



The Climate Aggregation Platform (CAP) Financial Innovation Challenge

Information Session

Tuesday, 9th August 2022, 15:00-16:00 EAT





Agenda

About the Climate Aggregation Platform

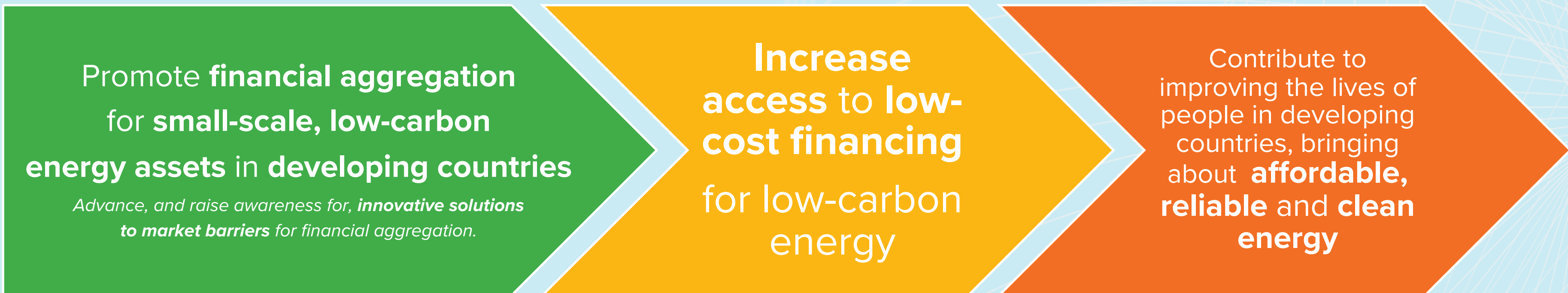
The CAP Financial Innovation Challenge

Application Process

Q&A

About the Climate Aggregation Platform (CAP)

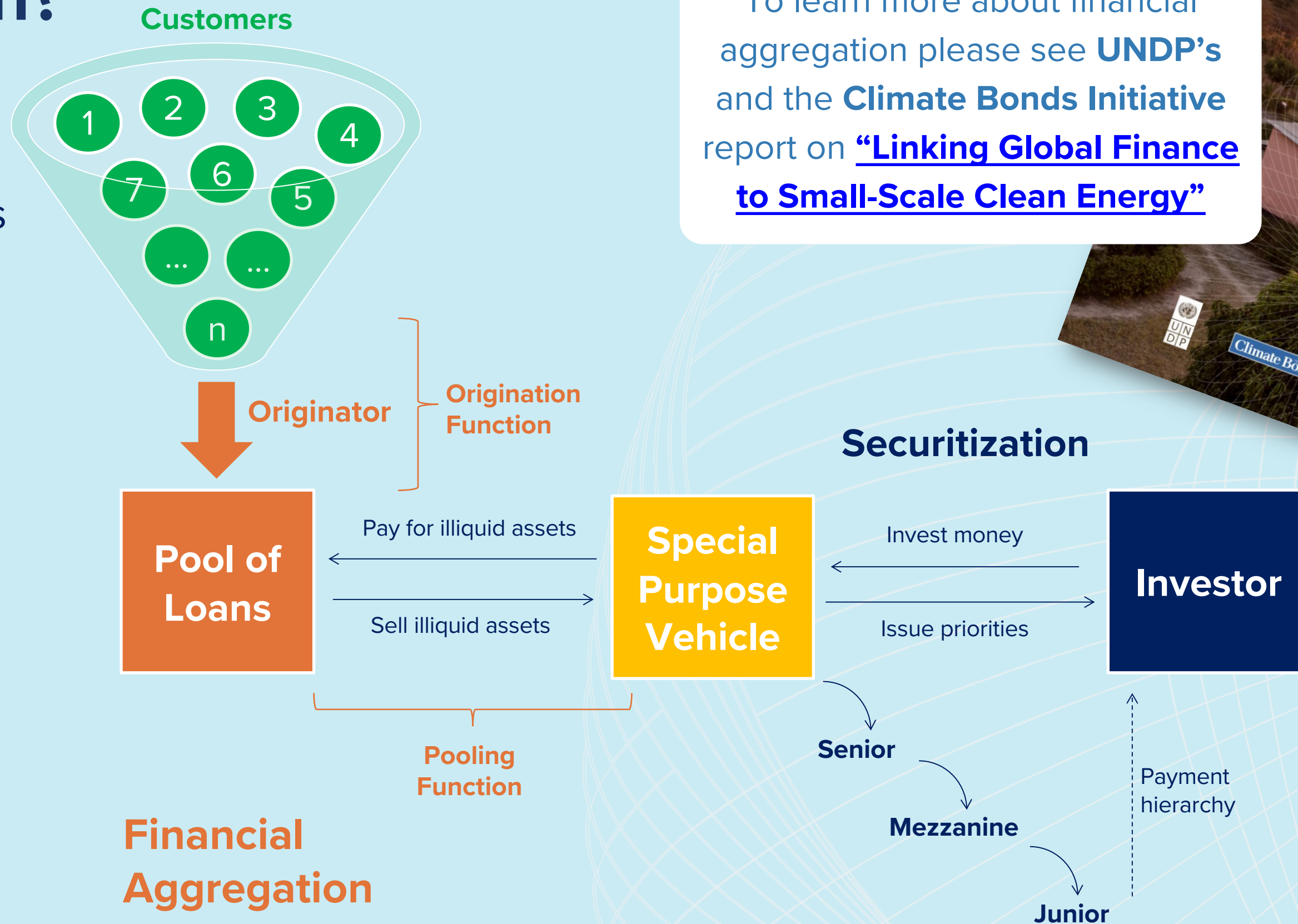
- Global Environment Facility (GEF)-funded project implemented by UNDP in partnership with the Climate Bonds Initiative (CBI).
- Flagship initiative of UNDP's Sustainable Energy Hub to **support the structuring and deployment of innovative business models and financial mechanisms** to accelerate energy access and the clean energy transition.



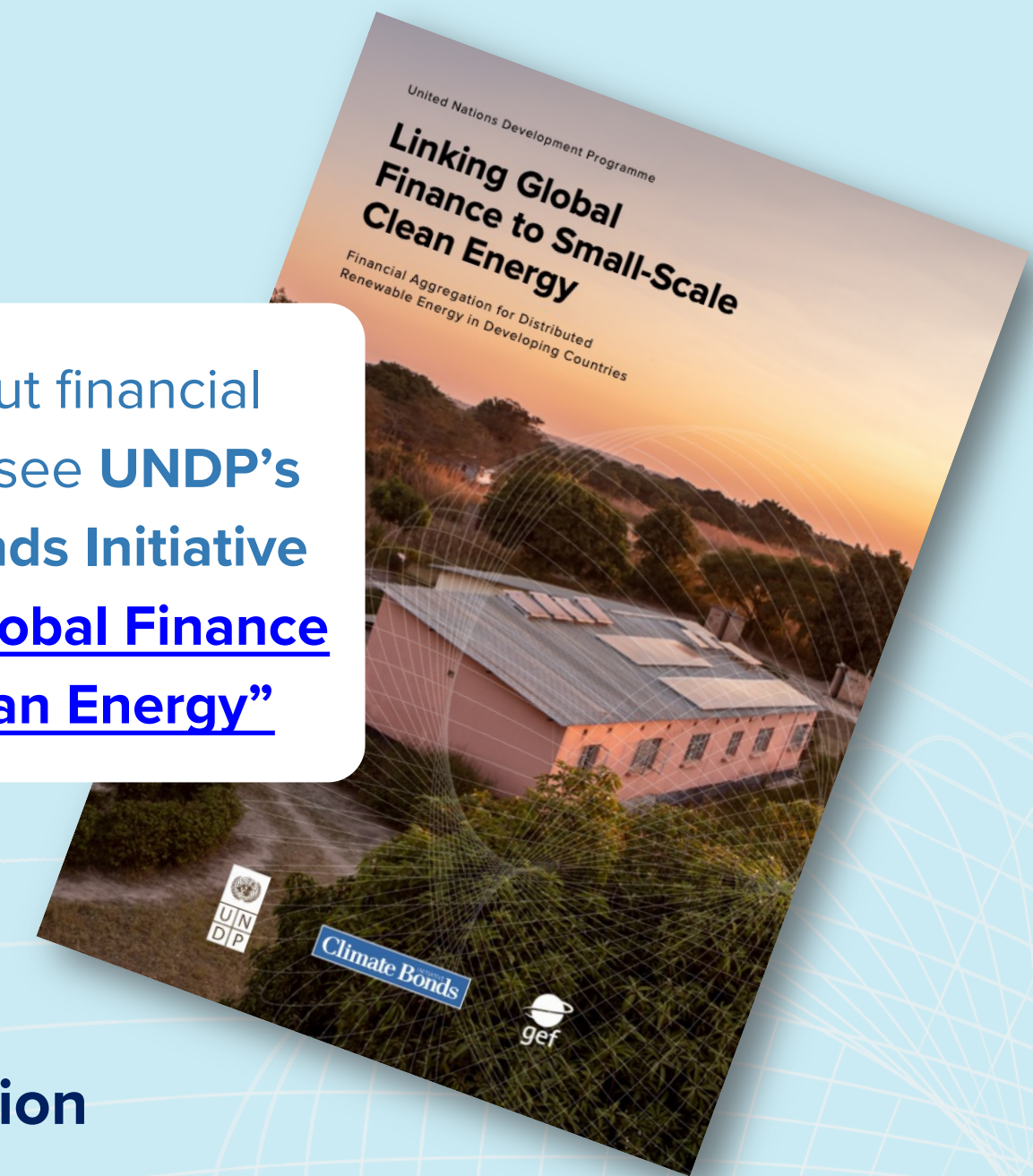
For more information on the CAP visit our website: www.undp.org/climate-aggregation-platform

What is Financial Aggregation?

To create scale, small-sized projects or aspects of projects can be combined into a portfolio in a process known as bundling. Larger-scale financing can then be provided across these bundled assets based on their future cash flows.



To learn more about financial aggregation please see **UNDP's** and the **Climate Bonds Initiative** report on ["Linking Global Finance to Small-Scale Clean Energy"](#)



About the Climate Aggregation Platform (CAP)



For more information on the CAP visit our website: www.undp.org/climate-aggregation-platform

The CAP Financial Innovation Challenge



- To crowdsource **Innovative Financial Aggregation Structures and Models** for **small-scale, low-carbon energy assets** in developing countries.
 - help **increase the availability** and **reduce the cost of financing**
 - help **close the investment gap** to achieve universal energy access.
- Facilitate the **transfer of know-how and innovative solutions** that can help overcome **development challenges** in developing countries
- Contribute to the achievement of the **Sustainable Development Goals**



What do the winners get?

- 1 Receive an award of up to US\$40,000 to develop a **Feasibility Study (over a period of 4 months)** for an Innovative Financial Aggregation Structure or Model.
- 2 UNDP will promote the selected Innovative Financial Aggregation Structures or Models within UNDP and to a broader audience across its network.
- 3 Possibility to access the UNDP global presence (+170 countries) and networks to help support the selected solutions to scale-up and replicate to new countries.
- 4 Promising solutions could later be considered for further engagement as part of UNDP's Sustainable Energy Hub or other UNDP initiatives.

What kind of innovations?

*Innovative **Financial Aggregation Structures and Models** (mechanisms, instruments, processes, tools, business, and financing models) for small-scale, low-carbon energy assets in developing countries.*

An abstract graphic consisting of several overlapping wireframe spheres or ellipsoids, rendered in a light blue color. The lines are thin and create a sense of depth and movement, resembling a complex geometric pattern or a stylized representation of energy or financial flows.

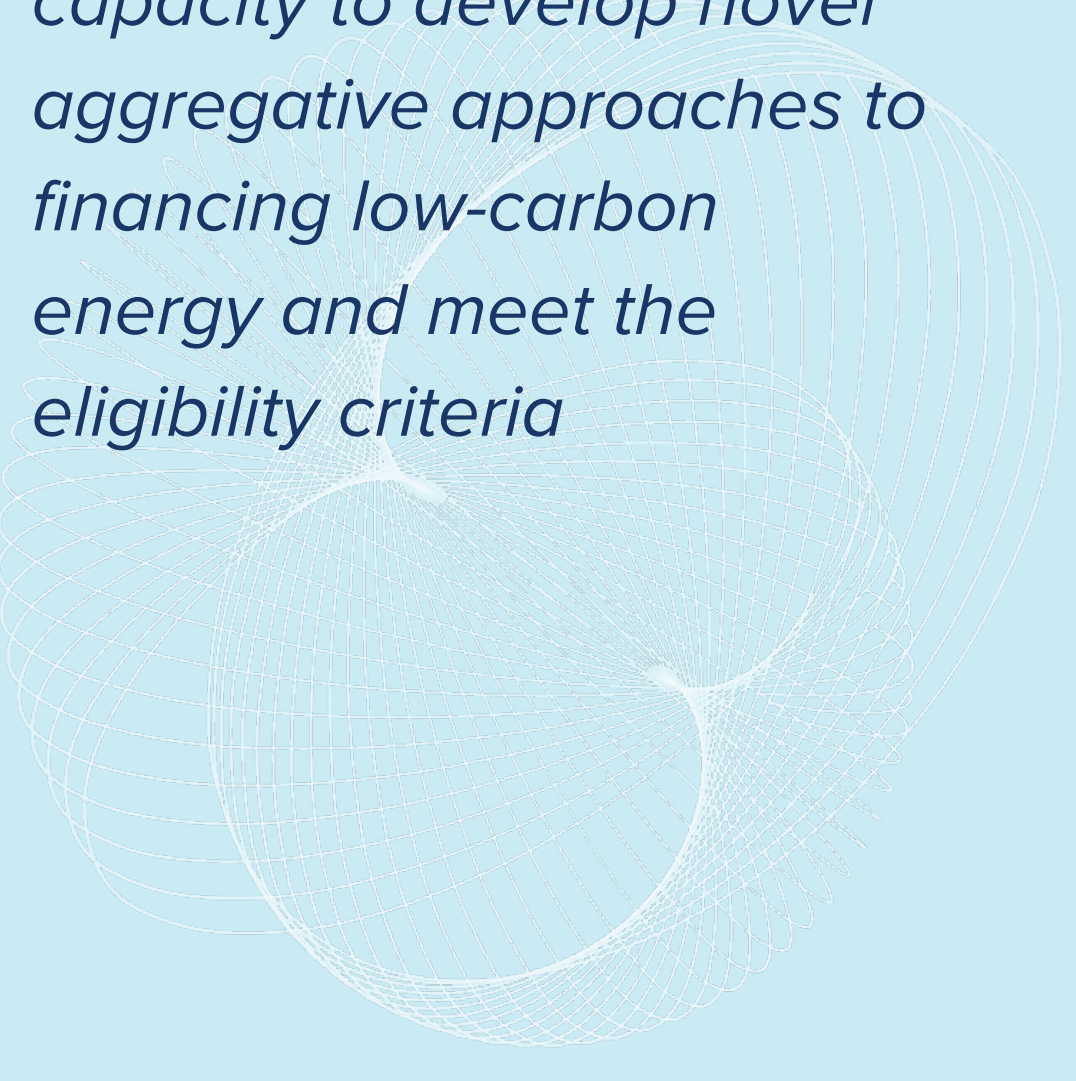
First-of-a-kind solutions that have not yet been attempted anywhere before; Or existing and proven approaches **adapted to a new market/sector, geography, or context.**

The CAP FIC is open to solutions **involving financial aggregation at different levels** (i.e., bundling individual assets, projects, or companies) and to **other innovative aggregative models** (e.g., innovative carbon credit solutions, renewable energy certificates, innovative models for receivables financing, digital aggregation platforms, etc.).

The CAP FIC's focus is on **debt aggregation transactions**. This excludes equity aggregation transactions (e.g., yieldcos).

Who can participate?

A wide range of entities can apply as long as they can demonstrate their capacity to develop novel aggregative approaches to financing low-carbon energy and meet the eligibility criteria



“Buy-side” Actors

Commercial banks (international or domestic); impact and mission-driven investors; financial intermediaries; development banks; digital platforms; crowdfunding platforms; FinTech’s; etc.

“Sell-side” Actors

Project originators or developers and energy companies (e.g., distributed energy service companies (DESCOs), PAYGO solar companies, etc.)

Other relevant entities

Government agencies; digital solutions providers; specialised consulting firms; research institutions; industry associations; credit rating agencies; etc.

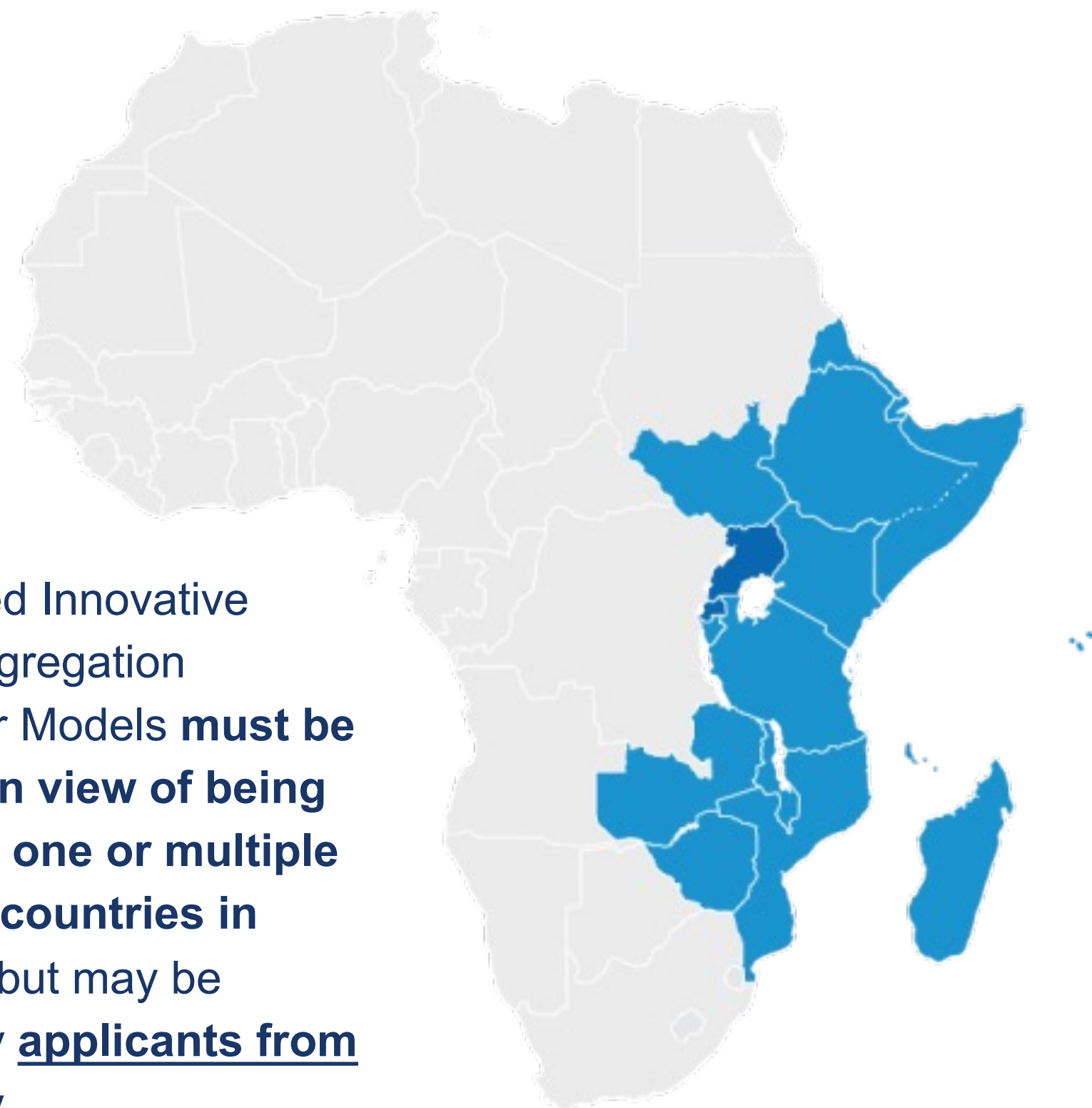
What is the technology focus?

*The CAP FIC will focus on innovations that support the deployment of distributed, **small-scale low carbon energy assets** in developing countries.*

- *On-grid solar PV (residential, C&I)*
- *Off-grid solar PV including PAYGO solar*
- *Mini-grids*
- *Energy efficient solutions for buildings, lighting, industrial, agricultural, and transport (e.g., e-mobility) applications*
- *Productive use appliances*
- *Clean cooking solutions*



Target countries – East Africa



The proposed Innovative Financial Aggregation Structures or Models **must be developed in view of being deployed in one or multiple developing countries in East Africa** but may be submitted by applicants from any country.

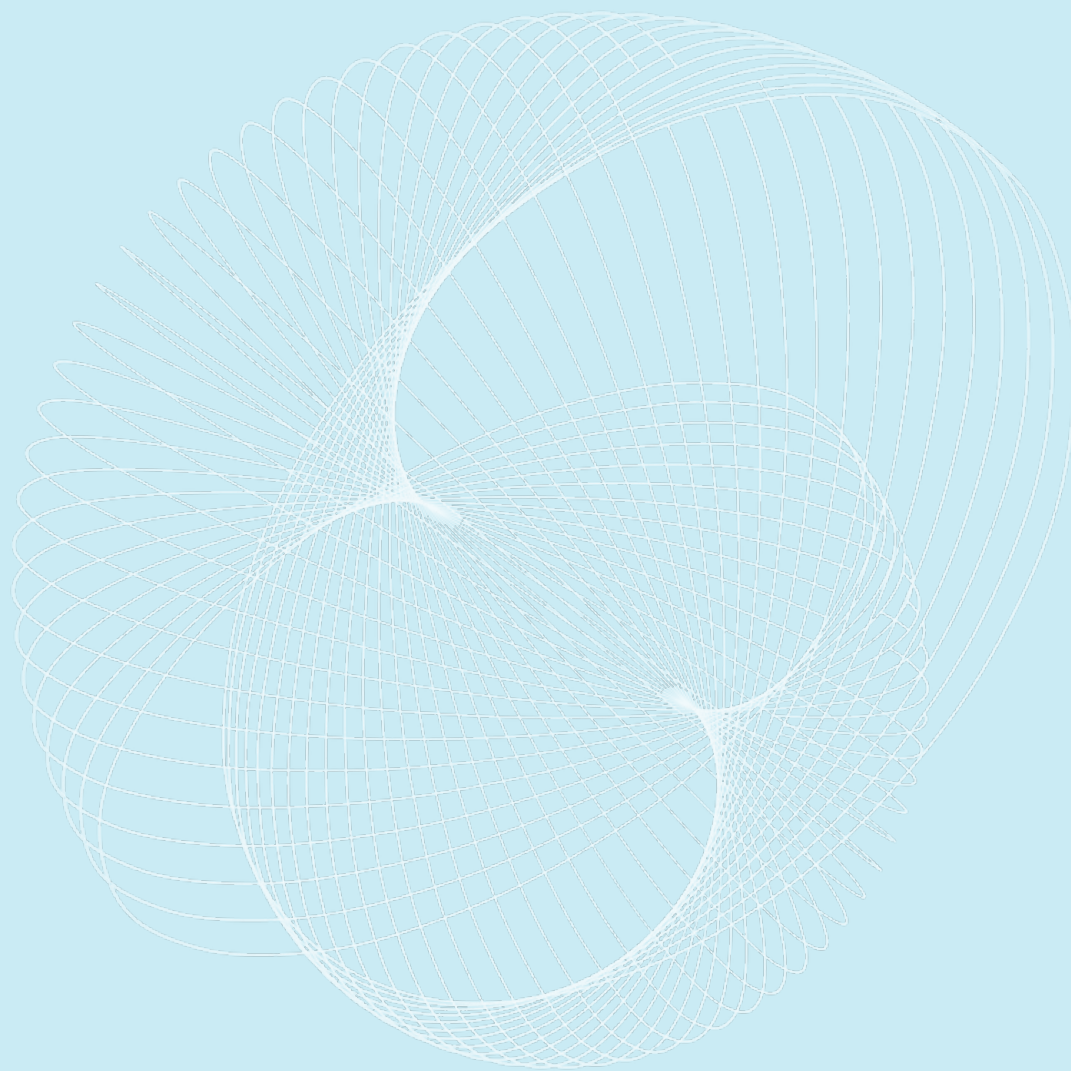
Burundi	Mozambique
Comoros	Rwanda
Djibouti	Seychelles
Eritrea	Somalia
Ethiopia	South Sudan
Kenya	Tanzania, United Republic of
Madagascar	Uganda
Malawi	Zambia
Mauritius	Zimbabwe

The CAP FIC will support **up to 5 projects** including **at least one project in Uganda** and **one project in Rwanda**.

Eligibility

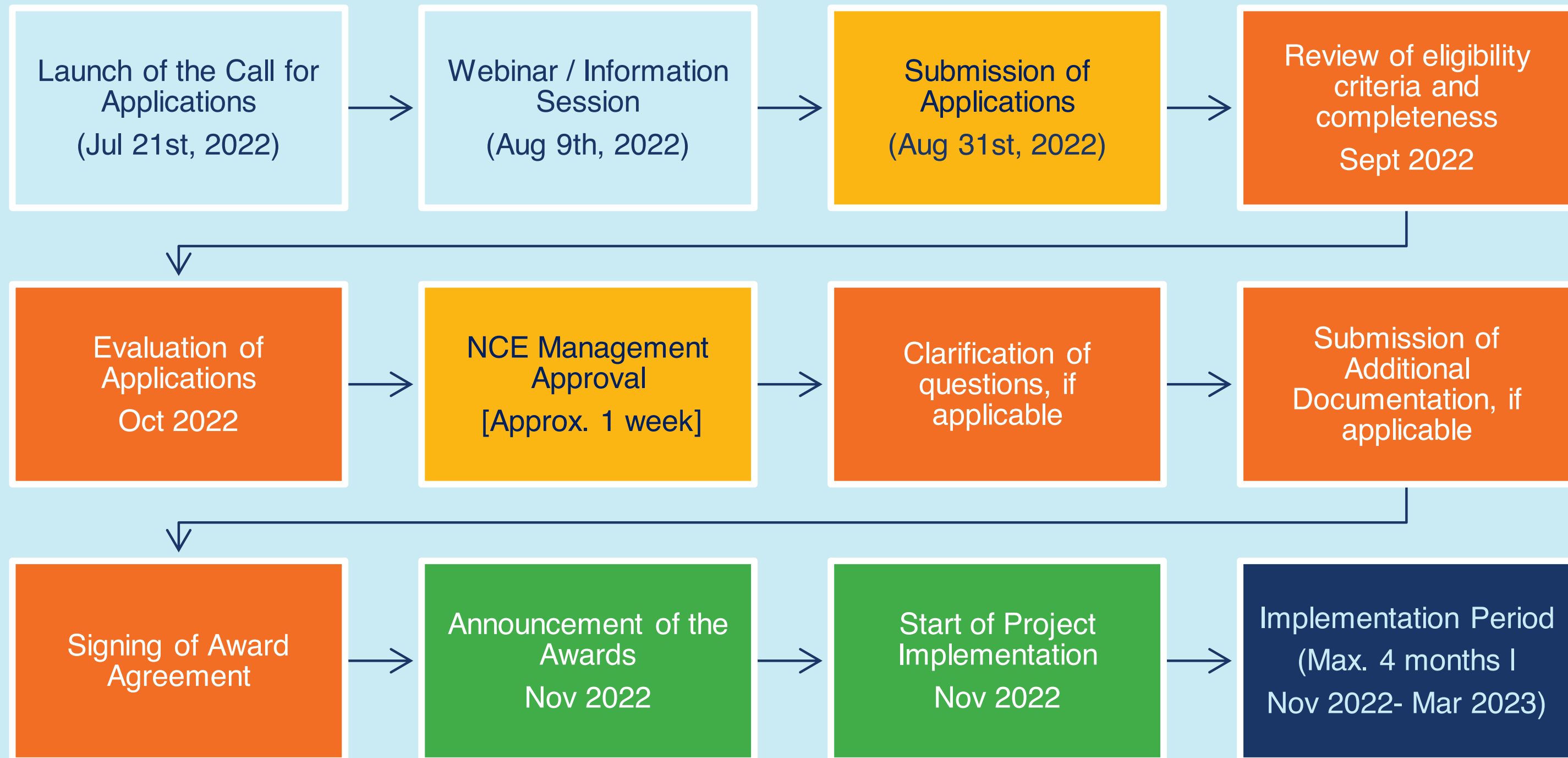
The Eligibility Criteria will be assessed as Meet / Fail.

Only Applications that meet all the Eligibility Criteria will be considered.

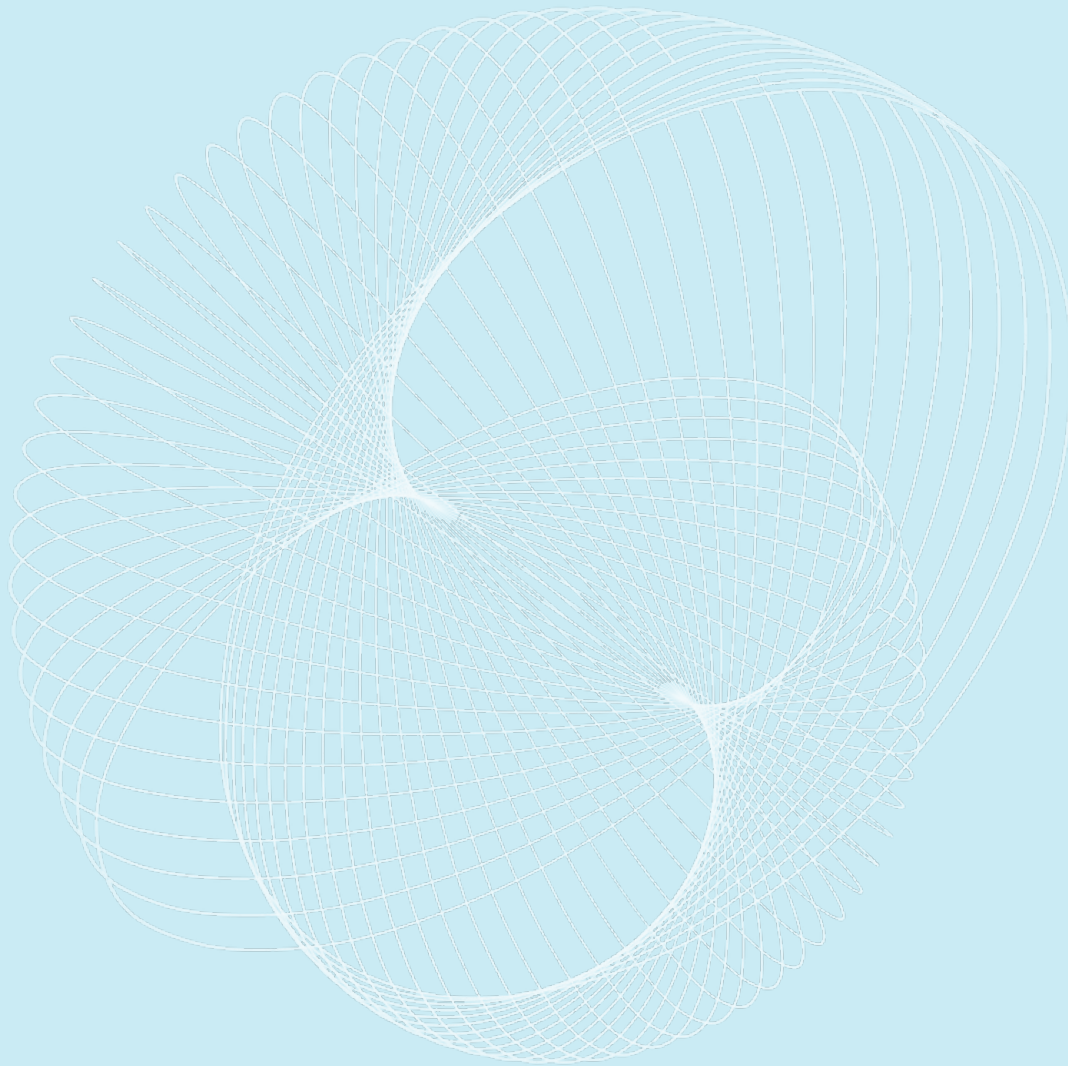


1. **Eligible Entity:** Governmental agencies, development banks, private sector entities, CSO/NGOs and academia are eligible to apply. Individuals are not eligible. Associations, consortia, or joint venture applications are eligible.
2. **Expertise and Capacity to Implement the Project:** All Applicants must demonstrate their expertise and capacity to implement their proposed Project, and will need to demonstrate adequate financial, material, human and other non-financial resources to implement the proposed project within the set timeframe. At a minimum, Applicants will need to have at least 2 years of experience in the relevant sector.
3. **Geographic Focus:** The Project must be implemented in one or many developing countries in East Africa – The CAP Financial Aggregation Challenge aims to support at least one project in Uganda and one project in Rwanda. The proposed Project must demonstrate the potential to lead to future financial aggregation transactions, climate and energy access related outcomes and impact in developing countries in East Africa and/or specifically in Uganda/Rwanda.
4. **Proposed Innovation:** The proposed Project must involve an Innovative Financial Aggregation Structure or Model (mechanisms, instruments, processes, tools, business, and financing models) that can help increase access to and lower the cost of financing for small-scale, low-carbon energy assets in developing countries.
5. **Focus on Impact :** All innovations must be inclusive in nature, benefit the target beneficiaries, and contribute to the achievement of the SDGs, in particular SDG 7 on clean and affordable energy and SDG 13 on climate action, rather than solely benefitting the participating Entity.
6. **Gender:** Innovations should also include a special focus on ensuring gender equity. Applicants must ensure that gender perspectives and attention to the goal of gender equality are central to all facets of the proposed innovation.
7. **Award Amount & Budget:** The Applicant must apply for an Award of up to \$40,000 and submit a duly completed budget with the provided template.
8. Applicants cannot be on the [UNDP Vendor Sanctions List](#).

The Process



Evaluation



- ✓ Degree of Innovation **15%**
- ✓ Development Impact **15%**
- ✓ Technical Merit & Feasibility **15%**
- ✓ Experience of the Team **15%**
- ✓ Potential for Scale Up & Replication **10%**
- ✓ Long-term Sustainability **15%**
- ✓ Additionality **5%**
- ✓ Budget & Value for Money **5%**
- ✓ Co-funding **5%**

How to Apply?

www.undp.org/climate-aggregation-platform/cap-financial-innovation-challenge

1 - Register on
our website

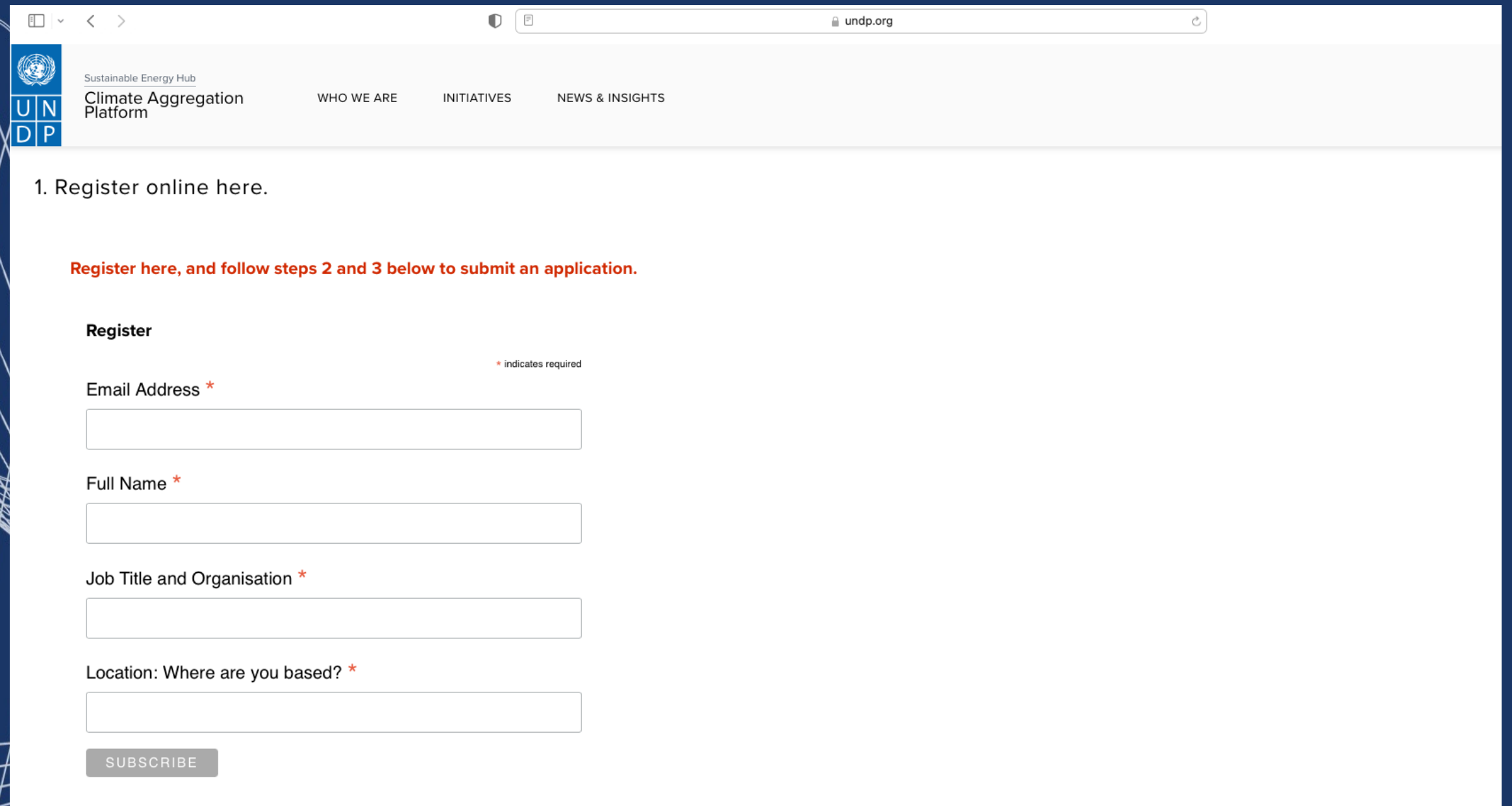
2 – Download the
Application
Package

3 – Submit via
email

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our website



The screenshot shows a web browser window displaying the UNDP Climate Aggregation Platform registration page. The browser's address bar shows the URL undp.org. The page header includes the UNDP logo, the text "Sustainable Energy Hub", and the "Climate Aggregation Platform" title. Navigation links for "WHO WE ARE", "INITIATIVES", and "NEWS & INSIGHTS" are visible. The main content area begins with the instruction "1. Register online here." followed by a red prompt: "Register here, and follow steps 2 and 3 below to submit an application." Below this is a "Register" section with a legend indicating that an asterisk (*) denotes required fields. The registration form consists of four input fields: "Email Address", "Full Name", "Job Title and Organisation", and "Location: Where are you based?". Each field is followed by a small red asterisk. At the bottom of the form is a grey "SUBSCRIBE" button.

1. Register online here.

Register here, and follow steps 2 and 3 below to submit an application.

Register

* indicates required

Email Address *

Full Name *

Job Title and Organisation *

Location: Where are you based? *

SUBSCRIBE

How to Apply?



2 – Download the Application Package

- 01 – Call for Proposals
- 02 – Guidelines for Applicants
- 03 – Application Form + ANNEX 1
- 04 – ANNEX 2 Budget Template
- 05 – ANNEX 3 Standard Innovation Challenge Agreement (Provided as a reference only)



Climate Aggregation Platform
Financial Innovation Challenge
(CAP FIC)
APPLICATION FORM

APPLICANT INFORMATION

NAME OF THE LEAD APPLICANT (and other address)	Type here	TELEPHONE	Type here
ADDRESS	Street, city, state/province, postal code	WEBSITE	Type here
TYPE OF ENTITY & LEGAL FORM (e.g. PRIVATE SECTOR COMPANY, GOVERNMENT, UNIVERSITY)	Type here	LEGAL REGISTRATION NUMBER	Type here
COUNTRY OF REGISTRATION	Type here	YEAR OF REGISTRATION	Type here
NAME & TITLE OF CONTACT PERSON (and other contact information)	Type here	TELEPHONE	Type here
		EMAIL	Type here
IS THIS A CONSORTIUM OR JOINT VENTURE APPLICATION?	<input type="checkbox"/> YES <input type="checkbox"/> NO	LIST ALL MEMBERS OF CONSORTIUM OR JOINT VENTURE (IF APPLICABLE)	Type here

AS THE LEAD APPLICANT, WHICH BEST APPLIES TO YOUR ORGANIZATION?

<input type="checkbox"/> COMMERCIAL BANK	<input type="checkbox"/> ENERGY COMPANY	<input type="checkbox"/> GOVERNMENT AGENCY
<input type="checkbox"/> IMPACT INVESTOR	<input type="checkbox"/> PROJECT ORIGINATOR	<input type="checkbox"/> DIGITAL PLATFORM
<input type="checkbox"/> FINANCIAL INTERMEDIARY	<input type="checkbox"/> DEVELOPER	<input type="checkbox"/> CONSULTING FIRM
<input type="checkbox"/> OTHER "BUY-SIDE", SPECIFY BELOW	<input type="checkbox"/> OTHER "SELL-SIDE", SPECIFY BELOW	<input type="checkbox"/> NON-GOVERNMENTAL ENTITY
		<input type="checkbox"/> INDUSTRY ASSOCIATION
		<input type="checkbox"/> OTHER, SPECIFY BELOW

Provide details here (max. 20 words)

IS THE LEAD APPLICANT A PRIVATE, PUBLIC SECTOR ENTITY OR NGO/CSO?

☐ PRIVATE SECTOR ☐ PUBLIC SECTOR ☐ NGO/CSO

PROVIDE A BRIEF DESCRIPTION OF YOUR BUSINESS/ORGANIZATION

Type here (max. 80 words)

(GUIDELINES: LEAD APPLICANT & CONSORTIUM OR JOINT VENTURE MEMBERS)

Climate Aggregation Platform
Financial Innovation Challenge
Proposed Budget Breakdown

Lead Applicant (The Lead Entity)	Amount	%
Name of Project		
Country of Implementation		
Lead Applicant CAP FIC (Cap to USD 40,000 USD)	\$ 7,000.00	95%
Co-funding from the Applicant (USD)	\$ 6,000.00	64%
Total Budget (USD)	\$ 13,000.00	100%

Category of Expenditure	Unit Price (USD)	Number of Units	Amount (USD)	Co-funding (USD)	Total (USD)	Notes
Activity 1 (Add title and description)						
1 Personnel						Lead team members involved in the activity, their daily rates + estimated number of days of work for the year (activity). This is an estimate.
- Name, J. Smith / Role: Project Manager	\$ 800.00	\$	1,000.00	\$ 1,000.00	\$ 2,000.00	
- Name, Jane	\$	\$	\$	\$	\$	
- Name, John	\$	\$	\$	\$	\$	
- Name, Jane	\$	\$	\$	\$	\$	
- Name, John	\$	\$	\$	\$	\$	
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Agreement
between
The United Nations Development Programme
and
[insert Company name]
under the
[Climate Aggregation Platform – Financial Innovation Challenge
(CAP FIC)]

This model Agreement is intended for use with an entity/company in connection with the Innovation Challenge Policy Any
deviations to the text should be made in consultation with the Legal Office, Bureau for Management Services (L01665)

Before completing the Application Form, please read the Call for Proposals & Guidelines attentively and make sure to register

Application Form



INSTRUCTIONS

- Applications should be submitted using the provided Application Form and templates. Applications submitted in a different format will not be considered.
- Before completing the Application Form, please read the [Call for Proposals & Guidelines](#) attentively and make sure to register [here](#).
- Please complete all sections of the Application Form in **English** using font **size 11**.
- Follow the guidelines provided in grey with each question. Note: These can be erased before submitting the Application Form. The cover page and instructions can also be erased.
- Applications that exceed the maximum number of pages (**10 pages** excluding attachments) will not be considered.
- All required documents and annexes must be submitted together with a signed Application Form before the deadline. Documents submitted after the deadline or incomplete applications will not be considered; All questions are mandatory.
- Once completed, submit your signed Application Form via email to cap.fic@undp.org, together with all the Annexes (1&2) and supporting documents (See list below). Please include "CAP FIC" and the name of the Applicant in the Subject line.
- Attachments are to be submitted in an electronic format (PDF, Word, Excel). Hard copies may be requested at a later stage.
- Please ensure that the total size of the email and attachments does not exceed **10 MB**. UNDP will not be responsible for any application emails that fail to be sent/received.
- The deadline for submissions of Applications is **August 31st, 2022, at 12:00 PM EAT**.
- Submissions received after the deadline will not be considered – Note that all submissions will be time-stamped – You will receive an email confirmation of the receipt of your application.
- Each Entity may submit one Application. Re-submission of a modified or improved Application after the deadline is not allowed.
- Please contact us by email at cap.fic@undp.org for any problems or questions, we will do our best to get back to you in a timely manner. Please include "CAP FIC" and the name of the Applicant in the subject line. UNDP will consider incoming questions until **August 18th, 2022, at 12:00 PM EAT**.
- Check the CAP Financial Innovation Challenge webpage for updates and announcements: <https://www.undp.org/climate-aggregation-platform/cap-financial-innovation-challenge>
- The Frequently Asked Questions (FAQ) section will be updated in the coming weeks.
- UNDP will host an online information session on the CAP FIC on **Tuesday, 9th Aug 2022, 15:00-16:00 EAT** ([click to register](#)).

ATTACHMENTS TO INCLUDE WITH THE APPLICATION

- Application Form with signed "ACCEPTANCE OF TERMS AND CONDITIONS"
- Extract from Public Registry or relevant Registration documents for your organisation issued by the appropriate authority (e.g., Incorporation Certificate) – This may differ depending on the type of entity applying. UNDP may request additional documentation.
- ANNEX 1 – Signed Declaration to confirm the Applicant is not included in the UNDP Vendor Sanctions List. This will be required for all members of a consortium or joint venture, if applicable.
- ANNEX 2 - Budget Template (Excel Sheet)
- CVs of team members (PDF or Word)
- UNDP may request Applicants to submit additional documents

Climate Aggregation Platform
Financial Innovation Challenge
(CAP FIC)
APPLICATION FORM



APPLICANT INFORMATION

NAME OF THE LEAD APPLICANT (THE LEGAL ENTITY)	Type here		
ADDRESS (Street, city, state/province, postal code)	TELEPHONE	Type here	
	WEBSITE	Type here	
TYPE OF ENTITY & LEGAL FORM (E.G. PRIVATE SECTOR COMPANY, RESEARCH INSTITUTE, UNIVERSITY)	Type here	LEGAL REGISTRATION NUMBER	Type here
COUNTRY OF REGISTRATION <i>Innovations must be implemented in and benefit stakeholders in developing countries but may be submitted by applicants in either developing or developed countries.</i>	Type here	YEAR OF REGISTRATION	
NAME & TITLE OF CONTACT PERSON <i>Individual submitting proposal on behalf of the organization</i>	Type here	TELEPHONE	Type here
		E-MAIL	Type here
IS THIS A CONSORTIUM OR JOINT VENTURE APPLICATION?	<input type="checkbox"/> YES <input type="checkbox"/> NO	LIST ALL MEMBERS OF CONSORTIUM OR JOINT VENTURE (IF APPLICABLE)	- Type here - Type here - Type here - Type here

AS THE LEAD APPLICANT, WHICH BEST APPLIES TO YOUR ORGANIZATION?

"BUY-SIDE" ACTORS

- ☐ COMMERCIAL BANK
- ☐ IMPACT INVESTOR
- ☐ FINANCIAL INTERMEDIARY
- ☐ OTHER "BUY-SIDE", SPECIFY BELOW

"SELL-SIDE" ACTORS

- ☐ ENERGY COMPANY
- ☐ PROJECT ORIGINATOR
- ☐ DEVELOPER
- ☐ OTHER "SELL-SIDE", SPECIFY BELOW

OTHER RELEVANT ENTITIES

- ☐ GOVERNMENT AGENCY
- ☐ DIGITAL PLATFORM
- ☐ CONSULTING FIRM
- ☐ NON-GOVERNMENTAL ENTITY
- ☐ INDUSTRY ASSOCIATION
- ☐ OTHER, SPECIFY BELOW

Provide details here (max. 20 words)

IS THE LEAD APPLICANT A PRIVATE, PUBLIC SECTOR ENTITY OR NGO/CSO?

☐ PRIVATE SECTOR ☐ PUBLIC SECTOR ☐ NGO/CSO

PROVIDE A BRIEF DESCRIPTION OF YOUR BUSINESS/ORGANIZATION

Type here (max. 80 words)

[GUIDELINES: LEAD APPLICANT & COSORTIUM OR JOINT VENTURE MEMBERS.]

Application Form

Sign it!



The required outputs/deliverables under the Innovation Challenge Agreement will be (i) the submission and approval of a mid-term progress report (50%) and (ii) the final Feasibility Study (50%).]

Activity	Description of Activities & Outputs	Sept 2022	Oct 2022	Nov 2022	Dec 2022	Jan 2023
Activity 1	Type here					
Activity 2	Type here					
Activity 3	Type here					
Deliverable: Mid-term progress report						
Activity 4	Type here					
Activity 5	Type here					
Deliverable: Feasibility study						

RISK ASSESMENT

[GUIDELINES: Identify high-level external risks and strategies to mitigate them.]

RISK	MITIGATION STRATEGY
1.	
2.	
3.	

ACCEPTANCE OF TERMS AND CONDITIONS

By signing this form, the Applicant accepts the following terms and conditions:

The Applicant declares that he/she is bounded by the process and rules of the competition that were specified in the Guidelines of the **Climate Aggregation Platform – Financial Innovation Challenge (CAP FIC)** and shall accept the outcome of the process without any deviation or reservation.

The Applicant shall bear all costs related to the preparation and submission of the proposal regardless of whether his/her proposal is selected or not. He/she accepts that the UNDP will in no case be held responsible or liable for those costs regardless of the outcome of the process.

The Applicant accepts that the UNDP determines the level of responsiveness to the Call for Proposals of the **Climate Aggregation Platform – Financial Innovation Challenge (CAP FIC)** exclusively on the contents of the written, submitted, and signed Application Forms and Annexes.

The Applicant accepts that information relating to the examination and evaluation of the Applications, and selection of Awardees and signature of Award Agreement shall not be disclosed to any person not officially concerned with such processes.

Signature:
Name:
Date:

Annex 1 - Declaration

Sign it!



ANNEX 1

DECLARATION

Date:

United Nations Development Programme
Bureau for Programme and Policy Support
304 E. 45th St. 9th floor
NY, NY 10017 USA

Assignment: Climate Aggregation Platform – Financial Innovation Challenge

Reference: CAP FIC 2022-2023

Dear Madam/Sir,

I declare that is not in the UN
Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.
Yours Sincerely,

Signature:
Name:
Date:

Annex 2

Budget

04_CAP FIC_ANNEX 2_Budget Template_0

HomeInsertDrawPage LayoutFormulasDataReviewViewTell me

Paste

Cut

Copy

Format

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Wrap Text

Merge & Center

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ATTACHMENTS TO INCLUDE WITH THE APPLICATION

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Submit before the deadline - **August 31st, 2022, at 12:00 PM EAT**

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- Please ensure that the total size of the email and attachments does not exceed **10 MB**. UNDP will not be responsible for any application emails that fail to be sent/received.

Q&A

Please type your
questions in the chat

We will do our best to answer your
questions. We will also put all
answers on the FAQ section of the
website and on the procurement
notice.



Thank You!

If you have any further questions please email us here: cap.fic@undp.org

Please include “CAP FIC” and the name of the Applicant in the Subject line.

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