

ICAT | INITIATIVE FOR
**Climate Action
Transparency**

Initiative for Climate Action Transparency provides policymakers around the world with tools and support to measure and assess the effects of their climate actions.



Call for Proposals

“Expansion and Improvement of the ICAT Agriculture Policy Assessment Guide”

October 2021

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CALL FOR PROPOSALS (CFP)

1. Background

[The Initiative for Climate Action Transparency \(ICAT\)](#)¹ aims to help countries better assess the impacts of their climate policies and actions, and fulfil their transparency commitments. It does this by increasing the overall transparency capacities of countries, including the capacity to assess the contribution of climate policies and actions on countries' development objectives, and providing appropriate methodological information and tools to support evidence-based policy-making. ICAT's innovative approach is to integrate these two aspects.

ICAT focuses on countries that can highlight the benefits of increased transparency to demonstrate policy impact and evidence-based action. ICAT will generate evolving methodological guidance and extract best practices, to be publicly available to all actors, increasing the global knowledge base. ICAT's work is country-driven, efforts build on existing Monitoring, Reporting and Verification (MRV) systems and knowledge in countries and complement previous or on-going activities by other initiatives, where applicable.

Agriculture drives our societies and economies, but agricultural practices are also important factors in driving in-country GHG emissions. The agriculture, forestry and other land use (AFOLU) sector contributes to approximately one quarter of anthropogenic GHG emissions, thus climate-conscious agricultural policies represent a large opportunity for countries to reduce their emissions. In order to reach the aim of the Paris Agreement to limit the increase in global average temperature to well below 2°C, preferably 1.5°C, above pre-industrial levels, governments around the world are increasingly focused on implementing policies and actions that achieve greenhouse gas (GHG) mitigation objectives.

From this context, a significant need has emerged to assess and communicate the impacts of policies and actions related to agriculture, to ensure they are effective in delivering GHG mitigation and helping countries meet their targets and commitments. Methodologies such as the [ICAT Agriculture Policy Assessment Guide](#) have been developed to meet part of this need, by providing methodological guidance for assessing the GHG impacts of agriculture policies that enable or incentivise mitigation practices or technologies that reduce emissions. Since its launch in 2019, the guide has been met with interest by governments, institutions and programmes. However, despite the popularity and interest in the guide, there is still a lot of potential to be gained from broadening its coverage across emission sources and options for mitigation action, and enhancing its usability through better alignment with relevant guidelines and tools.

¹ICAT 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.

2. Scope of work

To expand and improve [ICAT's Agriculture Policy Assessment Guide](#) to increase the coverage of the guide across emission sources and options for mitigation action, improve its alignment to the needs of developing countries, and ensure better usability and clarity. The improved guide will allow users to conduct more thorough assessments of climate actions through the inclusion of more sources of emissions and mitigation potential. It will also include added guidance on conducting cost estimations for policy development and implementation, which will enhance the guide's relevance and potential to be adopted by countries, since it assists with the estimation of finance (and support) needed for implementation.

Project duration

The grantee(s) are expected to start activities in November 2021 and complete work within a period of 12 months. The grantee should include indicative timeframes for the work in their proposals.

3. Expected outcomes

In the above context, the selected grantee is expected to expand and improve [ICAT's Agriculture Policy Assessment Guide](#) to increase the coverage of the guide across emission sources and options for mitigation action, improve its alignment to the needs of developing countries, and ensure better usability and clarity.

4. Description of specific activities

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

Activity 1: Information gathering and developing a detailed proposal and structure for the guide

- a. Review the current draft [ICAT Agriculture Policy Assessment Guide](#) and relevant scoping reports² including guidance developed by other initiatives and institutions, focusing specifically on the agriculture sectors (e.g. FAO, WRI, etc);
- b. Develop a proposal based on key findings from the review, which should include a clear structure that integrates the following points for addition and expansion:
 - Clarification of the definition of “agriculture” used in the guide, based on the most appropriate definitions, in particular by the IPCC, the UNFCCC, FAO and other UN entities.

² Scoping reports will be provided by the ICAT secretariat to the grantee.

- Integration of country examples (to be provided to the grantee) and specific quantitative examples (actual or hypothetical). Quantitative examples should be step by step practical examples that show how to carry out the full scope of the policy assessment.
 - Increased coverage of emission sources, including those commonly targeted by mitigation actions in developing countries. For example: manure management, application of synthetic fertilisers, and water management in rice cultivation.
 - Improved alignment with 2006 IPCC guidelines and subsequent updates.
 - Improved alignment of terminology and formatting with the existing [ICAT Forest Policy Assessment Guide](#).
 - Inclusion of all important mitigation policies/options related to agriculture emissions, as defined in the 2006 IPCC guidelines.
 - Increased coverage of options for mitigation action, ensuring the most important actions for developing countries in terms of overall mitigation potential are included. For example: strategies for reducing the application of fertilizer through increased efficiency of fertilizer, and improved field management conditions.
 - Additional guidance on conducting cost estimations for policy development and implementation, including practical examples.
 - References to and guidance on existing tools and support where applicable;
- c. Upon completion of this deliverable, the grantee will provide a detailed draft proposal and structure of the improved agriculture guide to the ICAT Secretariat and other relevant stakeholders and experts for review, and implement any recommended changes as indicated. The grantee is responsible for coordinating and performing the review process, including suggesting stakeholders and experts to be involved. Relevant reviewers may also be suggested from ICAT, as appropriate.

Outputs:

- Completion of a detailed proposal and structure for the guide
- Presentation of the proposal and structure to reviewers and in expert forums such as the ICAT Country and Toolbox Group.

Activity 2: Production of a draft of the guide

- a. Complete the production of the first draft of the guide based on the agreed proposal and structure;
- b. Ensure the guide is easy to understand and straightforward to use, so that users are guided through each step of the assessment process. The guide should also be tailored to users from developing countries and follow an approach that is consistent with the ICAT series of assessment guides;
- c. Upon completion of this deliverable, the grantee will provide a first draft of the guide to the ICAT Secretariat, and circulate the guide for review amongst relevant experts. The grantee should perform and manage this review process and propose relevant reviewers. Relevant reviewers may also be suggested from ICAT, as appropriate. The review may also include interviews or

discussions with experts from the sector and with certain countries. Comments and suggestions for improvement from reviewers should be implemented accordingly.

Outputs:

- Completion of the first draft of the improved agriculture policy assessment guide.
- Presentation of the draft to reviewers and in expert forums such as the ICAT Country and Toolbox Group.

Activity 3: Finalisation of the guide

- a. Complete the production of the guide, addressing all review comments; respond to reviewers as appropriate;
- b. Finalize the guide to be ready for use;
- c. Ensure formatting and layout are in line with the series of ICAT policy assessment guides, including visual elements and graphics. The ICAT Secretariat will provide guidance on the style and formatting to be used;
- d. The grantee should revise and finalise the guide based on any additional feedback and input received.

Outputs:

- Final version of the improved agriculture policy assessment guide.

Activity 4: Accessibility and outreach

- a. Support outreach activities in coordination with ICAT, to enhance the visibility of the guide;
- b. Develop material to enhance the accessibility of the guide;
- c. Ensure technical support and approaches are fully coordinated in the Initiative through active participation meetings with ICAT implementing partners, where relevant.

Outputs:

- Production of outreach material for the guide, including webinars and training.
- Development of relevant templates and slides based on the content of the guide, which can be used to further enhance the accessibility and usability of the guide.
- Timely provision of progress reports and deliverables.
- Outputs and outreach material developed under this project ensure ICAT visibility and maximize lessons learnt.

5. General instructions for proposal submission

5.1 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 submission.

When to submit?

Deadline: **24 October 2021 (by 23:59, Copenhagen, Denmark Time)**

Questions and clarification?

Please contact Hannah Swee at hannahs@unops.org, **no later than 21 October 2021 (23.59, Copenhagen, Denmark Time)**. Requests for clarification or questions submitted after the mentioned date will not be considered.

Where to submit?

Office email: ICAT@unops.org

6. 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 lowest priced, substantially compliant proposal. 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.

The weightings of technical and financial proposals shall be 70%-30%.

UNOPS reserves the right not to award any grants for any reason or to award the grants to more than one (1) applicant, if necessary. As such organizations are welcome to submit proposals for a limited number of the above activities, however priority will be given to an organization or consortium of organisations who has the capacity to implement the entire project. Participation in activity 5 should be part of all proposals.

6.1 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 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 C and Annex D), 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.

6.2 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.

6.3 Financial Evaluation

The Financial Proposal will only be opened 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.

7. Evaluation Criteria

7.1 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 no-profit basis.	Applicant must provide: 1. Proof of registration
2	Demonstrated experience (of at least 5 years) in working with issues relevant to climate change in developing countries.	Applicant must submit: 1. Previous Experience Form
3	Demonstrated experience (at least 5 years) in research, policy analysis, and/or capacity building activities related to MRV, climate action transparency and/or the Agriculture/AFOLU sector.	Applicant must submit: 1. Previous Experience Form; and 2. Final report and/or reference letter from the most recent non-UNOPS project(s)

4	Demonstrated experience (at least 5 years) in producing publications on MRV, climate action transparency and/or the Agriculture/AFOLU sector.	Applicant must submit: 1. Previous Experience Form; and 2. (Optional) Final report and/or reference letter from the most recent non-UNOPS project(s)
4	Organisation must have administrative capacity for annual financial turnover of at least USD 100,000.	Applicant must submit: 1. Certified financial statements for 2019 fiscal year; and 2. Certified financial statements for 2020 fiscal year. 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 at least USD 100,000. 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.
5	Demonstrated capacity to work in English.	Must be clearly indicated in the CVs of proposed personnel.

7.2 Technical Criteria

The Applicants' proposals must adhere to the criteria below:

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: 60)	
Organization has demonstrated history (in terms of years and depth and relevance of engagement) working with governments, financial institutions, private sector entities and/or non-government entities in developing countries on similar activities.	/3 (33.3%)
Organization has demonstrated capacity and experience (in terms of number of years and depth of engagement) in analytical work related to policies relevant for climate change and sustainable development.	/3 (33.3%)
Organization has demonstrated 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 Agriculture/AFOLU context.	/3 (33.3%)
Section B - Design of the proposed implementation approach (Weight: 40)	
Proposal includes relevant actions and tasks clearly linked to the achievement of the desired outcomes. A high level of knowledge on the topic (Agriculture) and understanding of developing country contexts is reflected.	/3 (25%)
Proposal presents a realistic strategy to achieving the stated objectives and results in terms of sequencing of activities, and includes a sound implementation plan and timeline.	/3 (25%)
Proposed project team has the relevant technical skill-set to implement project activities. <u>Note:</u> The CVs of proposed personnel are to be included in the submission.	/3 (25%)
Proposal presents a sound plan for stakeholder engagement, and includes a well-thought out plan for the review process for the guide with indicative reviewers where relevant.	/3 (10%)
Proposal provides a thorough and innovative plan on dissemination and outreach for the guide.	/3 (10%)
Both internal and external risks duly considered and the proposed mitigation actions are appropriate.	/3 (5%)

Section C - Other	
Applicant has capacity to implement Activities 1, 2, 3 and 4 as listed in Section 4 of this CFP.	Yes/No

7.3 Financial Criteria

Scoring

- 3 = Exceeds requirement
- 2 = Meets requirement
- 1 = Partially meets requirement
- 0 = Does not meet requirement

Evaluation Areas	Score
Grant budget considers the 10% cap for indirect costs.	Yes/No
Organization provides matching of grant funds or in-kind contribution.	Yes/No
Overall budget is realistic and accurate i.e. are activities appropriately budgeted and including categories eligible for support.	/3 (40%)
Budget breakdown by category ensures best value for money (considering also matching contributions from the organisation). Rates presented in the budget should be reasonable compared to market rates for equivalent activities.	/3 (30%)
The personnel costs are justified by the seniority/expertise of the proposed team. Optimization of resources has been considered and the team proposed is adequate in terms of seniority/expertise compared to the task envisaged for the team members.	/3 (30%)

8. UNOPS Grant Support Agreement

The UNOPS Standard Grant Support Agreement (GSA) (Annex C) containing UNOPS General Conditions (Annex D) is 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 from

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	
Please list the number of activities included in the proposal (ref the activity number under point 4 above)	
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. Non-for profit company; 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 staff members/personnel	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
Full financial statements including balance sheet, income statement, cash flow statement and statement of shareholders' equity for 2019 and 2020 demonstrating a min yearly turnover of USD 100,000 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	Yes (attached signed and stamped certified financial statements) No
Years of experience - list experiences of your organization relevant to the proposed project	Please fill in the Previous Experience Form (Annex E)

b. Implementation approach

The proponent organization should describe the approach to implement the foreseen tasks described under Section 4 in order to effectively deliver the expected outputs. The approach must ensure that the activities are a means to getting the intended outcome, including a detailed work plan.

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

What will be done to complete the activities: provide a description of the proposed methodology and approach.

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

- Provide an overview of the proposed project team with names and titles (attaching the CVs of the personnel with focus on experience relevant for this proposal 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 **Gantt chart/schedule** with duration responsible party and indicator for each activity.

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

Propose mitigation actions for the identified risks.

II. Financial Proposal

a. Proposal summary

Proposed grant amount	
Matching fund Amount and Sources (if any, this is not a requirement)	Matching Fund amount (USD) and sources (specify if in cash or in kind, as this can also be in-kind contributions such as supervision or input from additional experts.)
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:

- a. 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;
- b. The budget should be realistic. Find out what planned activities will actually cost;
- c. The budget should include all costs associated with managing and administering the grant project. In particular, include the cost of monitoring and coordinating activities;
- d. **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 ;
- e. Grant funds shall be overall spent according to the agreed budget;
- f. All relevant, financial records should be made available upon request. These may be independently audited, and usually will become public information;
- g. 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.

The successful grantee will be required to maintain advances of UNOPS funds in dedicated and separate accounts to the Grantee's ordinary funds.

b. 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;
- If sub-contractors are involved, estimated amount per sub-contractors and number of days of contract;
- 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 #hours/days)	
2. Contracts (sub-contractors and sub-grantees)	
3. Administrative costs (indirect costs)	
Total Grant Project Cost	

Annex C - Grant Support Agreement

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:³

[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.

³ 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 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.

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 report on the use of Grant funds by [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

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.

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 C:

- (a) To UNOPS, a final financial report on the use of Grant funds⁴; and

⁴ For total grants above US\$ 50,000 a certified final financial report is required.

- (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.

7. Special Conditions

7.1 [(1) list derogations to the General Conditions, or state 'None applicable'. (2) Please consider whether the agreement between UNOPS and the Funding Source(s) includes any requirement to flowdown certain provisions into the GSA; if so, they may be included as Special Conditions in consultation with IPAS Legal. (3) IPAS Legal to be consulted in all cases where the funding source (or one of the funding sources) is the EU/EC.]

8. Correspondence

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

For UNOPS: [insert name, address, e-mail, phone]	For the Grantee: [insert name, address, e-mail, phone]
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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: _____ [insert name] [title], [office] Date (mandatory):	FOR THE GRANTEE: _____ [insert name] [title] Date (mandatory):
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Appendix A

TERMS OF REFERENCE:

Description and scope of grant activity/project

[Note for draft: Please include brief description of the selected proposal or a simple concept note⁵ by the grantee]

⁵ The grant concept can be used for smaller grant support activities (below US\$ 50,000) often with small capacity community groups.

Appendix B

GRANT BUDGET

[Note for draft: Please include simple cost breakdown of the selected proposal or simple concept note⁶ by the grantee]

⁶ The grant concept along with basic cost breakdown can be used for smaller grant support activities (below US\$ 50,000) often with limited capacity community groups.

Appendix C

REPORTING

[Note for draft: If possible, include accepted UNOPS sample formats as agreed with grantee]

D.1 Milestone report / final milestone summary report (narrative)

D2. Financial report (on the use of grant funds)

D.3 Final financial report (on the use of grant funds)

Annex D - General Conditions

GENERAL CONDITIONS FOR GRANT SUPPORT AGREEMENTS

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

- 10.1 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/ag_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

- 17.1 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

- 18.1 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

- 19.1 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

- 20.1 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.

Annex E - Previous Experience Form

CFPs reference no: [insert CFP reference No.]

Name of proponent organization: [insert name of Bidder]

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