

CALL FOR PROPOSALS

**Grants for the application of ICAT policy
assessment guides**

CFP reference number: CFP-11875-2023-12

CFP document issue date: 6 November 2023

1. PARTICULARS

1.1. The Initiative for Climate Action Transparency (ICAT)

The Initiative for Climate Action Transparency was established in 2015 at the COP that adopted the Paris Agreement to support implementation of the Agreement's Enhanced Transparency Framework. The Initiative works with over 50 developing countries ranging from large countries, like Nigeria, to small islands, such as Antigua & Barbuda.

ICAT provides countries with tailored support and practical tools and methodologies to build robust transparency frameworks needed for effective climate action in sync with national development priorities. The projects ICAT supports relate to: building or enhancing transparency frameworks for mitigation; building a monitoring and evaluation approach for adaptation; building or enhancing frameworks to track progress in implementing nationally determined contributions; assessing the impacts of climate policies; estimating or enhancing projections of greenhouse gases; integrating and/or aggregating climate actions at the subnational level and by non-State actors; building a tracking system for just transition processes; establishing or enhancing a climate data system; and putting in place a framework to track climate finance.

To support these areas, ICAT offers a suite of practical, open-source tools and methodologies to provide effective support to the transparency efforts of countries around the world.

ICAT is an unincorporated multi-stakeholder partnership steered by the Donor Steering Committee (DSC), conformed by its donors, Austria; Canada; Germany; Italy; the Children's Investment Fund Foundation (CIFF); and ClimateWorks Foundation (CWF), and includes the UNFCCC Secretariat as the dedicated UN body with a climate change policy mandate, and UNOPS as an ex-officio member. 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.

1.2. Background of the grant

The [ICAT series of policy assessment guides](#) provides a stepwise and integrated approach for estimating the greenhouse gas, sustainable development and transformational impacts of countries' climate policies and actions. The guides are free to use and accessible on the ICAT website, and include:

- five guides to assess GHG Impacts in different areas and sectors (agriculture, renewable energy, transport pricing, forestry, and buildings efficiency);
- three cross-cutting impact assessment guides (sustainable development, transformational change, and non-state and subnational actions), and;
- two process guides (stakeholder participation, and technical review).

In 2018, in conjunction with the development of the guides, ICAT issued a call for expressions of interest from organizations to apply the series of policy assessment guides. A total of eight pilot case studies were conducted with different organizations under technical guidance from ICAT implementing partners. Some of these case studies were published on the [ICAT website](#).

Since they were first published, the guides have been well received and used by a wide range of developing countries and there has been strong interest for several of the guides. However, they have rarely been used to assess policies or actions with a view to using the documented evidence to raise resources, or in the design of policies. As it has now been five years since they were developed, and the implementation processes of the Paris Agreement has considerably advanced, ICAT is now looking to develop another round of case studies to expand the knowledge base of possible applications of the guides and their benefits for countries.

1.3. Objectives and scope of the grant/funding

Objectives

ICAT is seeking organizations (governmental entities or non-governmental organizations, such as research institutions or grass roots organizations) to apply one or more of the above-mentioned guides to individual projects in developing countries over a six month period, starting no later than Q1 2024. This would include:

- i. undertaking an assessment using the chosen guide(s). This may include assessing the expected and/or achieved change in terms of greenhouse gas emissions/removals, sustainable development impacts, and/or extent of transformational change resulting from a policy or action. It may also include the assessment of impacts of non-state and/or subnational actions. The assessment can involve a focus on engaging stakeholders in the assessment process and/or conducting a technical review on the assessment results. The assessment can apply to the adopted policies or actions and/or to those under consideration; and
- ii. based on the assessment, providing feedback on the role that the guide(s) can play in the development of policies, enhancing the NDC update and/or implementation process, other climate action, or other relevant aspects of the Paris Agreement, and/or the use of the assessment results to raise resources. Feedback should also be provided on the usability and practicality of the guide(s).

Based on the above objectives, the project may contribute to the following key impacts in the country of application, as per ICAT's monitoring, evaluation, learning and uptake framework:

- improved quality of reporting to the UNFCCC (biennial transparency reports (BTRs) and national communications);
- new or refined policies and measures in support of a collective 2/1.5 degree ambition in nationally determined contributions (NDCs);
- improved climate and/or sustainable development policies;
- early signs of transformational change, linked to:
 - increased political will and local ownership;
 - increased access to finance as a result of improved climate action transparency;
 - improved knowledge and awareness of climate action transparency;
 - increased capacity for climate action transparency;
 - evidence of effectiveness is shared and/or replicated; and/or
 - sustainability of activities.

For the organizations selected to apply the guides, multiple benefits are expected, including:

- a better understanding of the impacts of policies and actions (for example, on greenhouse gas emissions and a range of sustainable development impacts) to inform decision making and planning;
- support for domestic and/or international reporting such as BTRs, the implementation of NDCs, and meeting other domestic and international objectives;
- improved local capacity on policy assessment methods and processes; and
- a chance to influence the future development of the guides through feedback given during the process.

1.4. Target beneficiaries

Developing country governments and their partners that are planning and implementing policies, and/or assessing their impacts in the context of developing and implementing their NDCs, national or subnational low carbon strategies, nationally appropriate mitigation actions, and other mechanisms.

1.5. Activities under grant/funding

The case studies could cover the assessment of a variety of types of policies/actions in a diversity of developing countries. These policies/actions could be:

- at a local, subnational, or national level;
- in any sector that is covered by the ICAT series of policy assessment guides, or cross-sectoral; and/or
- applied either before implementation (for ex-ante impacts); during implementation (to track impacts); or after implementation (for ex-post impacts).

All activities spelled out below shall be conducted in close coordination with, and based on instructions and support by the ICAT Secretariat. The deliverables are subject to a review process and final endorsement by the ICAT Secretariat.

Organizations should include in their submission to this call for proposals the policy/action (or package of related policies and actions) that they would like to assess and the guide(s) that they wish to apply. A policy/action should only be chosen if relevant data already exists or can be readily obtained. The proposed policy/action can be either adopted/implemented or hypothetical/under consideration. All materials produced as the result of the below activities should be in English.

The assessment and report writing should take place within a period of six months; and be initiated no later than Q1 2024.

Activity 1: Plan the assessment process

- a) Plan the assessment process according to the chosen guide(s). This includes identification of relevant stakeholders and identification of data needs and impacts; and
- b) Secure sufficient resources to carry out piloting (e.g., secure staff time and data availability, leveraging related processes or initiatives).

Expected Outputs:

- Production of a short report that provides an overview of the assessment process.

Estimated timeline:

1 month

Activity 2: Carry out the assessment and develop an assessment report

- a) Collect the necessary data (e.g., from national statistics, government agencies, companies, international sources, etc.);
- b) Implement the relevant methodological steps outlined in the chosen guide(s); and
- c) Develop a detailed report that describes the assessment process and results, as described in the chosen guide(s). The report should be of a high standard and include proofreading and copyediting. The report must additionally include:
 - i) A description of how the results could be used. For example, in domestic policy making, national/ international reporting, the implementation of NDCs, and/or mobilizing finance;
 - ii) Lessons learned; and
 - iii) Feedback on the usability of the guide(s).

If, at the government's request, there is a need for any data in the report to remain confidential, this can be marked as such in the report.

Expected Outputs:

- Production of a detailed assessment report.

Estimated timeline:

2-3 months

Activity 3: Outreach and communications

The following activities should be done in parallel with Activity 2:

- a) Develop a case study/case studies highlighting key lessons learned in the assessment process. Case studies may be made available on the ICAT website and other communication channels, and may be included in future updates of the guide(s) as examples. ICAT partner organizations and the ICAT Secretariat are available to assist in the development of the case study;
- b) Participate in progress calls, as needed, to share experiences and seek technical support from the ICAT Secretariat and/or partner organizations; and
- c) Make at least one virtual presentation to ICAT stakeholders (there may be an opportunity to be invited to a physical meeting of ICAT partners in 2024, with travel expenses covered by ICAT).

Expected Outputs:

- Production of a case study/case studies based on the assessment process;
- Presentation of the case study to ICAT stakeholders;
- Timely provision of progress reports;
- Outputs developed under this project ensure ICAT visibility and maximize lessons learnt.

Estimated timeline:

1-2 months

1.6. Grant/funding available

The grant funding available under this Call for Proposals is **up to USD 45,000 per grant**

1.7. Grant/funding duration

The expected duration of the grant/funding is **four - six months**.

1.8. Applicant eligibility

The following categories of applicants are eligible to apply under this Call for Proposals:

- government agencies;
- university, academic or research organizations;
- NGOs; and
- civil society organizations.

Applicant country of registration and nationality

Applicants eligible to apply under this Call for Proposals with regard to country of registration and nationality (for individuals) are as follows:

All countries can apply, however, the policy or action to be assessed must be from a developing country.

Additional conditions of ineligibility

The applicant shall not fall under any of the conditions listed in the [Instructions to Applicants](#), Article 1, which makes the applicant ineligible for this grant/funding.

1.9. Content of proposal submissions

Applicants shall include the following:

- **Proposal**
- **Annex 1: Declarations (signed)**
- **Annex 2: Protection from sexual exploitation and abuse (PSEA) implementing partner self-assessment (signed), including supporting documentation**
- **Annex 3: Financial proposal, signed and as a soft copy in Excel format**
- **A minimum of two (2) reports or references from similar projects completed in the past that are considered relevant to this Call for Proposals**
- **Audited financial statements from the last two financial years**
- **Certificate of registration/incorporation**

Applicants must carefully read and understand the [Requirements](#) in this Call for Proposals and the [Instructions to Applicants](#) before completing the Proposal and Annexes.

1.10. Partial proposals

Partial proposals are not permitted. Applicants shall include all activities mentioned in section 1.5 in their proposal.

1.11. Sub-granting¹ and contracting²

Sub-granting and contracting are only permitted under this Call for Proposals as follows:

Sub-granting	Permissible
Contracting	Permissible

1.12. Proposal currency

The proposal budget shall be prepared in the following currency: **United States Dollar (USD)**.

1.13. Language of proposals

All proposals, information, documents and correspondence exchanged between UNOPS and the applicant shall be in **English**.

1.14. Proposal submission

The deadline for the submission of proposals is 27 November 2023. Proposals shall be submitted using the following method:

e-Mail

Proposals shall be sent to icat@unops.org.

Refer to Article 10, "Proposal Submission", of the [Instructions to Applicants](#) for details on the specific requirements for proposal submission.

1.15. Type of legal instrument

The applicable legal instrument(s) are identified hereunder. A template is provided with this Call for Proposals for reference.

- Grant Support Agreement.

1.16. Contact information

All correspondence, notifications and requests for clarifications in relation to this Call for Proposals shall be sent to:

Name	Teresa Schueler
Title	Project Management Support - Senior Assistant
Email	teresas@unops.org

¹ Sub-grant is when an entity is selected by the implementing partner to implement activities on behalf of the implementing partner and complies with the same principles as outlined in the UNOPS Operational Instruction on [Grant Support](#).

² Contracting is done when an implementing partner procures services, goods or works using the procurement procedures of the IP.

1.17. Important dates and deadlines

The following tables provide the key dates and deadlines pertaining to this Call for Proposals.

	Date	Time	Timezone
Submission of proposals	27 November 2023	23:59	CET
Request for clarification	20 November 2023	23:59	CET
Expected agreement start date	December 2023/ January 2024		

2. REQUIREMENTS

2.1. Approach and methodology

The proposal has to outline what guidelines and principles the Applicant follows throughout the implementation of the project in the below areas:

- Health and Safety Requirements
- Social and Environmental Requirements (such as gender and social inclusion)
- Protection from Sexual Exploitation and Abuse Requirements
- Sustainability Requirements, both internal to the organization as well as considerations regarding the implementations of the specific activities under the grant

2.2. Implementation Plan requirements

Using the proposed outputs, deliverables and activities, in view of achieving the outcomes of the grant/funding, complete the Implementation Plan. The Implementation Plan should accurately show the sequence and timeframe for the delivery of each activity and output.

2.3. Implementing Partner Monitoring Plan requirements

Complete the Implementing Partner (IP) Monitoring Plan.

2.4. Budget requirements

- a. Budget Ceiling: **USD 45,000.**
- b. At a minimum, the budgets must include:
 - i. An estimate of direct costs, which include all of the expenses that are required for, and can be tracked directly to, the grant/funding accounts. Direct costs must be broken down by expense subcategory, by expense line item and by year.
 - ii. A description of assumptions or justifications underlying the estimates.
 - iii. A breakdown of costs by Activity listed under Section 1.5.
- c. The costs will be eligible only if these are incurred for the purpose of this grant/funding and within the duration mentioned in the legal instrument (including any amendments).
- d. Article II, Section 7, of the Convention on the Privileges and Immunities of the United Nations provides, inter alia, that the United Nations, including UNOPS as a subsidiary organ, is exempt from all direct taxes, except charges for public utility services, and is exempt from customs restrictions, duties, and charges of a similar nature in respect of articles imported or exported for its official use. All proposals shall be submitted net of any direct taxes and any other taxes and duties.
- e. Grant budgets may include indirect costs up to 10% of direct costs. In case of subgrants, indirect costs on the subgrant amount should be calculated and presented separately.

3. EVALUATION METHOD AND CRITERIA

Proposals submitted in response to this CFP document shall be evaluated following the cumulative analysis methodology, which consists of the following steps:

- a. **Preliminary screening:** This includes an assessment of whether proposals comply with the formal and eligibility criteria stated in [Table 1: Formal and eligibility criteria](#). All proposals which pass this stage will go through a subsequent evaluation as follows.
- b. **Technical evaluation:** This assesses the technical points achieved by each proposal, as per the maximum obtainable points assigned per criteria group in [Table 2.1: Parts of the technical proposal evaluation](#). Only proposals that meet the minimum threshold indicated in [Table 2: Technical criteria](#) shall be considered substantially compliant at this stage. Evaluation of the technical proposals shall be completed prior to opening the financial proposals.
- c. **Financial evaluation:** Financial proposals will only be opened for proposals that have achieved the minimum threshold in the technical evaluation. Financial proposals shall be checked for any mathematical errors in accordance with Article 15, “Minor Informalities, Errors or Omissions” in the [Instructions to Applicants](#). The total financial proposal points achieved for each proposal are determined in accordance with [Table 3: Financial criteria](#).
- d. **Combined analysis:** This evaluation will be conducted based on a combined analysis, analyzing all of the relevant costs, risks and benefits for each proposal. The combined analysis includes the scores from both the technical evaluation, including factors such as risks, sustainability, and others, and the financial evaluation, using a predefined weighting method.

The maximum number of points that an applicant may obtain for its proposal are as follows:

- Technical proposal: 70 points
- Financial proposal: 30 points

The maximum total number of points an applicant may obtain for both the technical and financial proposals is 100. The weighting of the technical and financial proposals will be 70:30.

UNOPS may request clarification or further information in writing from applicants at any point during the evaluation process. In this case, any response from an applicant shall not modify the substance of the proposal, including both the technical and financial aspects of the proposal. UNOPS may use such information to interpret and evaluate the relevant proposal.

The evaluation of a proposal by UNOPS shall be carried out against the evaluation criteria described in the following tables.

The selection will be based on the following criteria:

- Geographical balance;
- Capacity to apply the guide(s) and conduct the corresponding assessment;
- Potential for the application of the guide(s) to demonstrate the impact and benefits of assessing climate policies/actions; and
- Ability to complete the application of the guide(s) and provide feedback by June 2024.

Before the project initiates, and in order to receive funding, organizations must secure and share with the ICAT Secretariat a no-objection letter from the relevant government entity of the country in which the assessment is being undertaken. For countries in which an ICAT project is active, the ICAT Secretariat may be able to assist in obtaining government no-objection.

3.1. Preliminary screening

Table 1 FORMAL AND ELIGIBILITY CRITERIA	
Criteria evaluated on a pass/fail basis during the preliminary screening	Documents to establish compliance with the criteria
1. The applicant is eligible as defined in Article 1, "Applicant Eligibility" in the Instructions to Applicants .	<ul style="list-style-type: none"> • Proposal • Annex 1: Declarations • Annex 2: PSEA implementing partner self-assessment
2. The proposal is complete and includes all completed forms and other documentation requested in the Particulars , 'Content of proposal submissions'.	<ul style="list-style-type: none"> • All documentation requested in the Particulars, 'Content of proposal submissions'
3. The applicant accepts the conditions in the template for agreement, as specified in the Particulars , 'Type of legal instrument'.	<ul style="list-style-type: none"> • Annex 1: Declarations
4. The applicant has at least 5 years experience in producing publications on MRV, climate action transparency and/or the renewable energy sector.	<ul style="list-style-type: none"> • Proposal • Two references/reports from previous projects

3.2. Technical evaluation

Table 2 TECHNICAL CRITERIA	
Criteria evaluated based on scoring during the technical evaluation	Documents to establish compliance with the criteria
<p>The maximum number of technical points obtainable is detailed in Table 2.1: Parts of the technical proposal evaluation.</p> <p>To be technically compliant, applicants must obtain a minimum threshold of 70% of the total obtainable points.</p>	<ul style="list-style-type: none"> • Proposal • Reports of past projects completed

Table 2.1 Parts of the technical proposal evaluation		Obtainable points
2.1.1	Applicant's technical capacity and expertise	20
2.1.2	Proposed methodology, approach and implementation plan	30
2.1.3	Key personnel proposed	20
Total technical proposal points		70

Table 2.1.1 Part 1: Applicant's capacity and expertise

	Criteria to be evaluated	Documents to establish compliance with the criteria (not exhaustive)	Obtainable points
1.1	The applicant has the general organizational capability to support effective implementation: management structure; financial stability and project financing capacity; management controls; and the extent to which any work would be sub-granted/contracted.	<ul style="list-style-type: none"> • Copy of audited financial statements for the last two years. <p>The financial statements shall include balance sheets, income statements, cash flow statements and statements of shareholders' equity for the two years. Statements shall be duly stamped and signed by the organization's Director and Chief Financial Officer/Chief accountant.</p>	2
1.2	The applicant has demonstrated history (in terms of years and depth and relevance of engagement) and practical experience working in developing countries on topics related to climate policies and sustainable development (min. 3 years).	<ul style="list-style-type: none"> • Proposal 	9
1.3	The applicant has demonstrated capacity and experience (in terms of number of years and subject matter covered) in developing publications and/or methodological guidance to be applied in a climate policy and sustainable development context (min. 3 years).	<ul style="list-style-type: none"> • Proposal, Section 2 • Reports of past projects completed 	9
Total points for Part 1			20

Table 2.1.2 Part 2: Proposed methodology, approach and implementation plan

No.	Criteria to be evaluated	Documents to establish compliance with the criteria (not exhaustive)	Obtainable points
2.1	The proposal is substantially compliant and does not contain any material deviation(s) from the minimum requirements as stipulated in this CFP document, which indicates the applicant's understanding of these requirements.	<ul style="list-style-type: none"> • Proposal, all sections 	8
2.2	The applicant's proposed approach is consistent with objectives and targeted outcomes of the grant/funding and the objectives of the UNOPS project activities under which this grant/funding opportunity is available. Proposal includes relevant actions and tasks clearly linked to the achievement of the desired outcomes.	<ul style="list-style-type: none"> • Proposal, Section 3 	6
2.3	The applicant's proposal demonstrates an understanding of how to apply the ICAT policy assessment guide(s).	<ul style="list-style-type: none"> • Proposal, Section 3 	5

2.4	The proposal includes a sound implementation plan and timeline.	<ul style="list-style-type: none"> • Proposal, Sections 3 and 4 	5
2.5	Proposal presents a sound plan for stakeholder engagement.	<ul style="list-style-type: none"> • Proposal, Sections 3, 4 and 5 	4
2.6	Both internal and external risks are duly considered and the proposed mitigation actions are appropriate.	<ul style="list-style-type: none"> • Proposal, Section 3 	2
Total points for Part 2			30

Table 2.1.3 Part 3: Key personnel proposed

No.	Criteria to be evaluated	Documents to establish compliance with the criteria (not exhaustive)	Obtainable points
3.1	The composition and structure of the applicant's proposed team is appropriate and the proposed management roles and other key personnel roles are suitable for the implementation of the grant support project activities.	<ul style="list-style-type: none"> • Proposal, Section 6 	5
3.2	The applicant describes and justifies its plan for the size and composition of its team.	<ul style="list-style-type: none"> • Proposal, Section 6 	5
3.3	The qualifications and experience of the proposed key personnel meet the established requirements for the implementation of the Grant Support Project Activities in terms of the subject matter, application of the ICAT policy assessment guides, and understanding of the country context.	<ul style="list-style-type: none"> • Proposal, Sections 8 and 9 	10
Total points for Part 3			20

3.3. Financial evaluation

Proposed budget amounts should be inclusive of VAT.

Table 3 FINANCIAL CRITERIA		
Criteria evaluated based on a cumulative analysis methodology during the financial evaluation	Documents to establish compliance with the criteria	Obtainable points
1. Total Budget: A maximum of 10 points will be allocated to the lowest total budget. Total budgets of other substantially compliant applicants will be scored according to the following formula: Points for budget amount = $\frac{[\text{lowest total budget amount}] \times [\text{maximum points allocated for the total budget amount}]}{[\text{Total budget amount of proposal under evaluation}]}$	<ul style="list-style-type: none"> Annex 3: Financial proposal 	10
2. Applicant organizations comply with the maximum budgets stipulated in the Budget requirements .	<ul style="list-style-type: none"> Annex 3: Financial proposal 	5
3. The applicant has provided sufficient justification of budget lines and lump sums.	<ul style="list-style-type: none"> Annex 3: Financial proposal 	5
4. The allocation of budget among different categories is appropriate, particularly the allocation between activities and the operational budget.	<ul style="list-style-type: none"> Annex 3: Financial proposal 	5
5. The applicant's cost estimates and the assumptions made for such estimates are reasonable.	<ul style="list-style-type: none"> Annex 3: Financial proposal 	5
Total financial proposal points		30