit; 5. Others (explain).
Organization Website; Address; Phone	
Membership and affiliation to associations or umbrella groupings	
Organizations purpose and core activities; approach (philosophy); target population group	
Organizational structure, governance and administrative framework	
Number of personnel/staff members	Full Time: Part Time

Total Budget for most recent fiscal years	
Does your organization have a written accounting policies and procedures manual?	Yes No
Is your accounting system an automated double-entry system?	Yes No
Certified financial statements for 2019 and 2020, demonstrating a min. yearly turnover of USD 200,000 The financial statements shall include balance sheets, income statements, cash flow statements and statements of shareholders' equity for 2019 and 2020. Statements shall be duly stamped and signed by the organization's Director and Chief Financial Officer/Chief accountant. Audited financial statements for the same period shall be provided, if available.	Yes (attached certified financial statements) No
Years of experience - list experiences of your organization relevant to the proposed project	Please complete Annex C - Grantee History Form

b. Implementation approach

The proponent organization should describe the approach to implement the tasks detailed under the three categories described under Section 5 in order to effectively deliver the expected outputs and contribute to the expected outcomes outlined in Section 3 of the Terms of Reference. The approach must ensure that the activities are a means to getting the intended outcome, including a detailed work plan. They should be specific for each of the three categories.

Implementation approach description should be as specific as possible. It should clearly indicate the following information for each of the foreseen activities:

1) What will be done to complete each of the activities: provide a description of the proposed methodology and approach. Please add a description of the foreseen inputs for each activity.

Who will be involved in the implementation of each activity and the overall project?

- Provide an organogram of the proposed project team with names and titles (attaching the CVs for existing personnel or the TORs for personnel to be engaged).
- Provide an indication of external organizations and individuals who will be involved as sub-contractors or sub-grantees under this project;
- List identified key stakeholders relevant to the implementation

When it will be done: beginning, duration, completion for the project and a **Gant chart/schedule** with duration responsible party and indicator for each activity.

Project sustainability:

Provide considerations and proposed actions to encourage regional and global cooperation to encourage peer-to-peer exchange and learning, and ensure national ownership and follow-up.

Detailed description of the monitoring plan for project activities both during its implementation (formative) and at completion (summative), please make sure to include reference to the indicators mentioned in section three of the CFP:

Suggested key issues to be addressed are:

- How the performance of the grant activities will be tracked in terms of achievement of the steps and milestones set forth;
- How any mid-course correction and adjustment of the design and plans will be facilitated on the basis of feedback received;
- How the participation of key stakeholders in the monitoring and evaluation processes will be achieved.

Please also use the indicators as described in section three of this CFP to monitor project performance and impact, as the basis for monitoring and evaluation. These indicators will form an important part of the grant agreement between the proposing organization and UNOPS.

Plan for communication and Knowledge Management

Describe how you plan to capture and share knowledge, lessons learned and good practices, and contribute to strengthening a global community of practice for climate action transparency.

Please also describe how you intend to generate and deliver content which will support the communication of ICAT's country work through its various channels..

Identify and list any major risk factors that could result in the implementation approach not delivering the expected results.

These should include both internal factors (for example, the technology involved fails to work as projected) and external factors (for example, significant currency fluctuations resulting into changes in the economics of the grant project). Propose mitigation actions for the identified risks.

II. Financial Proposal

a. Proposal summary

Proposed grant amount	
Matching fund Amount and Sources (if any)	Matching Fund amount (USD) and sources (specify if in cash or in kind)
Please indicate the number of project modules by category included in the proposal.	
Total Project Budget (USD)	Including co-funding

INSTRUCTIONS

The complete **budget proposal (b. and c.)** includes the development and management of a realistic budget paying careful attention to issues of financial management and integrity in order to enhance the effectiveness and best value for money. It must take into account the necessary resources to implement the foreseen activities and the expected outcomes. The following important principles should be kept in mind in preparing a project budget:

- Include only costs, which directly relate to efficiently carrying out the activities and producing the objectives, which are set forth above. Other associated costs should be funded from other sources;
- The budget should be realistic. Find out what planned activities will actually cost;
- The budget should include all costs associated with managing and administering the grant project. In particular, include the cost of monitoring and coordinating activities;
- Indirect costs:** reasonable admin cost up to 10% is allowed. These can include compensation of staff time (salaries) or required office costs related to the grant activities;
- Grant funds shall be overall spent according to the agreed budget;
- All relevant, financial records should be made available upon request. These may be independently audited, and usually will become public information;
- Fill in the figures according to actual needs. If there is no expected expense in some categories, leave the columns blank. If there are other expenses beyond these categories, please adjust this table accordingly and specify.

b. Budget for activities

Activity	Total costs (USD)	% of the total budget
1、 Transparency Needs and Gap Analysis		
Personnel		
Meeting		
Outsourcing (contracts)		
Travel/lodging/meal		
Outreach and knowledge Products		
Subtotal (1)		
2、 Training Activities		
Personnel		
Meeting		
Outsourcing (contracts)		
Travel/lodging/meal		
Outreach and knowledge Products		
Subtotal (2)		
3、 Technical Support		
Personnel		
Meeting		
Outsourcing (contracts)		
Travel/lodging/meal		
Outreach and knowledge Products		
Subtotal (3)		
4、 Management support for the regional hub and coordination of activities		
Personnel		
Meeting		
Outsourcing (contracts)		
Travel/lodging/meal		
Outreach and knowledge Products		
Subtotal (4)		
5. Administrative cost (up to 10% of the total grant)		

Please Specify		
Please Specify		
Subtotal (5)		
Total 1 + 2 + 3 + 4 + 5		

c. Budget by Categories

A detailed breakdown of the below categories in **Excel format will be required**, including:

- Breakdown of personnel with unit rates for each and total # of days;
- Estimated rates for travels tickets, including per diem rates, number of foreseen days and total cost;
- Average unit costs for venues, catering, etc., and total # of days;
- If sub-contractors are involved, estimated amount per sub-contractors and number of days of contract;
- Outreach and knowledge products: a breakdown of costs for goods and services to be procured (e.g. Translation, printing, etc.)
- If indirect costs are included (up to 10%), a breakdown of these must be provided i.e. compensation of staff time (percentage of salaries) or required office costs related to the grant activities.

Item	Budget
1. Personnel (detailed by positions and #units)	
2. Meeting (venue; catering)	
3. Travel (flights and Perdiem)	
4. Contracts (sub-contractors and sub-grantees)	
5. Outreach and knowledge Products (i.e. printing, translation)	
6. Administrative costs (indirect costs)	
Total Grant Project Cost	

Annex C - Previous Experience FormCFPs reference no: **[Insert CFP reference No.]**Name of proponent organization: **[Insert Bidder name here]**

Project Title and a brief description	Country	Total amount of Contract	Contract Title and Contact details of Client (Name, Address, telephone, email, fax)	Year project was undertaken

Annex D - Grant Support Agreement

IN SUPPORT OF

[Insert short grant activity or project title]

GRANTEE NAME:

GRANT NUMBER: .../.../...../.../...

This Grant Support Agreement (hereinafter referred to as “Agreement”) is made between the United Nations Office for Project Services (hereinafter referred to as “UNOPS”) and [insert Grantee’s name and address] (hereinafter referred to as “Grantee”).

WHEREAS UNOPS desires to provide grant support to the Grantee in the context of the implementation of [insert short grant activity or primary project/programme description] (hereinafter referred to as the “Activity”), as more specifically described in Annex A, on the terms and conditions hereinafter set forth, and

WHEREAS the Grantee is ready and willing to accept such funds from UNOPS for the above-mentioned activities on the terms and conditions as herein set forth.

NOW, THEREFORE, the Grantee and UNOPS agree as follows:

1. Agreement Documents

1.1 The following documents attached hereto shall be deemed to form an integral part of this Agreement in the following order of precedence:

- i. This agreement
- ii. Annex A: Terms of Reference
- iii. Annex B: Grant Budget
- iv. Annex C: Reporting
- v. Annex D: UNOPS General Conditions for Grant Support Agreements

1.2 This Agreement and the Annexes attached hereto shall form the entire Agreement between the Grantee and UNOPS, superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Agreement.

2. Purpose of the Agreement

2.1 The purpose of this Agreement is to provide support for the Activity being [insert short grant activity description] in [insert country] as described in Annex A (the Terms of Reference). None of the funds provided pursuant to this Agreement may be used for any purposes other than those expressly set forth in Annex A.

2.2 Grant support is being provided to the Grantee on the condition that the action is implemented, and the funds are administered by the Grantee, in accordance with this Agreement.

3. Duration of this Agreement

3.1 This Agreement is effective and funds are granted by UNOPS as of [insert start date] or the date of the last signature below, whichever is the later.

3.2 Funds granted hereunder are available for program expenditures for the estimated period from the effective date specified in Clause 3.1 above to [insert end date].

4. Role of the Grantee

4.1 The Grantee shall:

- a. Have full responsibility for ensuring that the Activity is implemented in accordance with the Agreement
- b. Be responsible, in the event of financial review, audit or evaluation for providing the necessary accounting documents
- c. Be responsible for providing all documents and information to UNOPS which may be required under the relevant payment requests
- d. Make the arrangements for providing the financial status documentation and financial guarantee, when requested
- e. Ensure professional management of the Activity, including performance monitoring and reporting activities.

5. Grant Amount and Payments

5.1 UNOPS hereby grants to the Grantee the total amount of USD [insert US Dollar amount in figures and words] as shown in the Budget in Annex B.

5.2 Payments to the Grantee shall be made in accordance with the following schedule upon the submission by the Grantee of appropriate milestone reports along with payment requests, subject to the Grantee's continued performance of its obligations under this Agreement:¹

¹ Any advance payment made under the Agreement totalling more than USD30,000 of the total Grant Amount be conditional on the provision of a justification and subsequent approval by UNOPS. Moreover, following the receipt of such exceptional justification, UNOPS may, at its own discretion, further request the Grantee to submit

[Note: Delete or insert milestones as required, but be sure to include the complete payment schedule with all milestones/payments that cover the entire term of the Grant Support Agreement.]

Milestone 1: [insert us dollar amount in figures and words], upon signature of this Agreement by both parties.

Milestone 2: [insert us dollar amount in figures and words], upon certification by UNOPS of receipt and acceptance of the first milestone report and interim financial report on the use of Grant funds by [insert date in month-year format].

Milestone 3: [insert us dollar amount in figures and words], upon certification by UNOPS of receipt and acceptance of the second milestone report and interim financial [insert date in month-year format].

Milestone 4: [insert us dollar amount in figures and words], upon certification by UNOPS of receipt and acceptance of the third milestone report and interim financial report on the use of Grant funds by [insert date in month-year format].

Milestone ...: [insert us dollar amount in figures and words], upon certification by UNOPS of receipt and acceptance of the final milestone summary report and final financial report on the use of Grant funds by the date specified in Clause 6.2.

5.3 Choose one of the following two clause options. Option A deals with the situation where the Grantee has a bank account. Option B deals with the situation where the Grantee has no bank account. Please delete the clause which is not relevant.

Option A:

All payments to the Grantee shall be in US dollars, and shall be deposited into the Grantee's bank account in accordance with the ATLAS vendor profile form completed and submitted by the Grantee to UNOPS.

or

documentation regarding its financial status together with reasonable cash flow estimates. Any advance payment exceeding USD250,000 shall be conditional on a financial guarantee of an amount equivalent to the advance payment.

Option B:

All amounts in this Clause 5 are expressed in US dollars but shall be paid to the **Grantee** in local currency, calculated by reference to the UN rate of exchange as at the month and year of the payment. Payment amounts shall be paid in accordance with the payment schedule set out in Clause 5.2 by cheque to the representative of **the Grantee** authorized in writing by **the Grantee** to accept such payment on its behalf.

5.4 The amount of payment of such Grant funds is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the **Grantee** in the performance of the activities under this Agreement.

5.5 Grant funds can be shifted between budget lines up to 10 percent of total grant value. The **Grantee** must secure written approval by UNOPS to shift funds between budget lines exceeding 10 percent of the total grant value.

6. Reporting and Evaluation

6.1 The Grantee shall submit to the following milestone reports during the life of this Agreement in the formats provided in Annex C, and in line with the above Payment Schedule (as per Clause 5.2):

- (a) To UNOPS, financial reports on the use of Grant funds [insert frequency, e.g. six months]; and
- (b) To [insert as applicable: UNOPS or funding source/client], milestone narrative reports every [insert frequency].

6.2 Within 90 (ninety) calendar days of the end date specified in Clause 3.2 above, the Grantee shall submit the following reports in the formats provided in Annex C²:

- (a) To UNOPS, a final financial report on the use of Grant funds; and
- (b) To [insert as applicable: UNOPS or funding source/client], the final narrative milestone summary report.

6.3 Failure to submit the reports specified in clause 5.2 without due cause shall constitute a failure to fulfil a substantial obligation of this Agreement, in accordance with Article 16 of the General Conditions.

6.4 The Grantee shall be deemed discharged from its obligation under this Agreement only upon the receipt and acceptance of the reports referred to in clause 5.2 and the return of any unspent funds in accordance with this Agreement.

² For total grants above US\$ 50,000 a certified final financial report is required. The selected bidder may also be asked to provide audited financial statements and terminal evaluations as a part of the contract deliverables

7. Special Conditions

7.1 All ICAT outreach material developed or prepared as a consequence of or in the course of the performance of this Activity, shall include the ICAT logo. All publications developed or prepared as a consequence of or in the course of the performance of this Activity shall include the ICAT logo and the following disclaimer:

“All rights reserved. No part of this publication may be reproduced, stored in a retrieval system or transmitted, in any form or by any means, electronic, photocopying, recording or otherwise, for commercial purposes without prior permission of UNOPS. Otherwise, material in this publication may be used, shared, copied, reproduced, printed and/ or stored, provided that appropriate acknowledgement is given of UNOPS as the source. In all cases the material may not be altered or otherwise modified without the express permission of UNOPS”.

7.2 Clause 2.1 from Annex D is substituted by the following clause:

All intellectual property rights, including but not limited to maps, drawings, photographs, mosaics, plans, manuscripts, records, reports, recommendations, estimates, documents, images, sounds, and other materials, except pre-existing materials, publicly or privately owned, collected, created, developed or prepared as a consequence of or in the course of the performance of this Activity as a direct output of the country work plan(s) developed for the Country(ies) receiving technical support under this GSA, as detailed further in activity 1 and 2 of section 3 of Annex A, shall become the sole property of the recipient Country(ies). The recipient Country(ies), shall, in turn, grant to the Grantee, UNOPS and its Donors a perpetual, royalty-free, non-exclusive and non-transferable license on the intellectual property or other proprietary rights developed by the recipient Country(ies) under the relevant Project Cooperation Agreement(s) for non-commercial purposes. However, all Materials generated directly by the Grantee under section 3 of Annex A shall remain the sole property of UNOPS, which shall grant to the Grantee a perpetual, royalty-free, non-exclusive and non-transferable license on the intellectual property or other proprietary rights developed under this GSA for non-commercial purposes.

8. Correspondence

8.1 All further correspondence regarding the implementation of this Agreement should be addressed to:

<p>For UNOPS:</p> <p>[insert name, address, e-mail, phone]</p>	<p>For the Grantee:</p> <p>[insert name, address, e-mail, phone]</p>
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8.2 Any notice given by UNOPS or the Grantee shall be sufficient only if in writing and delivered in person, mailed or delivered electronically to the respective addresses specified in Clause 8.1 above.

IN WITNESS WHEREOF, the undersigned, duly appointed representatives of UNOPS and of the Grantee, have on behalf of UNOPS and the Grantee, respectively, signed the present Agreement on the dates indicated below their respective signatures.

FOR UNOPS: <hr/> <p>[insert name] [title], [office]</p> <p>Date (mandatory):</p>	FOR THE GRANTEE: <hr/> <p>[insert name] [title]</p> <p>Date (mandatory):</p>
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Annex E - General Conditions

1. Liability and General Obligations of Grantee

- 1.1 The Grantee shall be responsible for complying with any legal obligations incumbent on them.
- 1.2 The Grantee shall carry out all activities for which it is responsible under this Agreement with due diligence and efficiency.
- 1.3 UNOPS shall not, under any circumstances or any grounds, be held liable in the event of a claim under the Agreement relating to any damage caused during the Activity's execution.
- 1.4 The Grantees shall make good any damage sustained by UNOPS as a result of the execution or faulty execution of the Activity.
- 1.5 Subject to the express terms of this Agreement, it is understood that the Grantee shall have exclusive control over the administration and implementation of this Agreement and that UNOPS shall not interfere in the exercise of such control. However, both the quality of the Grantee's work and the progress being made toward successfully achieving the goals of such activities shall be subject to review by UNOPS. If at any time UNOPS is not satisfied with the quality of work or the progress being made toward achieving such goals, UNOPS may in its discretion (i) withhold payment of funds until in its opinion the situation has been corrected; or (ii) declare this Agreement terminated by written notice to the Grantee; and/or (iii) seek any other remedy as may be necessary. UNOPS' determination as to the quality of work being performed and the progress being made toward such goals shall be final and shall be binding and conclusive upon the Grantee insofar as further payments by UNOPS are concerned.
- 1.6 UNOPS undertakes no responsibilities in respect of life, health, accident, travel or any other insurance coverage for any person who may be necessary or desirable for the purpose of this Agreement or for any personnel undertaking activities under this Agreement. Such responsibilities shall be borne by the Grantee.
- 1.7 The rights and obligations of the Grantee are limited to the terms and conditions of this Agreement. Accordingly, the Grantee and personnel performing services on its behalf shall not be entitled to any benefit, payment, compensation or entitlement except as expressly provided in this Agreement.

2. Intellectual Property Rights

- 2.1 All intellectual property rights, including but not limited to maps, drawings, photographs, mosaics, plans, manuscripts, records, reports, recommendations, estimates, documents, images, sounds and other materials, except pre-existing materials, publicly or privately owned, collected, created, developed or prepared as a consequence of or in the course of the performance of this Activity, shall become the sole property of the Funding Source, unless otherwise stipulated in the Project Agreement.
- 2.2 The Grantee shall hold harmless and fully indemnify UNOPS from and against all claims and proceedings for infringement of any patent rights, design trademark or name or other protected rights resulting from Grantee's performance.

3. Confidentiality

- 3.1 UNOPS and the Grantee undertake to preserve the confidentiality of any document, information or other material directly related to the Activity that is deemed or classified as confidential, where disclosure could cause prejudice to the other party.

4. Allowable Costs

- 4.1 The Grantee shall be reimbursed for costs incurred in carrying out the purposes of this Agreement which are determined by UNOPS to be reasonable, allocable, and allowable in accordance with the terms of this Agreement. The following definitions of what may be considered as reasonable, allocable, and allowable costs apply:
- (a) Reasonable: shall mean those costs which are generally recognized as ordinary and necessary and would be incurred by a prudent person in the conduct of normal business.
 - (b) Allocable costs: shall mean those costs which are incurred specifically in connection to the Agreement, and are provided in the estimated budget at Annex C.
 - (c) Allowable costs: shall mean those costs which conform to any limitations in the Agreement.
- 4.2 The eligible costs must be incurred during the period of the Activity, specified in Article 3 of the Agreement and recorded in the Grantee's accounts in accordance with accepted accounting procedures.
- 4.3 Prior to incurring a questionable or unique cost, the Grantee shall obtain UNOPS's written determination on whether the cost will be allowable.
- 4.4 It is UNOPS policy that no funds shall be paid as profit or fee to a Grantee under this Agreement or any sub-Grantee. This restriction does not apply to contractual relationships entered into by the Grantee under this Agreement.

5. Accounting, Audit and Records

- 5.1 The Grantee undertakes to provide any detailed information requested by UNOPS to verify that the Activity and the provisions of the Agreement are being properly implemented.
- 5.2 The Grantee shall maintain all financial records, supporting documents, statistical records and all other records pertinent to this Agreement in accordance with generally accepted accounting principles [or applicable national legislation] to sufficiently substantiate charges to this Agreement. Accounting records that are supported by documentation will as a minimum be adequate to verify all costs incurred under the Agreement, receipt, and use of goods and services acquired under the Agreement, the costs of the program supplied from other sources, and the overall progress of the program. Unless otherwise notified, the Grantee's records and sub-Grantee records which pertain to this Agreement shall be retained for a period of seven years from the date of submission of the final financial report and may be audited by UNOPS and/or its representatives.
- 5.3 The Grantee shall furnish, compile and make available at all times to UNOPS any records or information, oral or written, which UNOPS may reasonably request in respect of the funds received by the Grantee.
- 5.4 UNOPS shall retain the right to conduct a financial review, require an audit, or otherwise ensure adequate accountability of organizations expending UNOPS funds.
- 5.5 The Grantee shall allow UNOPS staff and outside personnel (including third party entities engaged by UNOPS) the appropriate right of access to sites and premises of the Activity, and to all records and information required in order to conduct a financial review or audit.

5.6 This provision in its entirety shall be incorporated into all sub-grants to eligible sub-Grantees which exceed USD 30,000. Sub-grants to eligible sub-Grantees which are for more than USD 2,500 but less than USD 30,000 shall at a minimum incorporate Article 5.2 of this provision.

6. Bank accounts, Payment Advances and Refunds

6.1 The Grantee shall maintain advances of UNOPS funds in dedicated and separate accounts to the Grantee's ordinary funds. Such accounts must be interest bearing, unless:

- (a) The Grantee receives less than \$100,000 in UNOPS awards per year;
- (b) The best reasonably available interest bearing account would not be expected to earn interest in excess of \$250 per year on UNOPS cash balances; or
- (c) The depository would require an average or minimum balance so high that it would not be practical to maintain the advance in an interest bearing account.

6.2 Interest earned on advances will be remitted to UNOPS. However, the Grantee may retain up to \$250 of interest earnings per account per year, for administrative expenses.

6.3 At the time the Agreement expires or is terminated, the following types of funds shall immediately revert to UNOPS:

- (a) Any balance of funds that has not been disbursed to the Grantee; or
- (b) UNOPS has advanced funds to the Grantee, but the Grantee has not expended them.

6.4 Notwithstanding 6.3 (a) and (b) above, funds which the Grantee has obligated in legally binding transactions applicable to this Agreement will not revert to UNOPS.

6.5 UNOPS reserves the right to require refund by the Grantee of any amount which the Grantee did not spend in accordance with the terms and conditions of this Agreement. In the event that a final audit has not been performed prior to the closeout of this Agreement, UNOPS retains the right to a refund until all claims which may result from the final audit have been resolved between UNOPS and the Grantee.

6.6 The Grantee acknowledges that UNOPS and its representatives have made no actual or implied promise of funding except for the amounts specified by this Agreement. If any of the funds are returned to UNOPS or if this Agreement is rescinded, the Grantee acknowledges that UNOPS will have no further obligation to the Grantee as a result of such return or rescission.

7. Revision of Agreement Budget

7.1 The approved Agreement budget is the financial expression of the Grantee's programme as approved during the award of the Agreement process.

7.2 The Grantee is required to report, in writing, deviations from budget and programme plans, and request prior approvals from UNOPS for any of the following reasons:

- (a) To change the scope or the objectives of the programme and/or revise the funding allocated among project objectives.
- (b) To change a key person where specified in the Agreement, or allow a 25% reduction in time devoted to the project.
- (c) Additional funding is needed.
- (d) Where indirect costs have been authorized, the Grantee plans to transfer funds budgeted for indirect costs to absorb increases in direct costs or vice versa.
- (e) The Grantee intends to contract or sub-grant any of the work under this Agreement, and such contracts or sub-grants were not included in the approved Agreement budget.

- 7.3 The Grantee is further restricted from transferring funds among cost categories. The Grantee is required to get the prior approval of UNOPS before making budget shifts which expect to exceed 50 % of the total Grant budget.
- 7.4 UNOPS is under no obligation to reimburse the Grantee for costs incurred in excess of the total grant amount specified in this Agreement. An increase to the total grant amount shall require an amendment to the Agreement in writing.
- 7.5 The total grant amount under this Agreement is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the Grantee in the performance of the activities under this Agreement.

8. Procurement of Goods and Services

- 8.1 Where implementation of the Activity requires the award of procurement contracts, the Grantee shall maintain a written code or standards of conduct that shall govern the performance of its employees engaged in the awarding and administration of contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a contract supported by UNOPS funds if a real or apparent conflict of interest would be involved. Such conflict would arise when the employee, officer or agent, or any member of the employee's immediate family, the employee's partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the Grantee shall neither solicit nor accept gratuities, favours, or anything of monetary value from contractors or parties to sub-agreements. However, the Grantee may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the Grantee.
- 8.2 The Grantee shall establish written procurement procedures if procurement of goods or services in excess of USD 2,500 is envisaged under this Agreement. All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, transparent, open and free competition and the use of resources in an ethical, efficient and effective manner. The Grantee shall be alert to organizational conflicts of interest as well as non-competitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, invitations for bids, and/or requests for proposals shall be excluded from competing for such procurements. Contracts shall be made to the offeror whose offer is responsive to the solicitation and is most advantageous to the Grantee, price, quality, and other factors considered. Solicitations shall clearly establish all requirements that the bidder or offeror shall fulfil in order to be evaluated by the Grantee. Any and all offers may be rejected when it is in the Grantee's interest to do so.
- 8.3 Contracts shall be made only with responsible contractors who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement. Consideration shall be given to such matters as contractor integrity, record of past performance, financial and technical resources, or accessibility to other necessary resources.
- 8.4 Grantees shall ensure that the conditions applicable under these General Conditions are also applicable to the contractor.

9. Sub-Grant Agreements

- 9.1 Sub-grant agreements shall be made only with responsible Grantees who possess the potential ability to perform successfully under the terms and conditions of a proposed agreement. Consideration shall be given to such matters as integrity, record of past performance, financial and technical resources, or accessibility to other necessary resources.
- 9.2 All sub-grant agreements shall at a minimum contain provisions to define a sound and complete agreement in addition to those that are specifically required by any other provisions in this Agreement. Whenever a provision within this Agreement is required to be inserted in a sub-agreement, the Grantee shall insert a statement in the sub-agreement that in all instances where UNOPS is mentioned, the Grantee's name will be substituted.
- 9.3 Grantees shall ensure that the conditions applicable under these General Conditions are also applicable to the sub-grantees.

10. Third Party Claims

The Grantee shall be solely liable for claims by third parties arising from the Grantee's acts or omissions in the course of performing this Agreement and under no circumstances shall UNOPS be held liable for such claims by third parties. The Grantee shall indemnify, defend, save and hold UNOPS harmless in respect of such claims. This indemnity shall survive the termination or expiration of the Agreement.

11. Non-expendable equipment

- 11.1 Title to all non-expendable equipment purchased with project funds supplied by UNOPS shall be the property of the Funding Source.
- 11.2 The Grantee shall maintain records of non-expendable equipment with an acquisition value of USD 500 or more purchased with project funds supplied by UNOPS. The Grantee will submit an inventory of such equipment to UNOPS, indicating description, serial no., date of purchase, original cost, present condition, location of each item attached to each half yearly milestone report. Equipment purchased by the Grantee with funds supplied by UNOPS shall be used solely for the purposes indicated in Annex B throughout the duration of this Agreement.
- 11.3 Within 90 calendar days after the end of the Agreement, the Grantee will provide a list, for UNOPS' review and approval, of each item that has an acquisition value of USD 500 or more, with a corresponding detailed proposal relating to the future status of that item, namely whether it is intended for sale, transfer or donation, Where the Grantee sells the property, or item, it will transfer the proceeds of the sale to UNOPS within 30 calendar days.

12. Anti-corruption

- 12.1 The Grantee warrants that it has not and shall not offer any direct or indirect benefit arising from or related to the performance of this Agreement or the award thereof to any representative, official, employee, or other agent of UNOPS or any organization of the UN system.
- 12.2 The Parties declare their commitment to counteract corrupt practices in the execution of this Agreement. Further, the Parties commit themselves not to accept, either directly or indirectly, as an inducement or reward in relation to the execution of this Agreement, any kind of offer, gift, payments or benefits, which would or could be construed as a corrupt practice.

13. Anti-terrorism

13.1 The Grantee agrees to undertake all reasonable efforts to ensure that none of the UNOPS funds received pursuant to this Agreement are used to provide support to individuals or entities associated with terrorism and that the Grantee or any sub-grantees of any amounts provided by UNOPS hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list is established and maintained by the 1267/1989 Committee and can be accessed in the web page of the United Nations (<http://www.un.org>), or directly through the following link: https://www.un.org/sc/suborg/en/sanctions/1267/aq_sanctions_list. This provision must be included in all sub-contracts or sub-agreements entered into under this Agreement.

14. Child Protection

14.1 The Grantee will not engage in any practice inconsistent with the rights set forth in the Convention on the Rights of the Child. The Grantee will undertake to protect children from abuse of all kinds in the implementation of the Activity. This provision in its entirety shall be incorporated into all sub-grants to eligible sub-Grantees.

15. Suspension

15.1 Whenever UNOPS considers that the Grantee is not performing to a satisfactory standard, UNOPS may suspend, in whole or in part, the Activity under the Agreement in order to renegotiate and/or propose necessary amendments to the Agreement to redress the situation. When UNOPS suspends the Activity, in whole or in part, it must give immediate written notice to the Grantee, detailing the problems and the conditions required to reinstate the Activity.

15.2 The suspension will take effect on the date the Grantee receives the notification.

15.3 Upon receipt of a suspension notice, the Grantee shall not incur any costs relating to the Activity, or part of the Activity, which has been suspended.

15.4 The Activity, in whole or in part, which has been suspended, can be resumed once UNOPS and the Grantee have agreed on the terms of the continuation (including any extension of duration of the Activity). Any such agreement shall be in the form of a written amendment to the Agreement, pursuant to Article 17 of the General Conditions.

15.5 Any portion of this Agreement not suspended shall remain in full effect.

16. Termination

16.1 UNOPS may terminate this Agreement at any time, in whole or in part, upon 14 calendar days' written notice to the Grantee, whenever it is determined that the Grantee has failed to fulfil a substantial obligation incumbent on it, under the terms and conditions of the Agreement, or where sufficient funds have not been made available to UNOPS by its funding sources.

16.2 This Agreement may be terminated at any time, in whole or in part, by UNOPS with the consent of the Grantee. Both parties shall agree upon termination conditions, including the effective date and, in the case of partial terminations, the portion of the Agreement to be terminated. The agreement to terminate shall be set forth in a letter from UNOPS to the Grantee.

- 16.3 UNOPS may terminate this Agreement or portion of this Agreement with immediate effect upon written notice to the Grantee if it determines that corrupt, fraudulent or misrepresentative practices were engaged in by representatives of the Grantee during award or during the execution of this Agreement without the Grantee having taken timely and appropriate action satisfactory to UNOPS to remedy the situation.
- 16.4 Upon receipt of and in accordance with a termination notice as specified above, the Grantee shall take immediate action to minimize all expenditures and obligations financed by this Agreement and shall cancel such unliquidated obligations whenever possible. Except as provided below, the Grantee shall not incur costs after the effective date of termination.
- 16.5 The Grantee shall within 30 calendar days after the effective date of such termination repay to UNOPS all unexpended UNOPS funds which are not otherwise obligated by a legally binding transaction applicable to this Agreement. Should the funds paid by UNOPS to the Grantee prior to the effective date of the termination of this Agreement be insufficient to cover the Grantee's obligations in the legally binding transaction, the Grantee may submit to UNOPS within 90 calendar days after the effective date of such termination a written request for payment covering such obligations. UNOPS shall determine the amount(s) to be paid by UNOPS to the Grantee under such claim in accordance with this Agreement. This provision must be included in all sub-agreements.
- 16.6 Any portion of this Agreement not terminated shall remain in full effect.

17. Amendment

No modification of or change in this Agreement, waiver of any of its provisions or additional contractual provisions shall be valid or enforceable unless previously approved in writing by the parties to this Agreement or their duly authorized representatives in the form of an amendment to this Agreement duly signed by the parties hereto.

18. Dispute Resolution

Any controversy or claim arising out of, or in accordance with this Agreement or any breach thereof, shall unless it is settled by direct negotiation, be settled in accordance with the UNCITRAL Arbitration Rules as at present in force. Where, in the course of such direct negotiation referred to above, the parties wish to seek an amicable settlement of such dispute, controversy or claim by conciliation, the conciliation shall take place in accordance with the UNCITRAL Conciliation Rules as at present in force. The parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy or claim.

19. Privileges and Immunities

Nothing in or relating to this Agreement shall be deemed a waiver of any privileges and immunities of the United Nations and/or UNOPS

20. Protections Against Exploitation Sexual Exploitation and Abuse

Grantee shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by its Personnel or any other persons engaged and controlled by Grantee to perform any activities under the Agreement. For these purposes, sexual activity with any person less than eighteen years

of age, regardless of any laws relating to consent, shall constitute the sexual exploitation and abuse of such person. In addition, Grantee shall refrain from, and shall take all reasonable and appropriate measures to prohibit its Personnel or other persons engaged and controlled by it from exchanging any money, goods, services, or other things of value, for sexual favors or activities, or from engaging any sexual activities that are exploitative or degrading to any person. The United Nations shall not apply the foregoing standard relating to age in any case in which Grantee's Personnel or any other person who may be engaged by Grantee to perform any activities under the Agreement is married to the person less than the age of eighteen years with whom sexual activity has occurred and in which such marriage is recognized as valid under the laws of the country of citizenship of such Grantee's Personnel or other such person who may be engaged by Grantee to perform any activities under the Agreement.