



### Project Document Amendment 1

<b>Project Title: Regional Technical Assistance Facility - Amendment 1</b>	<b>Implementing Organization(s): UNOPS</b>
<b>Project Contact - Implementing Organization:</b>  Name and position: Tatiana Wah, Director and Representative Address: 34 Avenue Pumbu, Gombe, Kinshasa Phone: +243 817 107 786 E-mail: <a href="mailto:tatianaw@unops.org">tatianaw@unops.org</a>	<b>Project partner(s):</b>  N/A
<b>Countries: Democratic Republic of the Congo (DRC), Republic of Congo, Gabon, Cameroon, Equatorial Guinea, Central African Republic (CAR)</b>	<b>Project location (provinces or priority areas) :</b>  N/A
<b>Project Description:</b>  This project will aim at establishing a regional technical assistance facility to support governments from 6 countries of Central Africa in milestone implementation towards their respective letters of intent (LOI) with the Central African Forest Initiative (CAFI), for the ones who have LOI in place, and to provide targeted result-focused capacity building so that the governments can build their financial, technical and operational capacity . The project also aims to provide technical support towards the attainment of CAFI objectives in the CAFI countries and at the regional level.	<b>Total Project Cost</b> (including estimated unfunded budget) <b>26,570,000 USD</b> <b>Total amount funded by CAFI:</b> <b>Total initial PRODOC: 10,000,000 USD</b> <b>Total Amendment: 16,570,000 USD</b> <b>Total Cumulative: 26,570,000 USD</b> <b>First tranche amount and duration:</b> <b>11,000 000 million USD for 1 year</b> <b>10,000,000 USD for Year 2</b> <b>5,570,000 USD for Year 3</b> <b>yearly disbursement</b>  <b>Other funding sources:</b> <ul style="list-style-type: none"> <li>- National contribution (including in-kind contribution): N/A</li> <li>- Other donors: N/A</li> </ul>
	<b>Start date<sup>1</sup> : 1/12/2023</b> <b>End date: 1/12/2026</b> <b>Total duration (in months): 36 months</b>

<sup>1</sup> Indicative dates: The official start date of any CAFI-funded project is the date of transfer of funds by the MPTF Office.



Date and number of approval decision: \_\_\_\_\_

Signatures of Participating Organizations:

<p>Representative Name : Tatiana Wah</p> <p>Position : Director and representative of UNOPS, CDMCO</p> <p>Name of Organization : UNOPS</p>	<p>Date and signature</p> <p><i>Tatiana Wah</i> 25-Apr-2024</p>
<p>Representative Name : Berta Pesti</p> <p>Function: Head of the Secretariat of Central African Forest Initiative (CAFI)</p> <p>CAFI Secretariat</p>	<p>Date and signature</p> <p>DocuSigned by: <i>Berta Pesti</i> DAFEBADCC85A412 25-Apr-2024</p>



<i><b>CAFI OUTCOMES</b> to which the program contributes</i>	<i><b>Amount in USD</b> <sup>[1]</sup></i>
<i>1. <b>Sustainable agricultural</b> practices lead to less land conversion and increased food security;</i>	<i>x</i>
<i>2. <b>Sustainable</b> alternatives to current <b>wood energy</b> practices are adopted;</i>	<i>x</i>
<i>3. <b>Forestry sector and protected areas</b> institutions and stakeholders have the capacity and the legal framework to promote, monitor and enforce sustainable management of forests;</i>	<i>x</i>
<i>4. Future <b>infrastructure and mining</b> projects minimize their overall footprint on forests;</i>	<i>x</i>
<i>5. <b>Land use planning</b> decisions ensure a balanced representation of sectoral interests and keep forests standing, and <b>better tenure security</b> does not incentivize conversion by individuals, communities or companies;</i>	<i>x</i>
<i>6. <b>Population growth and migration</b> to forests and forest fronts are slowed down;</i>	<i>x</i>
<i>7. <b>Better inter-ministerial coordination and governance</b> resulting in a permitting, enforcement and fiscal regime of economic activities that do not push economic actors to forest conversion and illegal activities; and a <b>business climate</b> favourable to forest-friendly investments.</i>	<i>26,570,000 M USD</i>

All other terms and conditions of the Regional Technical Assistance Facility Project Document with UNOPS, except as amended below, shall remain unchanged and shall continue in full force and effect.

## Executive Summary

This Project aims at establishing a Technical Assistance Facility, providing logistical and technical assistance to the governments of 6 Central African countries (DRC, CAR, Rep of Congo, Gabon, Equatorial Guinea, Cameroon) which are part of the Central African Forest Initiative (CAFI) and receive funding from the CAFI Multi Partner Trust Fund (MPTF). This technical assistance project will assist:

- Government's commitments of the letter of Intent with CAFI (3 countries have signed a LOI) and/or to prepare their engagement with CAFI (3 remaining countries). This also includes support to non-state stakeholders (private sector & civil society) to contribute to milestones achievement.
- National & regional entities through targeted result-focused capacity building (i) to enhance national execution of project/ activities and investments durability; (ii) analyze, capitalize and share/disseminate lessons learned at the national, regional and international levels.



- The Central Africa region, represented by the 6 CAFI countries, in conducting and analyzing critical data, research and studies related to CAFI outcomes and CAFI programming to leverage results and reach targets for the region, LOI milestones and inform future CAFI investments

The expected outcomes of the Project as described in the result framework will be the following:

- The Central Africa region (CAFI countries) as well as CAFI individual countries are supported to accelerate milestone implementation, receive assistance in their further engagement with CAFI and meet CAFI objectives
- Selected national entities have increased ownership of CAFI programming and have direct access to the Trust Fund
- Improved collaboration and communication through lessons learned and lesson sharing at the national and regional level

To reach the set outcomes, UNOPS will provide logistical support through the purchase of equipment/materials, provide technical assistance through the delivery of advisory services (studies, research) and capacity building in areas like environment, biodiversity, forestry, agriculture, IT, HR, law among others, and support national capacity in the organization of events such as conferences, workshops, high level meetings. These activities will be conducted upon prior approval from CAFI and availability of funds.

The Project will set up a mechanism through which countries, and CAFI on behalf of the countries, will submit requests via their CAFI focal point, that align with the CAFI's objectives and outcomes established in the LOI/programmatic frameworks, without duplicating and in synergy with the existing projects approved by CAFI trust fund, and receive the logistical and/or technical assistance.

Two possible implementation modalities will be used under the project:

- Direct implementation by UNOPS
- National implementation where selected national entities that have passed the eligibility check according to UNOPS rules and regulations (capacity assessments, HACT evaluation), will be able to receive grants to implement the activities described in the requests, while UNOPS will provide monitoring and oversight of the activities.

The budget for this Project will be 26,570,000 USD for a period of 3 years with yearly disbursements. Budget allocations per country and type of requests will be decided through a Steering Committee (COPI) including CAFI Secretariat, the EB and UNOPS that will be conveyed at least twice a year to establish an annual work plan.

**Section 2 "Situational analysis specific to the project context" of the Project Document is amended as follows :**

### **1) Situational analysis specific to the project context**



The CAFI Executive Board would like to set aside funding to support the countries in reaching the established milestones in the LOIs and other formal agreements as well as providing targeted capacity building, so that the governments can enhance their capacity in managing CAFI funds, in terms of financial, technical and operational management, social and environment safeguards, sexual harassment, incorporation of gender into programming, and other key related fields.

To do so, CAFI has approached UNOPS to create a Technical Assistance facility with a mechanism to disburse funds and implement technical assistance activities to achieve these objectives. The Technical Assistance Facility Project aims at providing logistical and technical assistance to all 6 countries part of the Central African Forest Initiative on a result-based basis. Based on each country's development stage, commitments, and current needs, the technical assistance may vary.

Additionally, the CAFI Board through its decisions EB.2023.32, EB.2024.0, and EB.2024.05, has identified additional areas of need for regional technical assistance in the domain of scientific research and in the conduction of feasibility studies to facilitate the preparation of new projects with the involvement of private sector entities.

#### Scientific Network:

The Scientific Network<sup>2</sup> will aim to collect up-to-date data on CAFI issues such as forest area cover, land use, deforestation, forest carbon stocks, biodiversity and agricultural expansion in the Central African region. It is also important that the data collected be peer reviewed and approved by consensus to ensure uniformity of information and results across countries. This data will facilitate the review of LOI milestones, inform CAFI programming and also drive future CAFI investments.

#### Feasibility studies for private sector companies

In September 2023, CAFI launched a private sector facility to Invest in private sector companies in its partner countries to address the drivers of deforestation and forest degradation. CAFI wants to invest in the private sector and finance projects that will reduce gas emissions from deforestation and forest degradation in Central Africa. Prior to doing that, there is a need for feasibility studies to be conducted for each project initiative to collect the necessary information, that will ensure that the future projects to be developed will be bankable, create jobs and reduce GHG emissions. This need aligns with CAFI programming and CAFI objectives to scale up private sector investments and show private sector ownership in addressing the drivers of deforestation and creating "green jobs".

**The sub-section "a) Description of the general context in the geographical area" remains unchanged.**

### **Section 3. b "Intervention strategy" of the Project Document is amended as follows :**

#### **b) Intervention strategy**

This Project will aim to create a Technical Assistance Facility, providing logistical and technical assistance to the Central African region and the 6 Central African countries (DRC, CAR, Rep of Congo,

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<sup>2</sup> The Scientific Network is a platform developed by CAFI where research organisation, universities, CAFI and other relevant partners can share different scientific results on CAFI issues.



Gabon, Equatorial Guinea, Cameroon) who are part of the Central African Forest Initiative (CAFI) and receive funding from the CAFI Multi Partner Trust Fund (MPTF).

This technical assistance project will assist:

- Governments in implementing commitments of the letter of Intent with CAFI (3 countries have signed a LOI) and/or to prepare their engagement with CAFI (3 countries) . This includes also support to non-state stakeholders (private sector & civil society) to contribute to milestones achievement as they are key partners of the governments in these commitments.
- National & regional entities through targeted result-focused capacity building (i) to enhance national execution of project/ activities and investments durability; (ii) analyze, capitalize and share/vulgarize lessons learned at the national, regional and International levels.
- The Central Africa region in conducting and analyzing critical data, research and studies related to CAFI outcomes and CAFI programming to leverage results and reach targets for the region, LOI milestones and inform future CAFI investments

In this Project, UNOPS will be responsible to provide logistical assistance through the provision of goods and services (purchase of equipment/materials for the government, provision of technical assistance through advisory services, studies, and capacity building in areas like environment, biodiversity, IT, HR, law among others; the organization of events such as conferences, workshops, high level meetings to provide targeted capacity building and reinforce regional and national coordination. The assistance received will be done either directly by UNOPS and/or through national execution modalities after the fiduciary evaluation of the selected national entities and the establishment of contracting modalities following UNOPS rules and regulations. This support will be provided upon prior approval from CAFI and availability of funds.

CAFI EB and UNOPS representatives will meet bi-annually to establish a semi-annual work plan allocating funds for technical assistance activities that are already known, per country and allocating some additional funding for other requests that may arise during the semi-annual period. National partners/entities acting as national counterparts for the CAFI partnership can be invited to these steering committee meetings as observers.

During the initial months of the Project, UNOPS will gradually participate, as an observer, in CAFI coordination work, through attending relevant Executive Board meetings, annual reviews at country level and other relevant coordination meetings. The objective will be for UNOPS to develop a more thorough understanding of the level/state of each country with regards to their CAFI commitment and assess what their most immediate needs are. Attending these events will also allow for UNOPS to become more familiar with the organizational structure for CAFI programming in each of the 6 countries and gather information about the needs of each government in order to enhance their capacity in receiving, managing and implementing CAFI funds and reaching the outcomes established in the Letter Of Intent and/or programmatic frameworks.

The coordination events will include but will be not limited to:

- DRC: FONAREDD governance structure meetings, DRC annual review meetings and any other relevant workshops



- Republic of Congo: the Partnership Steering Committee (chaired by the Prime Minister, this multi-stakeholder bodies is in charge of LoI and CAFI supported projects portfolio coordination & monitoring) , which is supported by the Permanent Secretariat based at the Prime Minister Office
- Gabon: to be added when final decision on reorganization is confirmed by the government
- Cameroon: Coordination meetings organized by MINEPAT
- Central African Republic: to be added once a governmental entity is designated to act as a focal point for the partnership.
- Equatorial Guinea: to be added

UNOPS will also look at each of the governments' structure overseeing CAFI funding and projects and the involvement of sectoral ministries. The UNOPS Project team may also organize country visits, if needed, to attend country coordination events and gather information on other active projects and programmes funded by other partners in relation to the CAFI outcomes to be aware of other key stakeholders and actors in environment, biodiversity, energy, and other CAFI related fields. The information collected from the CAFI coordination meetings and country visits will help establish a roadmap of recommended initiatives and interventions for this project. Based on the information collected, adjustments to the governance structure and terms and conditions of this PRODOC may need to be made through an addendum, if new dimensions and scope for this Project are identified.

A process map will be shared with the countries and described in a later section to determine the process through which each country will request logistical support and technical assistance. The requests will need to be in line with CAFI outcomes and programming laid out in the LOI/programmatic frameworks and in line with the prerequisites established in the request form and described in this PRODOC, subject to budget availability. The request would also need to fall under one of the 2 windows established by CAFI such as a) technical assistance to milestone implementation/reaching CAFI programming targets, and (b) targeted and results-focused capacity building to national entities.

If requests are in line with the annual work plan by the COPIL, then UNOPS will work with the countries (governments and national/regional entities) through the CAFI focal point to obtain the necessary details to finalize and plan the request. Once the request has been finalized, signed off by CAFI through its Secretariat, and approved by UNOPS, the activities will be launched, having been discussed previously the specific implementation modality.

Following a result-based methodology, CAFI will look at the results from previous activities funded by the Project and how the governments are progressing towards their milestone implementation. These results may impact the decision of approving future requests.

### **Section 3.c "Description of beneficiaries' capacities" of the Project Document is amended as follows :**

#### **c) Description of beneficiaries' capacities**

This Project's main objective is to build the capacity of the governments and the Central African region to achieve their milestone implementation, reach CAFI objectives and targets, improve national coordination and management of the CAFI funds and projects. The capacities of the governments and of the region will be built through:





- technical support provided via experts and consultants, training and workshops and logistical assistance
- national implementation modalities according UNOPS rules and regulations, with capacity building activities defined and provided by UNOPS to increase the national entities capacity
- targeted research and feasibility studies conducted to obtain critical information and data about milestones progress, inform future CAFI investments in the region and strengthen the Science-Policy interface through a dedicated CAFI Scientific Network.

One of the medium term objectives of building the capacity of the national entities is to identify and build the capacity of a few selected entities in partners' countries to develop stronger organizational structures, develop the right legal and financial and fiduciary frameworks and mechanisms to meet the accreditation criteria required by CAFI legal and financial frameworks (see Operational Manual) and receive funds from CAFI directly.

As described in an earlier section, most countries with an LOI need support to make substantial progress towards the achievement of milestones, therefore, this project is critical in providing them services, goods, cutting edge expertise to achieve so and to support stronger national ownership notably through capacity building and national execution of approved budgets.

**Section 3.d "Project structuring (Outputs, Activities)" of the Project Document is amended as follows :**

#### **d) Project structuring (Outputs, Activities)**

This project contributes to CAFI outcome <**Better inter-ministerial coordination and governance resulting in a permitting, enforcement and fiscal regime of economic activities that do not push economic actors to forest conversion and illegal activities; and a *business climate* favorable to forest-friendly investments**> and is built around 3 outputs.

- Output 1: Support received to accelerate milestone implementation, reporting and **and/or the preparation of commitments (LoI Milestones)**
- Output 2: Enhanced national execution of CAFI supported activities and projects.
- Output 3: Lessons learned of the partnership are capitalized and disseminated
- Output 4: Feasibility studies and projects conducted to support the operationalization of the CAFI private sector facility
- Output 5: Relevant data collected to inform progress towards CAFI programming and milestone implementation through a dedicated CAFI Scientific Network.

#### **Output 1: Support received to accelerate milestone implementation, reporting and and/or the preparation of commitments (LoI Milestones)**

UNOPS will provide technical and logistical support to the governments to make substantive progress towards the achievement of the commitments taken in the Letters of Intent and/or to prepare for their engagement with CAFI.

##### **1. Support towards milestones implementation and reporting**

This applies to countries that have signed Letters of Intent with CAFI (i.e. currently DRC, RoC & Gabon). The objective of this output is to support countries in reaching their commitments within the





timeframe identified in the letter of intent, to reduce delays observed or forecast and/or to demonstrate good progress with the establishment of effective processes and deliverables. It can be assistance to:

- Activities that support the achievement of LOI Milestones which are financed by ongoing or planned CAFI funded projects (i.e. procurement of equipment, recruitment of experts and firms, organization of workshops and events);
- Upfront support to identify needs for milestones achievement (i.e. conduction of feasibility studies). For some milestones, the intervention strategy has not yet been identified and a short feasibility study can be required to better understand the context (national market, readiness for reform implementation, etc.) and stakeholders' vision to structure the approach. This could be supported by the Technical Assistance project;
- Additional support to complete planned or ongoing support. Project can sometimes only partially support milestones achievement;
- Support to milestones acceleration to mitigate delays of CAFI supported project implementation. Some activities of support are already planned within a project, but projects can accuse delays and not meet milestones deadlines - this has been observed in many countries. In this framework, the Technical Assistance Project could be used - not to substitute - but to accelerate and enhance implementation of activities. For example, milestone 7.2 of the ROC LOI demands *<An analysis of fuelwood and gas consumption and their supply chain for the cities of Brazzaville and Pointe Noire is conducted, identifying potential alternatives that can reduce the need for non-renewable fuelwood>*. This work is planned under the AFD PUDT project starting in 2024. Meanwhile, progress could be made by enhancing the understanding of the LPG market and supply chain by national partners to provide further guidelines to future AFD PUDT project activities in defining the supply basin strategy as well as to ensure enhanced ownership and awareness of national Institutions In charge of GPL.

In such cases where the Technical Assistance Project is used to mitigate operational delays with the approval and/or implementation of CAFI funded projects, the request of support will need to :

1. present explanations as well as a short analysis of risks and advantages ;
2. present the operational measures that will be put in place to ensure coordination and synergies between the two (or more) funding sources;
3. provide any evidence that the request of funding to the Technical Assistance Project was informed and/or discussed with national counterparts involved in relevant CAFI funded projects and with other executing agencies In charge of other relevant CAFI funded project;
4. require CAFI EB & MPTFO approval to ensure that unused funds for these particular activities that were planned under the project are either returned and/or redirected on other results.

NB: Support provided by the Technical Assistance Project targets all national counterparts which can contribute to milestones achievement and which implication is deemed necessary. Therefore support and assistance could also be provided to civil society and/or the private sector. This support, however, would be channeled through the Governmental CAFI focal point.



## 2. Support provided to further engagement of countries with CAFI

- Provide support in the elaboration Letter of intent and identification of programming needs in the form of recruitment experts for technical support, conduction of short studies, organization of consultation workshops, etc. Needs will be jointly identified by Government and CAFI;
- Support the implementation of recommendations requested by partnership coordination bodies. For example, in RoC, the second Steering Committee asked to support the country in understanding and defining the concept of deforestation free agriculture. UNOPS could provide additional expertise and complement existing CAFI funded projects to meet this recommendation within a short timeline through the recruitment of a consulting firm and/or experts;
- Support coordination and consultation activities within the government (intersectoral coordination), with decentralized entities and/or with technical and financial partners of the Government, to foster better understanding and alignment of the vision, objectives, approaches of the partnership. This support would be provided in the form of organization of events, high-level meetings, payment of mission and travel.

UNOPS describes in a later section the means through which the support will be provided and the categories of assistance that will be implemented under the project in section e).

### Activity 1.1: Submission of requests, elaboration of Annual work plans and approval of requests

This project is made to provide swift support and services to partners' countries, while ensuring coordination and avoiding duplication of support.

It is therefore critical that processes for the identification and approval of requests are flexible and swift enough to provide necessary support on a timely fashion to partners' countries and further assess, refine and possibly modify these processes over time with the approval of the Steering Committee to ensure that :

- the mechanisms allow for proper coordination with other CAFI funded projects and any other relevant projects funded by other funding sources;
- requirements in achieving so do not create operational bottlenecks and delays in disbursing funds in a swift fashion.

A later section describes the process of request submission and the relevant parties that will review, sign off and approve the requests. In the Annex, a template request form will be shared with the CAFI countries. UNOPS will organize meetings and discussions with the CAFI focal points so that they become familiar with the request format and ensure that requests submitted are completed.

UNOPS in collaboration with CAFI, UNOPS will conduct bi-annual exercises consistent with approaches in a later section to establish a yearly budget and budget allocation per country and category of assistance. Some allocations will also be made in line of the requests that are already known - see below governance arrangements.

### Activity 1.2 : Implementation of activities



Once a request has been finalized and approved, activities implementation will be implemented following the means & processes described in section e) through direct implementation by UNOPS and/or national implementation modalities, as defined and agreed upon in the request and according to UNOPS rules and regulations.

## **Output 2: Enhanced national execution of CAFI supported activities and projects.**

This output refers to the following needs :

- Capacity building for reducing the risks identified by the micro assessments to promote national implementation modalities as per UNOPS rules and regulations;
- Capacity building of few selected national entities to promote direct access to the CAFI trust fund.

Activity 2.1: Promotion of national implementation modalities with reduced level of risks to receive grants to implement activities under the Project

Partner countries ask for more ownership in the planification and implementation of budget and activities. Different fund management modalities can be used within the national implementation modality according to the level of risks identified under this Project.

- Conducting micro-assessment of national entities such as capacity assessments, HACT, PSEA assessment;
- Provision of capacity building support as defined and proposed by UNOPS to reduce the levels of risks identified by the micro-assessments and raise the delivery rate of funds transferred;

The results from the assessments conducted by UNOPS will determine if selected entities can receive grants under the project to implement activities. The process for selection of national entities to receive grants under the project is described in a later section. Selected entities will then be able to receive grants for the implementation of approved requests.

Activities 2.2: Support to the identification and capacity building of national entities to meet the requirements for direct access to the CAFI trust fund

As of now, CAFI funds have been executed through international organizations following the modalities underlined In CAFI ToRs and MOP and its legal framework. One request expressed by partners' governments is to enhance ownership through direct access of the trust fund.

To access CAFI funding, entities need to meet the following requirements: (i) an HACT assessment with a fiduciary <low risk> conclusion, (ii) a SES assessment concluding on low risk and (iii) a SEAH assessment with a minimum score of 6 over 8. The Technical Assistance Project could help the identification of such entities and build their capacities of entities in partners' countries to meet those requirements over time. The capacity building activities could involve the organization of workshops or training in relevant domains and/or the recruitment of consultants to provide ongoing support and advisory services to the national entity to optimize its execution of projects and improve in the



domains identified in the assessments. These activities may be conducted either through direct implementation by UNOPS or through national implementation.

- **Output 3: Lessons learned of the partnership are capitalized and disseminated.**

This output refers to the analysis, capitalization and dissemination of lessons learned at the national, regional and international levels.

In addition to logistical support and technical assistance, UNOPS may also support the planning and organization of events at the national and regional level to increase coordination between various actors, share lessons learned, discuss key thematic issues and build a common community of practice across the region. The activities may range from the launch of studies, to the organization of workshops to conferences or high-level meetings based on the requests submitted by the governments. As discussed above, national implementation modalities may also apply to this output where funds would be disbursed directly to selected entities to organize these events once the fiduciary and capacity assessments have been concluded.

The events to be organized may be the following:

- National or regional workshops on technical areas related to the CAFI objectives
- National or regional conferences on lessons learned and experiences sharing

Based on the requests received and the needs identified, the technical assistance and capacity building will also be provided through organizing events such as workshops, conferences, and strategic meetings. The government reference person and relevant sectoral ministries involved in the organizations of these events will be responsible for preparing the terms of reference for the event, collecting the names of the participants, and establishing the budget for the events. The involvement of the government in the preparation of these events will be critical to the success of the events.

For regional events, CAFI secretariat could draft the ToR and share them with the national counterparts for endorsement.

#### Activity 3.1: Mobilization of Technical expertise and organization of workshops

Experts in relevant fields will be recruited to lead national or regional workshops and conferences with the objective of building capacity in some key technical domains and to reinforce coordination and collaboration within each country and across the region.

#### Activity 3.2: Communication on the results of the partnership with CAFI and on the reporting of progress and milestone achievement

The goal of this activity is to provide support to the Governments and national authorities to communicate on the objectives of the partnership with CAFI, progress made towards the achievement of the commitments under the Letter of Intent, and to share about the results of the CAFI projects. The project will also ensure proper visibility of the CAFI partnership (CAFI, donors, Governmental entities,). A Communication Officer will be recruited by UNOPS to collaborate with the CAFI countries and support them in the development of communication content. The Communication Officer will also provide capacity building support to the governments to develop the skills necessary to continue these tasks after the project ends.



#### **Output 4: Feasibility studies conducted to support the operationalization of the CAFI private sector facility**

In September 2023 CAFI launched a call for Expressions of Interest to support collaboration with **private sector companies** in order to address the drivers of deforestation and forest degradation in the following sectors:

- Charcoal value chains and clean cooking solutions
- Agriculture (including palm oil, maize, rubber, cocoa, coffee, and timber)
- Forestry
- Ecotourism and other innovative approaches to Forest Conservation

The technical assistance project will support the region in reaching CAFI objectives and capitalize on its investments for future CAFI-funded initiatives through the conduction of feasibility studies to capitalize on the collaboration with the private sector and ensure private sector buy-in of CAFI objectives and outcomes.

Many green land use activities are not intrinsically more expensive than destructive practices but face risks or information gaps that can increase costs and discourage investors. In some cases, private actors lack the knowledge or institutional capacity to make investments, to design interventions to target specific risks and costs. There are several information gaps including information on technologies, financial structures, and enabling environments.

Here the technical assistance project can help overcome those barriers by providing assistance for piloting new technology and approaches.

Activity 4.1: Provision for the contractualisation of feasibility studies on CAFI outcomes and objectives

Under the project, UNOPS will conduct feasibility studies contracting private companies, including entities pre-selected by the CAFI Board (represented by its appointed Chair), using the attached template, for future CAFI-funded projects in line with CAFI programming.

The table below provides a list of feasibility studies to be conducted by entities pre-selected by January 24th 2024:

**Table 1. List of entities pre-selected by January 24th 2024**

Name of the Company	Description of Activities	Estimated Amount
Criterion African Partner (CAP)	Feasibility study for mechanised harvesting and infield whole-tree processing of unwanted biomass followed by centralised conversion to charcoal using a retort technology in 10 sites around Kinshasa, DRC	\$500,000 USD
INTERHOLCO	Feasibility study for: 1) Increase log input transformation capacity of sustainably harvested wood to 300,000 m3 (i.e. 100,000 m3 to be added) via construction of 1 more transformation sawmill on existing industrial site, in response to government decision to stop roundwood export and to process 100% of wood harvested locally. 2) Reduce non-	\$500,000 USD



	biogenic emissions (Scope 1) by 40% by cogeneration of electric power with sawmill waste to support sustainably harvested wood transformation and rural electrification for 11,000 people 3) Upgrade biochar production from FSC-certified wood residues 4) Add biochar from FSC certified wood residues for C-sink and biochar-based product development 5) Make open Marantaceae forests (exposed to fire vulnerability) denser, thus reducing fire risk for 8,000 forest inhabitants 6) Conserve vital habitats and protected species via innovative approaches (such as, eco-tourism)	
ARISE IPP	Feasibility study for a large scale investment programme in 3 countries	\$500,000 USD
Mushiete & co.	Feasibility study for deforestation-free production and transformation of cassava and charcoal nearby Kinshasa DRC, the establishment of 5,625 hectares of sustainable plantation forests, the Installation of a cassava bread flour production plant, the Installation of a clean wood charcoal production plant, the Production of 6,844 t of cassava bread flour, the Production of 63,810 t of clean charcoal Sequestration of 480,000 tonnes of carbon	\$300,000 USD
GoCongo	Feasibility study to enable the deforestation-free production and local transformation of agro-commodities including maize, wheat, cassava, soya in Lubumbashi DRC (Output 1: Feasibility, Output 2: Multi-stakeholder Cassava/Bean production and processing on 6,000 ha, Output 3: 6,000 Ha Rice Farms (3 x 2,000 Ha), Output 4: 5000 ha of Eucalyptus and 5.000 hectares of commercial trial timber plantation, Output 5: 6,000 ha of multi-stakeholder Cashew plantation, Output 6: Extended 5,000 ha trial of palm oil plantation, Output 7: 50,000 ha of reforestation / afforestation, Output 8: Protection of 350,000 ha of existing forest and wetlands	\$500,000 USD

Under this Activity (4.1), the CAFI Board (represented by its appointed Chair) has hereby pre-selected the above-mentioned private sector companies to be contracted by UNOPS in accordance with the pre-selection letter(s).

Over the lifetime of this technical assistance project more companies will be selected to undertake similar feasibility studies. A template preselection letter is also attached as an annex of the PRODOC, to be filled out and signed by CAFI for any other potential preselected entity.

Under this output, UNOPS will use two contracting modalities; either preselection for private companies already selected by CAFI or contractualisation following a UNOPS procurement process.



Additional feasibility studies will be carried out under this output with private sector companies, based on availability of funds and approvals of the CAFI Executive Board, in the context of the private sector facility call for proposals<sup>3</sup>.

#### Activity 4.2 Provision for workshops, travel, DSA

A provision has been set aside for workshop, travel and DSA as a result of the feasibility studies if necessary.

### **Output 5: Research conducted to inform progress towards CAFI programming and milestone implementation through a dedicated CAFI Scientific Network**

Under this output, the technical assistance project will conduct research and studies on key CAFI issues to collect up-to-date data, convene partners to reach a consensus understanding of complex topics, inform future programming and Lol implementation as well as supporting CAFI's Monitoring, Evaluation and Learning Policy needs.

The CAFI Scientific Network will also support the African Tropical Rainforest Observatory Network (AfriTRON) through a dedicated output called Congo For 1.5. to be carried out by the University of Leeds.

Examples of key research questions and studies (non-exhaustive) that would be tackled by the CAFI Scientific Network are:

- Why forest cover (& change) and land-use (& change) data differ and which datasets (or combination of) would be best suited to measure and monitor changes in forest cover and land use at a regional level.
- Congo Basin forest maps.
- Which open data policies could be put in place to support forest and land monitoring in the CAFI countries and/or at the regional level.
- What the impacts of deforestation and forest degradation from different land use models are (e.g. community forests and other Lol related milestones).
- How the Congo Basin operates as an integrated system under climate and land use change.
- How the functions of the Congo Basin operate as an integrated system under climate and land use change,
- How do forest ecosystems recover in relation to agricultural intensification.
- What are the carbon dynamics of the forests in the Congo Basin depending on land use/cover and land use/cover changes?
- Maps and dashboards of biodiversity at relevant scales as well as support to biodiversity related issues for relevant initiatives.
- A framework for standardized socio-economic studies at project level and regional level.
- PES results monitoring using innovative and cutting-edge technologies.

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<sup>3</sup> <https://www.cafi.org/cafi-launches-call-expressions-interest-regional-private-sector-facility>





- How can the science/policy interface in the Congo Basin be strengthened?

Additional research questions and studies may be identified in the future in line with CAFI objectives and future funding.

The geographic area of the CAFI Scientific Network will be regional, i.e. it will cover the Congo basin forests of the CAFI countries. If needed and in agreement with CAFI countries, the geographic area can also be national.

<b>Example of research undertaken under the Scientific Network</b>
CAFI Scientific Network White Paper
High level paper & presentation on how and why forest cover (&change) and land-use (&change) data differ
White paper on Open Data Policies
Specific Congo Basin maps
Annual forest cover and land use data for the Congo Basin and countries
Funding for specific scientific questions to inform the implementation of CAFI programming
Maps and dashboard of biodiversity at relevant scale(s) as well as support to biodiversity related issues for relevant initiatives
Support and link with the NORAD-funded scientific monitoring of the PES mechanism
Framework for standardized socio-economic studies at project level (simplified – regular monitoring) and regional level (periodic, sample-based impact assessment)
Framework using cutting-edge technology for PES results monitoring using remote-sensing, LiDAR and drones

#### Activity 5.1: Provisions for grants to research institutions and universities

Under the project, a Scientific Network will be established with scientific partners from the region (research organizations and universities), who will conduct relevant research on key CAFI topics, based on identified needs and data gaps and to share information and discuss findings across countries. The objective of this network is to build stronger understanding across the region on key topics and synthesize potential conflicting results to support the implementation of CAFI programming, milestone implementation and will inform future strategic programming.

The activities to be organized under this output are the following:

- Research and studies on key CAFI issues (identified data gaps and needs) conducted by national and international research institutions



## Activity 5.2: Provision for workshop and travel, DSA

A provision has been set aside for workshop, travel and DSA as a result of the research conducted, if necessary.

### Section 3.e “Implementation processes and modalities” of the Project Document is amended as follows :

#### e) Implementation processes and modalities

This section describes the specific activities UNOPS will be responsible for, either through national entities or direct implementation. It also describes various processes employed by UNOPS to provide the assistance and support under this Project.

#### 1. Activities under UNOPS implementation

##### 1.1. Procurement of Equipment

- procurement of IT and communication equipment
- procurement of vehicles for project supervision and other relevant equipment

The governments or national entities may need equipment and materials to reach some of their commitment and objectives, for instance to do the supervision and monitoring and evaluation of projects. Therefore, the requests may include the purchase of IT equipment (computers, tablets, etc), vehicles and other equipment. Additional technical equipment may also be required for the monitoring and supervision in the field.

UNOPS will conduct procurement processes to purchase equipment and materials, based on their needs identified in the request by the governments and availability of funds. The procurement processes will be conducted following UNOPS rules, regulations, and procedures. UNOPS will rely on its Long Term Agreements (LTA) and its UnWebBuy platform<sup>4</sup> to procure the goods and equipment in a more time-efficient manner. If no LTA is available for the requested equipment, UNOPS will then launch a competitive procurement process to source the goods and equipment.

Each entity will be responsible to provide the technical specifications for the procured goods in the request for technical assistance form. Procured goods under this Project will include, but will not be limited to, vehicles, IT and communication equipment.

The roles and responsibilities of the Parties regarding procurement services under this Project, through direct implementation, will be divided as follows:

Activity		Governments	UNOPS
<b>Technical Specifications</b>	Providing the technical specifications and quantities for the goods and equipment to the procured	x	

<sup>4</sup> UNWebBuy (<https://unwebbuyplus.org>) is the UNOPS online catalog where goods can be directly purchased



	Reviewing technical specifications to ensure they meet requirements		X
<b>Supplier Contracts</b>	Solicitation, evaluation and management of supplier contracts		x
<b>Delivery</b>	Delivery of goods to their final destination	x	
<b>Customs Clearance</b>	Provide the originals of the shipping documents (BL/AWB, packing list, commercial invoice(s))		x
	Process and provide tax and customs exemption documents, if applicable	x	
	Conduct the custom clearance process	x	
<b>Import Customs Clearance</b>	Freight forwarder services		x
	Payment of fees related to the payment of customs clearance costs and provision of receipts, if applicable	x	
<b>Storage Costs</b>	Payment of storage costs related to the delay of the customs clearance process, if applicable	x (Government is responsible if the delay is related to document processing and/or payment of customs taxes)	x (UNOPS is responsible if the delay is related to the provision of shipping documents)
<b>Transportation</b>	Transportation of equipment from the place of arrival to the final destination		x
<b>Inspection &amp; Reception</b>	Inspection and reception of goods in place of arrival and/or final destination (where the inspection will happen can be determined on a case by case, provided that agreed by all Parties at the Project Steering Committee)	x	x
<b>Defects &amp; Notifications</b>	Follow-up with the supplier in the event that certain equipment is defective, not conforming to specifications or damaged during transport		x

UNOPS is responsible for the goods from the moment of their purchase until their final reception in the country of final destination. Each government will be responsible for the import customs clearance process of goods, based on its exemption taxes documents, as well as shipping documents provided by UNOPS. UNOPS will not be responsible for storage costs and penalties due to late payment of



customs charges and/or availability of exemption documents. The government will be responsible for the storage of the aforementioned goods once they have been delivered until they reach the final destination address. UNOPS responsibility will end at the port of entry of each country. The government will be responsible for the delivery of the materials to its final destination in the country.

## **1.2. Assistance provided for milestone implementation/reaching CAFI objectives and capacity building through advisory services**

The Project will also be able to provide advisory services in the form of technical experts and firms to assist the governments and the region in specific tasks such as:

### **A. Providing advisory services in regarding**

- legislation/policies matters, partnership contracts (MoU), letters of Intent, and legal frameworks in line with the CAFI objectives
- financial documentation (financial plans, budgets, etc) for project and programme implementation
- land use plans in few “communes”
- international best practices civil society safeguards, Social and environment safeguards, sexual harassment, project management
- the formalization of a national grievance mechanism for populations impacted by land use planning, protected area, and agricultural intensification programs
- Recruiting a firm or individual expert to conduct environmental impact assessments of investments in oil and mining sectors, and/or on the buffer zones of protected areas to support CAFI projects and programmes
- Recruiting a firm to support the creation and implementation of a national climate and conservation professional development program
- Recruiting a firm or IT experts to provide support to ensure that appropriate data base management, archives, and safeguards (firewalls) to secure national databases supported by CAFI programs
- Recruiting a firm to the organization of consultation missions led by Gov with several ministries in landscapes of interest for future investments
- Conducting feasibility studies and preparatory grants for new CAFI projects to be implemented
- Conducting an analysis of fuelwood and gas consumption and their supply chain for the cities of Brazzaville and Pointe Noire, identifying potential alternatives that can reduce the need for non-renewable fuelwood
- Conducting a study on foreign direct investment (FDI) (Forest, Mining, oil and agro-business) contributions to sustainable development, analysis of barriers & appropriate incentive mechanisms
- Conducting a study about domestic crops supply in basin for agro-industries
- Conduct relevant research on key CAFI issues based on identified needs and data gaps and strengthen the Science-Policy interface through a dedicated CAFI Scientific Network

### **B. Build the capacity of governments in:**

- Strengthening the capacity of the FONAREDD Secretariat (for more autonomy and rigorous mechanisms) in technical support in finance, HR, programming and other relevant fields



- Organizing training and capacity transfer to government entities with mandate to implement projects but lacking technical competence to deliver quality products (e.g GIS training for land use planning, agriculture suitability analysis, protected area expansion and management, HCV forest zoning, and database creation, management, and statistical analysis required to FREL reports).
- Organizing training and capacity transfer to prepare access of selected government / national entities in accessing funds from CAFI trust fund (fiduciary management, socio environmental impact assessments, etc)
- Conducting capacity assessments, HACT, PSEA assessments and other relevant financial assessments to determine the level of risks and readiness of selected national entities to receive funding to implement activities
- Provide training and capacity building to selected nationality entities to improve their financial and fiduciary management and processes to be eligible for direct access to CAFI trust fund

Some of these milestones are mentioned in the Letters of Intent, or part of recommendations from internal reviews, others may be identified during the introductory phrase and/or may have already been brought up to CAFI as a need. In order to support the government and the region in reaching these milestones, meeting CAFI objectives and building their capacity, UNOPS will deploy technical experts (international or national) through a recruitment process and/or consultancy firms through a procurement process to work with the governments, their sectoral ministries and national entities to provide technical support and expertise and support the government in achieving these milestones. As mentioned above, some of the firms may also be contracted through a pre-selection process. In these instances, UNOPS will follow its rules and regulations and obtain a preselection letter from CAFI Executive Board (represented by its appointed Chair) prior to engaging with the preselected entity.

#### Technical assistance and result-based capacity building

UNOPS will employ individuals or hire a firm based on the need identified, which may be in forest preservation, environment, biodiversity, IT, HR and finance, law and other related fields. These experts will be deployed to support the government, private sector, research organizations and civil society towards achieving milestone implementation and reaching CAFI objectives. For the recruitment processes, UNOPS will rely on its pool of retainers and UNDP pool of experts, conduct desk review to recruit and deploy the experts in a short timeframe. UNOPS may also rely on its LTAs with recruiting or consulting firms to contract rapidly and initiate the technical assistance activities.

The experts will also provide capacity building to key government actors, sectoral ministries. The capacity building will be targeted, result-focused and connected to the LOI outcomes. In the request, the countries will be responsible for specifying the needs, the type of technical assistance, the estimated duration of the assistance and any other relevant information.

If the request is approved, UNOPS will then initiate a recruitment process following its rules, regulations and processes or may use a consulting firm with which UNOPS has a Long Term Agreement with to facilitate the process and deploy the consultants within a short timeframe. UNOPS will also



work with the government and the CAFI Secretariat when needed<sup>5</sup> to validate the ToRs for the mission that will be in line with the request submitted. The expert will then be deployed to do the assigned work.

At the end of the mission, the expert(s)/firms recruited will write a report to describe the technical assistance provided and detail the deliverables accomplished. If the deliverables established in the request and ToRs from were not met, the report will lay out the reasons why. The government or beneficiary entity will then review the report and provide a few paragraphs on their assessment and results achieved or remaining to be achieved through this consultancy. Following the result-based model, the concrete results achieved from the technical assistance received will also determine the likelihood of receiving additional technical assistance and vice versa.

Under this activity, UNOPS will be responsible for providing advice, capacity building and support to the governments and the region in the fields identified above but UNOPS will not be held responsible for the achievement of milestone, or making any other concrete policy or action resulting from the technical assistance received. The governments will be responsible to take the advice and expertise received and apply it, as they deem appropriate, to reach the milestone results mentioned in the LOI, NIF or their programmatic frameworks. UNOPS shall not be liable to CAFI, or any of its donors, to the governments or other third party for any loss, cost, damage or liability that the governments shall incur as a result of the technical assistance activities provided by UNOPS, unless resulting from the gross negligence or wilful misconduct of UNOPS.

The decision between direct implementation by UNOPS and national implementation will be discussed and agreed upon in the COPIL, during the establishment of the annual work plans.

The roles and responsibilities, under direct implementation, for this Output are described below (this matrix also applies to Output 4):

Activity	CAFI	Governments	UNOPS
<b>Identification of the need</b>			
Preparation of the request including brief definition of the need and role(s) for the expert(s) to be deployed	x	x	
			x
<b>Recruitment and Selection (through UNOPS competitive process)</b>			
Preparation of Terms of Reference (TOR) for the technical assistance	x		x
Selection decision (recruitment process, desk review, contracting a firm through LTA or procurement process)			x

<sup>5</sup>All activities linked to the policy dialogue, requiring technical expertise will need the review of ToR by the CAFI sec.



<b>Recruitment and Selection (through preselection) * for feasibility studies only</b>	Preparation of Terms of Reference (TOR) for the technical assistance	x	
	Selection of the entities	x	
	Preparation and submission of the preselection letter	x	
	Preparation of the contractual documents		x
<b>Facilitation of the technical assistance activities</b>	Prepare the arrival of the expert(s) (collect the documentation, key information, etc)	x	
	Organise meeting with relevant government representatives during the technical assistance and ensure their availability	x	
<b>Technical assistance activities</b>	Within the range of activities listed above and on the matters agreed, provide day to day advice to the CAFI focal point. ,		x
	Conducting the work/tasks assigned described in the Terms of Reference during the technical assistance		x
<b>Quality Management</b>	Ensuring the experts perform as per their Terms of References and according to the tasks set out in the order of Mission		x
<b>Reporting</b>	Comment and review the report written by the consultant to be submitted to CAFI highlighting the steps taken towards milestone implementation as a result of the technical assistance received	x	

### 1.3. National and Regional Coordination reinforced

- **Organization of regional and national conferences**
- **Organization of workshops/consultations meetings**

In addition to logistical support and technical assistance, UNOPS may also support the planning and organization of events at the national and regional level to increase coordination between various actors, share lessons learned, discuss key thematic issues and build a common community of practice across the country, region. The activities may range from workshops to conferences or high-level meetings, consultations, based on the needs identified and requests submitted by the governments.





UNOPS will work with each government to prepare and plan these events and ensure that proper communication, description of roles and responsibilities are determined for the events to be successful. CAFI will also be consulted in the process and a key player in the organization of the national and regional events and initiatives.

The initiatives to be organized may be the following:

- National or regional workshops on technical proficiency topics related to the CAFI objectives
- National or regional conferences on lessons learned and shared experiences
- Consultation meetings/missions as part of a preparatory grant

Based on the requests received and the needs identified, the technical assistance and capacity building will also be provided through organizing events such as workshops, conferences or strategic meetings. Upon request approval, UNOPS will contract a firm through a competitive procurement process or through an active LTA for the organization of the events (conferences, workshops) and coordinate with relevant expert consultants who may need to intervene and participate in the events. The government reference person and relevant sectoral ministries involved in the organizations of these events will be responsible for preparing the terms of reference for the event, collecting the names of the participants, and establishing the budget for the events. The involvement of the government in the preparation of these events will be critical to the success of the events.

The activities under this category will also include the payment of travel, DSA and per diem for government officials and other participants. The payments will be made upon receipts and requests submitted by the government focal point. It is understood by all parties that UNOPS' role with respect to the payment of travel, DSA and per diem is that of a pay-agent and shall only be responsible to transfer the funds to the individuals, or otherwise carry any liability, for the performance of the individuals or any of the other parties including but not limited to the use of the funds.

Below are the roles and responsibilities for these activities (this table as well as the above paragraph also applies for DSA/travel under Output 4 and 5):

Activity		Governments	UNOPS
<b>Identification of the need</b>	Providing the details for the event to be organized <sup>6</sup>	x	x
<b>Finalization of the request</b>	Planning, budgeting the organization of the event	x	x
	Providing the list of participants for the event	x	
<b>Contractualisation</b>	Contractualisation of the firm to organize the event		x
	Planning and organization leading up to the event	x	x

<sup>6</sup> The government would need to specify the number of attendees, number of days of the conference, location and any other needs related to the organization of the conference (printing, equipment) at least one month in advance. The request form for this type of support would also specify this information.



<b>Planning the conference</b>	Providing the necessary information required in the planning	x	
<b>During the Conference</b>	Payment of DSA, travel and per diem for event participants upon request received		x
	Recruitment of expert providing a report to UNOPS after the workshop		x
<b>Post event reporting</b>	Compiling a report to CAFI outlining the outcomes and results from the event with regards to capacity building and milestone implementation	x	

## 2. Engagement and selection of national entities

Under the implementation of this project, national, private sector, research institutions or civil society entities from the 6 countries may qualify to receive funds to implement some of the activities directly to implement activities presented in the request. The decision between direct implementation by UNOPS and national implementation will be discussed and agreed upon in the COPIL and during the process of request approval. It can apply to any of the previous categories of activities mentioned (i.e., procurement of equipment, recruitment of consultants for advisory services, conducting of studies and research, and organization of workshops and conferences).

For the selection of the entities, UNOPS will follow an ad-hoc selection process using a tailored selection methodology. The methodology will involve the following steps:

- The CAFI Secretariat and the CAFI focal point in each country will submit to UNOPS names of potential entities that could qualify for national implementation. They may be entities that have already been implementing partners in recent CAFI projects, and some of these entities may already have a valid and acceptable HACT evaluation done. CAFI will provide UNOPS with relevant information and background of previous collaboration and partnership with the suggested entity.
- If an entity has a valid HACT assessment conducted less than 5 years ago by another UN Agency, and with an acceptable score, UNOPS will not need to conduct another capacity assessment and will be able to engage with the entity following UNOPS grant support principles related to selecting entities in line with ad-hoc exception grounds and reviewing/evaluating respective proposals.
- For the other entities who cannot evidence a valid and acceptable HACT assessment, a standard capacity assessment process will be conducted by UNOPS to determine the suggested entity's capacities in order to receive the grant funds under the project. In order to do so, UNOPS will conduct a capacity assessment or HACT evaluation, including Prevention of Sexual Exploitation and Abuse assessments (PSEA). These assessments will determine if the entity can be eligible to receive grant funds to implement activities under the project; typically entities assessed with a low or



medium risk with no red flags identified. Under this ad-hoc selection methodology, the right to approve or reject a recommended entity shall remain with UNOPS.

Once the eligibility has been confirmed, these qualified entities will submit a request/proposal through the respective CAFI Focal point in their country including them as the implementing entity under national implementation modality. The proposal will need to be reviewed and approved with the budget allocation, in line with the decision from the COPIL and semi-annual workplan and upon availability of funds. If all these conditions are met, UNOPS will sign a Project Cooperation Agreement (PCA) for central-level government entities or Grant Support Agreement (GSA) for other entities (grantees as per standard definition), for the implementation of the activities with details about the responsibilities of the entity and the scope of the activities. UNOPS will undertake the programmatic and financial monitoring of activities which may include following risk mitigation measures depending on the risk rating under the capacity assessment (depending the risk level and grant amounts, the frequency of the monitoring may differ):

- conducting field visits
- spotchecks
- audits
- programmatic monitoring

UNOPS will report to CAFI on the delivery of the activities implemented by the grantees and the use of the funds.

Note: In cases where a selection process has already been initiated/conducted by CAFI and/or the Board has already approved the selection of a specific entity, UNOPS will use the preselection methodology to contract the preselected entity, in line with UNOPS rules and regulations regarding preselection.

The following matrix describes the roles and responsibilities of parties for the management of these grants:

Grant Management		CAFI	Governments/National entities	UNOPS
Ad-hoc Selection Process with tailored methodology	CAFI Secretariat and/or CAFI EB and CAFI country focal points submit potential entities for national implementation	x	x	
	UNOPS conducts capacity assessment and/or HACT evaluation + PSEA assessment to determine the capacity of national entities			x
	UNOPS may approve eligible entities with acceptable score (medium or low risk) based on the capacity assessment results			x
	UNOPS sends a Call for Proposal (using the attached template) to the eligible			x



	entity, unless a call for proposal was already initiated by CAFI		
	The proposal from the eligible entities are reviewed by UNOPS and CAFI	x	x
Preselection methodology (only applicable for research organizations, universities and NGOs)	CAFI submits a Request and a preselection letter following the template attached in the PRODOC	x	
	UNOPS conducts capacity assessment and/or HACT evaluation + PSEA assessment		x
Signature of a PCA/GSA	Once project activities have been approved by the COPIL, the eligible and selected entities will sign a PCA or GSA with UNOPS for the implementation of established activities under the project.	x	x
Disbursement of funds to the grantees	UNOPS will disburse the funds to the entities for the implementation of the activities in line with agreements.		x
Monitoring of grantees activities	Monitoring of activities of the entities to be carried out by UNOPS to follow up on the implementation of activities		x
Financial monitoring (Spotchecks, Audits)	UNOPS may conduct spot checks, audits to follow up on the use of the funds by the entities		x
Reporting	The entities will report back to UNOPS on the project deliverables and the use of the funds and UNOPS will provide reporting to CAFI	x	x

### Project exclusions

The scope and design of this Project will exclude the following activities and services:

- Infrastructure-related activities

This project is not designed, at this stage, to support the implementation of activities that would include infrastructure works. If specific requests include infrastructure components and needs are expressed to include infrastructure activities under this project, an addendum to the PRODOC will be developed to expand the project scope and make the necessary adjustments in the budget and PRODOC, subject to UNOPS rules and procedures.

- Adoption and passing of legislation



Under the Project, UNOPS will operate the Technical Assistance Facility to provide technical and support to the CAFI countries. When a request for assistance will include support in developing and passing new legislation, UNOPS role, through the consultants or firms recruited, will be limited to organizing consultation sessions with relevant government representatives to discuss this new legislation, and obtaining feedback from the government representatives on the new legislation. The process of drafting, adopting and ratifying a legislation will be outside of UNOPS responsibility and outside of the scope of the Project, as it is an inherent process to each government.

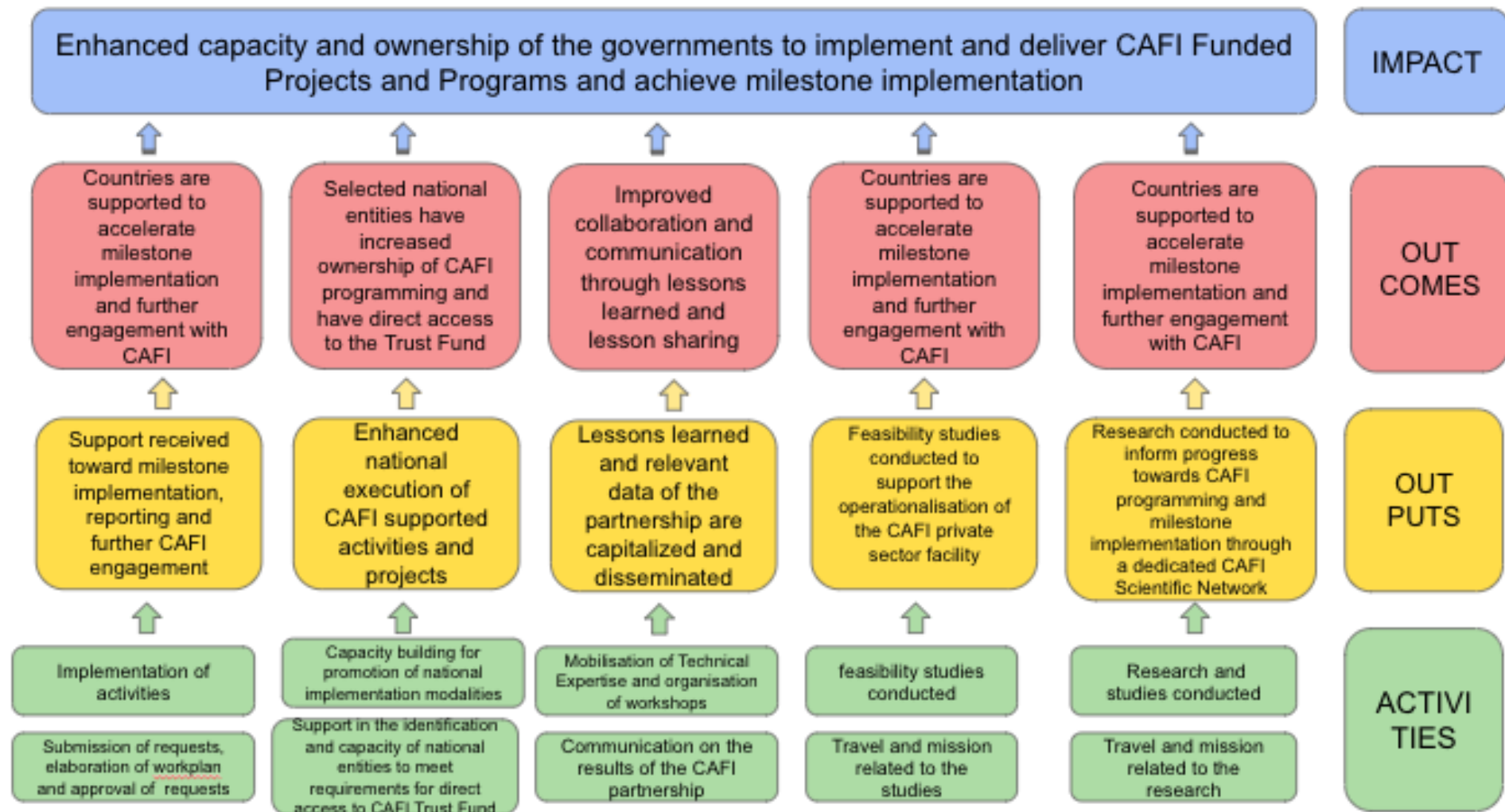
Section 3.f “Theory of Change Diagram” of the Project Document is amended as follows :

**f) Theory of Change Diagram**

- Schematic presentation of the Theory of Change

This project aligns with the CAFI Theory of Change and more particularly the governance pillar which aims to “improve fiscal policies, transparency and intersectoral coordination”. The Project will also aim to attain the other pillars objectives through supporting reforms and policies in forestry, land use and planning, biodiversity, in agriculture, etc.

The Theory of Change diagram for this project is as follows:





Section 3.g “National ownership and sustainability of the project” **of the Project Document is amended as follows :**

**g) National ownership and sustainability of the project**

The purpose of this Project is to provide technical assistance to the governments of 6 Central African countries and to the region to support them in reaching milestone implementation and provide capacity building so that they can achieve the CAFI outcomes and set up necessary mechanisms and systems to receive, manage and implement CAFI projects. This technical assistance project is aiming at building national capacity and ownership so that each government can acquire the necessary tools, mechanisms and legislative frameworks to reach their milestone.

In terms of sustainability, the technical assistance intervention will be targeting specific needs and skills for each government to develop in order to manage CAFI funds and CAFI projects more independently. This includes capacity building and accompaniment so that selected entities can build the necessary skills and capacity to be eligible for direct access to the CAFI trust fund.

Section 4 “Results Framework and contribution to LOI milestones” of the Project Document is amended as follows :

**2) Results Framework and contribution to LOI milestones**

**a) Results framework**



**Table XX: Results Framework**

								Links to		
Indicators <sup>7</sup>	Reference situation, specifying the year and the source of the data	Mid-term target (or end of phase in the case of a project funded in tranches)	Target at the end of the project	Means of verification <sup>8</sup>	Frequency of information on the indicator	Follow-up requires an additional specific budget (Y/N)	Assumptions and risks	Letter of Intent	CAFI Results Framework	NIF Results Framework <sup>9</sup>
<b>IMPACTS</b>										
nb of LOI milestones met by CAFI countries as a result of the support (direct or indirect) received from the project	0 LOI milestones met by CAFI countries as a result of the support (direct or indirect) received from the project	2 LOI milestones met by CAFI countries as a result of the support (direct or indirect) received from the project	4 LOI milestones met by CAFI countries as a result of the support (direct or indirect) received from the project	project reports, annual reviews, Coordination meeting, reviews, milestone targets	Quarterly, semi-annually, annually		A responsibility lies with the respective governments to capitalize on the assistance received and achieve greater progress towards their milestones implementation.			
nb national entities able to implement activities through NIM or supported towards direct access	0 national entities able to implement activities through NIM or supported towards	2 national entities able to implement activities through NIM or supported towards	3 national entities able to implement activities through NIM or supported towards	project reports, annual reviews, Coordination meeting, reviews,	Quarterly, semi-annually, annually		In order to build capacity for increased ownership and involvement of the national entities within CAFI programming, there needs to be ongoing and strong implication of government entities during the implementation of this project			

<sup>7</sup> Where relevant, indicators should be disaggregated by gender and Indigenous peoples.

<sup>8</sup> For example: surveys/questionnaires, government data and records, focus groups, field observations, operator activity reports, document review, GIS data, interviews, other.

<sup>9</sup> National REDD+ Investment Framework (or National REDD+ Investment Plan)



	direct access	direct access	direct access	milestone targets						
Central Africa region grows its capacity to leverage new investments through availability of relevant research and feasibility studies	0 research or feasibility studies conducted	8 research or feasibility studies conducted	20 research or feasibility studies conducted	project reports, annual reviews, Coordination meeting, reviews, milestone targets	Quarterly, semi-annually, annually		The research and studies conducted would be conducted in a unbiased way in order to collect and consolidate accurate data to inform future CAFI projects and initiatives			
								Brief description	Brief description and number of the indicator	Brief description
<b>CAFI OUTCOME 7</b>										
<i><b>Better inter-ministerial coordination and governance</b> resulting in a permitting, enforcement and fiscal regime of economic activities that do not push economic actors to forest conversion and illegal activities; and a <b>business climate</b> favourable to forest-friendly investments.</i>										
<b>Output 1:</b>										
Support received toward the acceleration of milestone implementation, reporting and further CAFI engagement										
nb requests submitted, workplan elaborated nb requests approved	0 requests submitted 0 workplan elaborated and 0	5 requests submitted 2 workplans elaborated, 5 requests approved	20 request submitted, 6 workplan elaborated , 15	COPIL meeting reports, UNOPS reports, workplans	Quarterly, semi-annually, annually		For requests to be approved, they will need to follow the process map presented in the PRODOC, be submitted by the CAFI focal points and signed off by CAFI. The requests will also be addressed upon availability of funds and			



	request approved		requests approved				based on the semi-annual work plan. Note: the number of requests approved may need to be adjusted based on the request amounts and the availability of funds			
nb of activities implemented by type (TA, logistic support, events)	0 technical assistance activities, 0 procurement activities and 0 workshops /events conducted	x technical assistance activities, x procurement activities and x workshops /events conducted	x technical assistance activities, x procurement activities and x workshops /events conducted	COPIL meeting reports, UNOPS reports, workplans	Quarterly, semi-annually, annually		The exact number and details of activities is not yet known as requests have not yet been submitted. As of now, provisions have been set up for each type of activity to be implemented. Based on the actual requests, the provision per activities may need to be reviewed or revised.			
<b>Output 2:</b>										
Enhanced national execution of CAFI supported activities and projects										
nb national entities identified nb HACT assessments conducted nb entity receiving grants	0 national entities identified for NIM 0 HACT, 0 entity receiving grants	4 national entities identified 3 HACT assessments conducted 1 entity receiving grants	8 national entities identified for NIM 6 HACT assessments 3 entities receiving grants	Nb of requested implemented through NIM HACT evaluations	Quarterly, Annually,		For National entities to qualify for national implementation, a number of capacity assessments, evaluations (HACT, etc) will need to be performed and show no high risk or red flag identified. Target numbers may need to be revised once the number of tentative entities is known			
nb national entities identified nb pre accreditation assessments conducted nb entity reinforced based on assessment results	0 HACT conducted 0 training/capacity building activities organized	4 HACT conducted 2 training/capacity building activities organized	6 HACT conducted 4 training/capacity building activities organized	HACT evaluations, reports, audits	Quarterly, Annually,		UNOPS will work with the CAFI Secretariat and/or EB on obtaining the names of national entities to conduct HACT assessments and other capacity building activities. Target numbers may need to be revised once the number of tentative entities is known			



nb entity deemed eligible		1 entity meeting criteria of eligibility for direct access	2 entity meeting criteria of eligibility for direct access							
Output 3:										
Lessons learned of the partnership are capitalized and disseminated										
nb of workshop-conferences supported to communicate on lessons learned	0 workshops /conferences/ high level meeting organized	2 workshops/ conferences / high level meeting organized	4 workshops /conferences/ high level meeting organized	UNOPS reports,	Quarterly, Annually,		Conferences, workshops and communication about CAFI programming will lead to enhanced capacity building, improved programming and coordination			
nb of communication support produced/ disseminated nb of consultant recruited	0 communication consultant recruited, 0 communication disseminated	1 communication consultant recruited 5 communication disseminated	1 communication consultant recruited 10 communication disseminated	UNOPS reports,	Quarterly, Annually,		The communication consultant will work and accompany the countries in preparing and developing communication documents (social media, case studies, webpage, etc) about the results of CAFI partnership. The communication will be reviewed by CAFI prior to being disseminated			
Output 4										
Feasibility studies conducted to support the operationalisation of the CAFI private sector facility										
nb of Feasibility studies conducted to leverage future CAFI projects with the private sector	0 feasibility studies conducted	4 feasibility studies conducted	8 feasibility studies conducted	project reports, milestone reports CAFI coordination meetings,	Quarterly, semi-annually, annually		Feasibility studies need to be well-budgeted and ensure that necessary information will be collected for the establishment of robust projects			



				EB meetings						
Output 5										
Research conducted to inform progress towards CAFI programming and milestone implementation through a dedicated CAFI Scientific Network										
Increased research/studies available to inform CAFI programming and milestone implementation	0 research/studies conducted	4 research/studies conducted	8 research conducted	project reports, milestone reports CAFI coordination meetings, EB meetings	Quarterly, semi-annually, annually		The Scientific Network will need to ensure that data is not only collected but consolidated and synthesized across the region for comprehensive and accurate data to be generated regionally. Also would need to ensure that data is collected from a unbiased point of view, following rigorous and transparent methodology			

**Note: Given the specific nature of this project to provide targeted assistance and support to CAFI countries, the targets presented in this framework may need to be adjusted based on the requests and needs that will be implemented under the project. Any adjustment will need to be presented and reviewed by the COPIL**



**Section 7 “Stakeholder Engagement Strategy” of the Project Document is amended as follows :**

## **7 ) Stakeholder Engagement Strategy**

### **b) Government**

The implication of the governments will be critical to the success of this project. This project will require good coordination and communication within each government between the CAFI focal points and the other sectoral ministries in the identifying, preparation and submission of a request. If a request is granted, the government will need to work with UNOPS on the implementation, providing the necessary information and details and do some necessary preparation and planning. After the activity has been conducted, the government will review the report submitted by the consultant and provide an explanation to CAFI to highlight how the activity has supported them in reaching one or more implementation milestones and what concrete steps they have taken in line with the CAFI objectives.

Under this Project, national entities will also have an opportunity to receive funds to implement activities directly once micro-evaluation/capacity assessments have been conducted and the level of risk identified has been low or medium.

### **c) Donors and development partners**

The Project team will collect information about other ongoing projects in line with the CAFI objectives and look at other donors and development partners providing funding in similar areas of interventions.

### **d) Civil society**

Civil Societies Organizations that are involved in the implementation of CAFI projects and/or work in fields related to CAFI objectives, may participate in the Project, attend workshops or conferences and/or assist experts in collecting information. They may be indirect beneficiaries of the technical assistance requested by the government.

### **e) Private sector**

Local and international private sector organizations will be involved in the Project and be recruited by UNOPS through a competitive procurement process to provide goods and services under this project such as procurement of vehicles, equipment, organization of events (workshops, conferences), recruitment of experts/consultants, and conducting of feasibility studies. Before conducting an international process, UNOPS will look in each of the countries if the expertise required is available locally.

At the country level, private sector entities partnering with the government on the CAFI Project may also benefit from the technical assistance and participate in events organized under this Project and/or be indirect beneficiaries of technical assistance through the government.

### **f) Other: Educational and/or research organizations**



Educational or research organizations may be contracted by UNOPS to conduct research based on the requests from the governments and in line with the CAFI objectives, particularly as part of the scientific network initiative.





**Section 12 “Budget, work plan and timeline” of the Project Document is amended as follows :**

**12) Budget, work plan and timeline**

**g) Work plan and budget by output/activity**

Note: This workplan per output/activity is tentative given that the details of the activities to be implemented are yet to be known; it may be adjusted during project implementation with the approval of the COPIL, once requests are known.

Output	Activity	Activity Title	Implementing Organisation	Implementing Partner	Period (min. per year)			CAFI Budget
					A1	A2	A3	
<b>A. PROJECT OUTPUTS COSTS</b>								
<b>Output 1: Support received to accelerate milestone implementation, reporting and and/or the preparation of commitments</b>								
1	1.1	Activity 1.1 : Submission of requests, elaboration of Annual work plans and approval of requests			\$ 14,550	\$ 14,550	\$ 14,550	\$ 43,650
1	1.2	Activity 1.2 : Implementation of activities			\$ 1,232,002	\$ 772,274	\$ 589,724	\$ 2,594,000
<b>Output 2: Enhanced national execution of CAFI supported activities and projects.</b>								
2	2.1	Activity 2.1: Promotion of national implementation modalities with reduced level of risks to receive grants to implement activities under the Project			\$ 1,610,869	\$ 1,268,267	\$ 1,251,267	\$ 4,130,403
2	2.2	Activity 2.2: Support to the identification and capacity building of national entities to meet the requirements for direct access to the CAFI trust fund			\$ 147,566	\$ 77,825	\$ 60,175	\$ 285,565
<b>Output 3: Lessons learned of the partnership are capitalized and disseminated</b>								
3	3.1	Activity 3.1: Mobilization of Technical expertise and organization of workshops			\$ 376,504	\$ 278,148	\$ 395,348	\$ 1,050,000
3	3.2	Activity 3.2: Communication on the results of the partnership with CAFI and on the reporting of progress and milestone achievement			\$ 37,800	\$ 37,800	\$ 37,800	\$ 113,400



Output 4: Feasibility studies conducted to leverage private sector investment								
4	4.1	Provision for contractualisation for feasibility studies on CAFI outcomes and objectives			\$ 4,453,978	\$ 4,453,978	\$ -	\$ 8,907,957
	4.2	Provision for workshop, travel, DSA			\$ 25,000	\$ 25,000	\$ -	\$ 50,000
Output 5: Research conducted to inform progress towards CAFI programming and milestone implementation								
	5.1	Provision for grants to research organisations and universities for studies and research			\$ 2,038,333	\$ 2,038,333	\$ 2,038,333	\$ 6,115,000
	5.2	Provision for grants to research organisations and universities for studies and research			\$ 8,333	\$ 8,333	\$ 8,333	\$ 25,000
TOTAL PROJECT OUTPUTS COSTS					\$ 9,944,936	\$ 8,974,509	\$ 4,395,530	\$ 23,314,975
B. PROJECT MANAGEMENT COSTS (PMC)								
PMC	Pers nnel	Project Manager	UNOPS		\$ 171,000	\$ 171,000	\$ 171,000	\$ 513,000
PMC	Pers nnel	PSO/Finance	UNOPS		\$ 79,800	\$ 79,800	\$ 79,800	\$ 239,400
PMC	Pers nnel	HR Associate	UNOPS		\$ 7,000	\$ 7,000	\$ 7,000	\$ 21,000
PMC	Pers nnel	Procurement Associate	UNOPS		\$ 22,600	\$ 22,600	\$ 22,600	\$ 67,800
PMC	Pers nnel	M&E Officer	UNOPS		\$ 96,000	\$ 96,000	\$ 96,000	\$ 288,000
PMC	Pers nnel	Outreach & Public Relations	UNOPS		\$ 25,650	\$ 25,650	\$ 25,650	\$ 76,950
PMC	Opera tions	Communication for the project team	UNOPS		\$ 4,800	\$ 4,800	\$ 4,800	\$ 14,400
PMC	Opera tions	Office rent and Office furniture	UNOPS		\$ 10,000	\$ -	\$ -	\$ 10,000
PMC	Opera tions	Computers	UNOPS		\$ 4,800	\$ -	\$ -	\$ 4,800
PMC	Opera tions	UNDSS Radio	UNOPS		\$ 3,600			\$ 3,600



PMC	Operations	UNDSS + Clinic Contributions	UNOPS		\$ 1,200	\$ 1,200	\$ 1,200	\$ 3,600
PMC	Operations	Communication/Visibility/launch event/ceremonies	UNOPS		\$ 40,000	\$ -	\$ -	\$ 40,000
PMC	Travel /DSA	Provision for DSA for the Project team	UNOPS		\$ 13,333	\$ 13,333	\$ 13,333	\$ 40,000
PMC	Travel /DSA	Provision for travels/transport for Project team	UNOPS		\$ 17,774	\$ 17,774	\$ 17,774	\$ 53,321
PMC	Support Costs	Support Costs (GSS and LSS)*	UNOPS		\$ 327,975	\$ 297,110	\$ 162,741	\$ 787,825
PMC	Evaluation	Evaluation finale externe	UNOPS		\$ -	\$ -	\$ 100,000	\$ 100,000
<b>TOTAL PMC</b>					\$ 825,532	\$ 736,266	\$ 701,898	\$ 2,263,696
<b>TOTAL PROJECT DIRECT COSTS</b>					\$ 10,770,468	\$ 9,710,776	\$ 5,097,427	\$ 25,578,671
		<b>Total PMC for IO 1</b>						\$ 25,578,671
<b>TOTAL PROJECT INDIRECT COSTS (cannot exceed 7.00%)</b>					\$ 417,421	\$ 376,352	\$ 197,556	\$ 991,329
<b>TOTAL COSTS</b>					\$ 11,187,889	\$ 10,087,127	\$ 5,294,984	\$ 26,570,000

#### h) Budget by UNDG categories

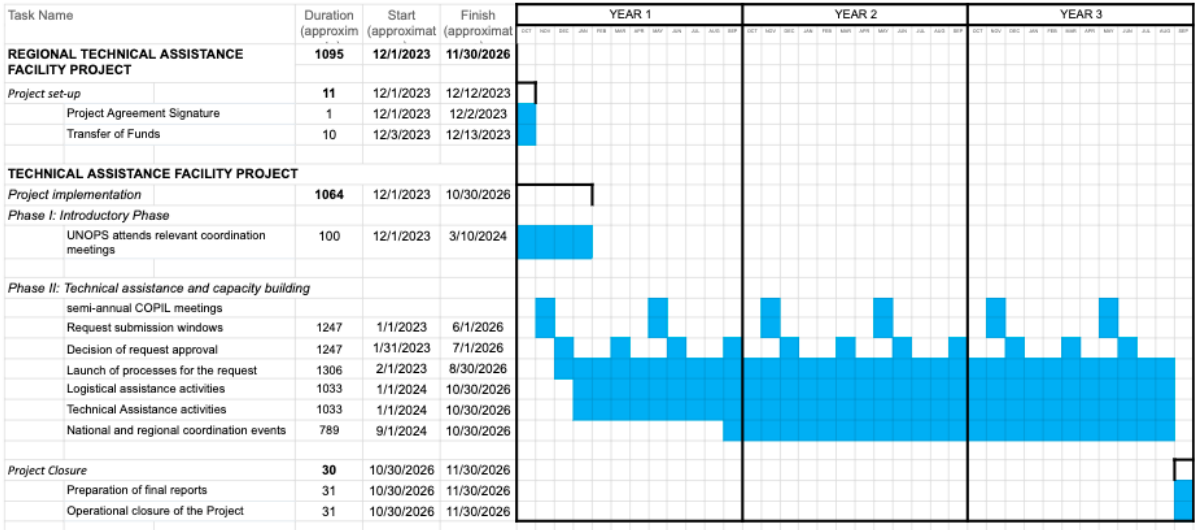
The table(s) presented in Tab C of the Excel budget file should be inserted here. Please note that this table applies only to funding from the CAFI fund.

BUDGET CATEGORIES UNDG		TOTAL USD	Tranche 1	Remaining
1	Staff	\$1,363,200	\$454,400	\$908,800
2	Supplies, commodities, materials	-	-	-
3	Equipment, vehicles and furniture (including depreciation)	\$500,000	\$200,000	\$300,000
4	Contractual services	\$13,769,925	\$6,457,579	\$7,312,346
5	Travel	\$593,321	\$231,114	\$362,207
6	Transfers and grants to counterparts	\$8,488,000	\$3,035,000	\$5,453,000
7	General operating and other direct costs	\$864,225	\$392,375	\$471,851
<b>Total Direct Costs (USD)</b>		\$25,578,671	\$10,770,468	\$14,808,203
8	Indirect support costs (Max. 7%)	\$991,329	\$417,421	\$573,908
<b>Total Costs (USD)</b>		\$26,570,000	\$11,187,889	\$15,382,111



Note: The yearly budget has been established as per the recommendations from the Executive Board of CAFI; if additional funds are requested within a given year to implement requests presented to the COFIL; the tranche allocations may be adjusted to meet these needs.

i) Project operationalization plan  
Tentative work plan



Note: After the results of the first year of project implementation, the work plan may be revised or adjusted.

Section 10 “Appendices” is supplemented by the insertion of Appendix 1 : “Preselection letter template”

APPENDIX 1: Preselection letter template

[AGENCY LETTERHEAD]

United Nations Office for Project Services (UNOPS)  
Marmorvej 51, PO Box 2695  
2100 Copenhagen, Denmark



Attention: [UNOPS Contact Person]

Dear [UNOPS Contact Person],

**RE: LETTER OF REQUEST FOR PRE-SELECTION IN PROCESS FOR[PROJECT]**

We refer to the Multi Partner Trust Fund for the Central African Forest Initiative (the “CAFI MPTF”) funded by [list of donors] (the “Donors”) under their respective agreements with the United Nations Development Programme (UNDP). The Donors jointly form the CAFI Executive Board. The United Nations Office for Project Services (UNOPS) is one of the Participating United Nations Organizations to the CAFI MPTF and is therefore implementing activities as described in the programmatic document entitled Regional Technical Assistance Facility dated 28 November 2023, as amended on [date], endorsed by the Donors (the “Prodoc”).

According to the CAFI MPTF, *“the implementation the programmatic activities will be the responsibility of the Participating UN Organizations and will be carried out by each Participating UN Organization in accordance with its own applicable regulations, rules, policies and procedures including those relating to procurement as well as the selection assessment of implementing partners”*. Notwithstanding the above, the Donors, jointly through the CAFI Executive Board by delegation of authority, may be able to use and rely on the CAFI selection rules and processes to pre-select some of the UNOPS implementing partners in accordance with the CAFI [include documents name].

The CAFI Executive Board, represented by its appointed Chair, hereby write to inform UNOPS that in accordance with the CAFI governance documentation, the CAFI Executive Board has pre-selected the following entity(ies) to be contracted by UNOPS in the context of the Prodoc :

1. [Entity] [Activities] [Budget]
2. [Entity] [Activities] [Budget]
3. [Entity] [Activities] [Budget]

The Chair of the CAFI Executive Board warrants that the Donors have delegated all pre-selection decisions to the CAFI Executive Board, represented by its appointed Chair, to pre-select entities in relation to activities implemented by UNOPS outlined in the Prodoc.

The CAFI Executive Board confirms that all selections of pre-selected entities comply with the CAFI selection rules and processes, which adhere to the Donors’ respective internal rules, regulations and procedures.

Furthermore, since the pre-selection is outside UNOPS’ control, the CAFI Executive Board, including the Donors, recognize and agree that UNOPS shall not be accountable, or otherwise carry any liability, for the performance of the pre-selected entities.



Yours sincerely,

The CAFI Executive Board represented by XXX, Chair of CAFI Executive Board  
**[Agency Representative of same level that signed the Agreement or lower level representative with the proper delegated authority]**

[Acknowledged by UNDP]

APPENDIX 2: Call for Proposal Template



# CALL FOR PROPOSALS

[Insert the title of the grant/funding]

CFP reference number:<sup>10</sup> [Insert here]

CFP document issue date: Sep 1, 2022

indicated. Content to be completed is highlighted in gray, either with or without additional instructions in brackets, and should be completed by fully replacing all the gray highlights with the relevant text. Additional information and instructions are also provided in yellow highlighted text and should be deleted prior to the completion of the CFP document. The final version of the CFP document should not include any gray or yellow highlights.

All fields in this template are **mandatory** unless indicated otherwise.

**Example: Placeholder text to be completed by UNOPS team:**

The applicant has been in continuous operation during the last [insert number] year(s).

**Example: Information or instructions for the UNOPS team to be deleted upon completion of this CFP:**

Identify whether partial proposals will be allowed. Delete the option below that does not apply to the present CFP document.

For adding or deleting rows in tables, Right-click and:

+ Insert row above
+ Insert row below
+ Insert column left
+ Insert column right
🗑 Delete row
🗑 Delete column
🗑 Delete table

## HOW TO USE THIS TEMPLATE

(delete this text after completing this template)

The UNOPS team shall be responsible for completing this CFP template by including the relevant content, where

<sup>10</sup> The reference number may contain a three letter country code/funding source or client/engagement number/current calendar year/chronological sequence number of the grant in the current calendar year. For example, the tracking number for the third grant to be issued under engagement no. 21405 in Iraq during the 2019 calendar year will read: IRQ/UNMAS/21405/2019/003.



# 1. PARTICULARS

When the grant/funding includes multiple packages, details about each package should be included under each section below, as relevant.

## 1.1. UNOPS project objective(s)

[Describe the objectives of the UNOPS project under which this grant/funding opportunity is available.]

## 1.2. Background and objectives of the grant/funding

[Describe the background or context and objectives of the grant/funding. The objectives of the grant/funding should be consistent with one or more of the UNOPS project objectives and any guidelines issued by the funding source.]

## 1.3. Targeted impact of the grant/funding

[Indicate the expected impact and outcomes from the available grant/funding.]

## 1.4. Scope of the grant/funding

[Indicate the scope of this grant/funding, specifying the relevant sectors, types of interventions, location of the interventions (if known) and other information.]

## 1.5. Target beneficiaries

[Indicate the beneficiaries being targeted through this grant/funding.]

## 1.6. Activities under grant/funding

[Delete this section if not relevant to this CFP. Insert a list of specific activities, if known, to be implemented through this grant/funding. Please also indicate the relevant details, where applicable.]

## 1.7. Lessons learned

[Indicate any lessons learned and/or risks, both threats and opportunities, identified during the implementation of similar initiatives at UNOPS to inform the applicant's approach. Delete this section if not relevant to this CFP.]

## 1.8. Grant/funding available

Delete this Section 1.8 "Grant/funding available", and any subsections within this section, if not relevant to this CFP. Complete the fields below if the number and total amount of the grant/funding will be disclosed to potential applicants, along with any limits on the amount of grant/funding per applicant.

### Total amount of grant/funding available

The following table indicates the total amount of grant/funding available under this Call for Proposals.

Currency	Amount	Amount in words
[Insert abbreviation]	[Insert amount in numerals]	[Insert amount in words]

### Grant/funding amount limit per applicant

The following table indicates the limit of grant/funding allowable per applicant under this Call for Proposals.

Currency	Amount	Amount in words
----------	--------	-----------------





[Insert abbreviation]	[Insert amount in numerals]	[Insert amount in words]
-----------------------	-----------------------------	--------------------------

**Grant/funding amount limit per applicant per package**

The following table indicates the limit of grant/funding allowable per applicant for each package under this Call for Proposals.

	Currency	Amount	Amount in words
Package 1	[Insert abbreviation]	[Insert amount in numerals or 'Not applicable']	[Insert amount in words or 'Not applicable']
Package 2	[Insert abbreviation]	[Insert amount in numerals or 'Not applicable']	[Insert amount in words or 'Not applicable']
Package 3	[Insert abbreviation]	[Insert amount in numerals or 'Not applicable']	[Insert amount in words or 'Not applicable']

[Identify any other restrictions related to the budget. Delete this field if not relevant.]

**1.9. Grant/funding duration**

Delete this section if not relevant to this CFP.

The expected duration of the grant/funding is:

YEAR(S)	[12]	MONTH(S)	[12]
---------	------	----------	------

**1.10. Applicant eligibility**

**Applicant category(ies)**

Remove any categories from the list below that are not applicable for this CFP (Right-click -> Delete row) and provide any clarifications needed in the space next to each category.

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

- ❖ Non-governmental organizations (NGOs)
- ❖ Foundations
- ❖ Indigenous peoples organizations (IPOs)
- ❖ Civil society organizations (CSO)
- ❖ Grass-roots organizations
- ❖ Institutions or federations
- ❖ Ethnic organizations
- ❖ Academic and research institutions
- ❖ Local or regional branches of government, such as municipalities
- ❖ For-profit entities
- ❖ Individuals
- ❖ Central-level government entities
- ❖ Non-UN intergovernmental organization
- ❖ UN system organization

.....



### Applicant country of registration and nationality

Applicants that are included or excluded under this Call for Proposals with regard to country of registration and nationality (for individuals) are as follows:

Select option here [Insert country(ies) here]

[Provide any other information required from applicants relating to countries of registration or nationalities. Delete this field if not relevant.]

### 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.

[Identify any further conditions of ineligibility. Delete this subsection if not relevant.]

## 1.11. Content of proposal submissions

The templates listed below are relevant for applicants to document their compliance with the evaluation criteria:

- [Proposal](#)
- [Annex 1: Declarations](#)
- [Annex 2: PSEA implementing partner self-assessment](#)
- [Annex 3: Financial proposal](#)

The UNOPS team may add any additional information or annexes below that are required by applicants as part of the Proposal or as an additional annex.

The UNOPS team may use alternate forms; however, all fields identified in the standard Proposal template and annexes must be covered in any alternate forms used. Sections that are not applicable (e.g., Section 7: Joint venture, consortium or association members, Section 8: Key personnel and Section 9: Curriculum vitae(CV) or resume) may be deleted from the Proposal template.

Applicants shall include the following:

- **Proposal**
- **Annex 1: Declarations**
- **Annex 2: Protection from sexual exploitation and abuse (PSEA) implementing partner self-assessment**
- **Annex 3: Financial proposal**

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

## 1.12. Partial proposals

Identify whether partial proposals will be allowed. Delete the option below that does not apply to this CFP. Partial proposals will not be permitted. Applicants shall submit a proposal for the total scope of the grant/funding and address all of the requirements in this Call for Proposals. Evaluation will be based on compliance with the total requirements.

Applicants are permitted to submit proposals for one or more of the packages identified above and in the Requirements. For each package included in the partial proposal, applicants shall submit a proposal for one hundred (100) per cent of the grant support project activities and the quantities specified for each package. Evaluation will be completed separately for each package in the proposal.



### 1.13. Sub-granting<sup>11</sup> and contracting<sup>12</sup>

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

Sub-granting	Select an option
Contracting	Select an option

#### Activities not permitted to be sub-granted or contracted

[Delete this subsection if not relevant. Identify any activities that the applicant is not permitted to sub-grant or contract.]

### 1.14. Proposal currency

The proposal budget shall be prepared in the following currency(ies):

[Insert currency abbreviation, add additional currencies if applicable.]

### 1.15. Language of proposals

All proposals, information, documents and correspondence exchanged between UNOPS and the applicant shall be in:

Select an option here [Identify any other applicable languages. Delete this field if not relevant to this CFP.]

### 1.16. Proposal submission

The deadline for the submission of proposals is **Sep 1, 2022**. Proposals shall be submitted using the following method:

Select an option here

Proposals shall be [sent/mailed/delivered] to [insert secure email address, mailing or physical address].

If mail or physical delivery is selected, include the following paragraph and insert the required information. If email is selected, delete the following paragraph.

Personal delivery shall be made between the hours of [ ]: [ ] and [ ]: [ ] [Insert time zone abbreviation or city/country] on UNOPS regular working days by the deadline for proposal submission. [XX] hard copies of the duly completed and signed returnable forms marked "Copy" shall be included.

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

### 1.17. Type of legal instrument

Identify the applicable legal instrument(s) from the list below and delete any that are inapplicable to this CFP. The UNOPS team should provide the relevant template(s) to the applicants with this CFP.

The applicable legal instrument(s) are identified hereunder.

- Grant Support Agreement

<sup>11</sup> 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](#).

<sup>12</sup> Contracting is done when an implementing partner procures services, goods or works using the procurement procedures of the IP.



- Project Cooperation Agreement
- UN2UN Agreement

[Provide an explanation for each type of legal instrument and its applicability to different types of IPs, and identify any special conditions, if applicable to this CFP.]

**1.18. Contact information**

In the case of more than one contact, the additional contact(s) should be added in the same format as below. All correspondence, notifications and requests for clarifications in relation to this Call for Proposals shall be sent to:

Name	[Insert name]
Title	[Insert title]
Email	[Insert email]

**1.19. Important dates and deadlines**

This section must include the applicable dates and deadlines for the submission of proposals, requests for clarification and the expected start date. Pre-proposal meetings and site visits are optional and may be deleted, as necessary. Insert additional rows if necessary. The following tables provide the key dates and deadlines pertaining to this Call for Proposals.

	Date			Time		Timezone	
	Sep 1, 2022			[10:45]		[GMT]	
	Sep 1, 2022			[10:45]		[GMT]	
	Sep 1, 2022			[10:45]		[GMT]	
Expected agreement start date	Sep 1, 2022			[10:45]		[GMT]	

	Date	Time	Type	Additional information
Pre-proposal meeting	Sep 1, 2022	[10:45]	Select type	[Insert]
Site visit	Sep 1, 2022	[10:45]	Select type	[Insert]

**1.20. Additional instructions for applicants**

[Identify any additional instructions for applicants that are not already covered in the [Instructions to Applicants](#). Delete this section if not relevant to this CFP.]



## 2. REQUIREMENTS

### 2.1. Approach and methodology

[Identify the requirements for the approach and methodology to be adopted by the applicant. Explain in detail what is expected of the applicant under this section and what specific areas should be covered. The following cross-cutting areas should be covered in the proposal:

- Health and Safety Requirements
- Social and Environmental Requirements (such as gender and social inclusion)
- Protection from Sexual Exploitation and Abuse Requirements
- Sustainability Requirements.]

### 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.

[Identify any additional requirements related to the Implementation Plan. Delete this field if not relevant.]

### 2.3. Implementing Partner Monitoring Plan requirements

Complete the Implementing Partner (IP) Monitoring Plan.

[Identify any additional requirements related to the IP Monitoring Plan to be developed by the applicant. Identify any possible requirements for selected applicants related to monitoring or evaluation to be carried out or administered by the UNOPS or the funding source.]

### 2.4. Budget requirements

- a. Budget Ceiling: [as indicated in the [Particulars](#), if applicable]
- 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
- 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. [There are restrictions on funding the government salaries detailed in Section 6.2 of the OI on Grant Support. These restrictions should be considered while budgeting government salaries, if applicable.]
- e. 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
- f. Grant budgets may include indirect costs up to [xx]% of direct costs. In case of subgrants, indirect costs on the subgrant amount should be calculated and presented separately.

Grant budgets may include indirect costs up to 10%. Any deviation must be approved by the Director of Implementation Practices and Standards (IPS).

- g. [Include any additional requirements here]





### 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: [\[Insert number\]](#) points
- Financial proposal: [\[Insert number\]](#) 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 [\[Type ratio here \(80:20 or 70:30 or 60:40 – the ratio determined for the technical proposal and the financial proposal\)\]](#).

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 criteria included in the following tables are examples of what may be included under each type of criteria. The evaluation shall include formal and eligibility criteria, technical criteria and financial criteria but the specific individual criteria within each of these three areas may be modified, removed or added to as needed for this CFP document.



### 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 <a href="#">Instructions to Applicants</a> .	<ul style="list-style-type: none"> <li>• <b>Proposal</b></li> <li>• <b>Annex 1: Declarations</b></li> <li>• <b>Annex 2: PSEA implementing partner self-assessment</b></li> </ul>
2. The proposal is complete and includes all completed forms and other documentation requested in the <a href="#">Particulars</a> , ‘Content of proposal submissions’.	<ul style="list-style-type: none"> <li>• All documentation requested in the <a href="#">Particulars</a>, ‘Content of proposal submissions’</li> </ul>
3. The applicant accepts the conditions in the template for agreement, as specified in the <a href="#">Particulars</a> , ‘Type of legal instrument’.	<ul style="list-style-type: none"> <li>• <b>Annex 1: Declarations</b></li> </ul>
4. [Identify any additional criteria]	<ul style="list-style-type: none"> <li>• [Identify required documentation]</li> </ul>

### 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 <a href="#">Table 2.1: Parts of the technical proposal evaluation</a>.</p> <p>To be technically compliant, applicants must obtain a minimum threshold of [insert per cent (normally 70%)] of the total obtainable points.</p>	<ul style="list-style-type: none"> <li>• <b>Proposal</b></li> <li>• [Include any additional required documentation]</li> </ul>

Table 2.1 Parts of the technical proposal evaluation		Obtainable points
1.	Applicant’s capacity and expertise	[Insert number]
2.	Proposed methodology, approach and implementation plan	[Insert number]
3.	Key personnel proposed	[Insert number]
4.	Past experience	[Insert number]
5.	[Insert additional criteria]	[Insert number]





**Total technical proposal points**

**[Insert number]**

**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.	<b>Copy of audited financial statements for the last [Insert number] years</b> <ul style="list-style-type: none"> <li>• <b>Proposal</b></li> </ul>	[Insert number]
1.2	The applicant has relevant specialized knowledge and experience in similar activities.	<ul style="list-style-type: none"> <li>• <b>Proposal</b></li> </ul>	[Insert number]
1.3	The applicant has the presence or experience working in the relevant region, country or area.	<ul style="list-style-type: none"> <li>• <b>Proposal</b></li> </ul>	[Insert number]
1.4	The applicant has the capacity to undertake the current proposed activities in addition to its current workload.	<ul style="list-style-type: none"> <li>• <b>Proposal</b></li> </ul>	[Insert number]
1.5	The applicant's existing projects complement this grant support project activity(ies).	<ul style="list-style-type: none"> <li>• <b>Proposal</b></li> </ul>	[Insert number]
1.6	Lessons learned by the applicant from other projects are factored in the proposal for the implementation of the proposed grant support project activity(ies).	<ul style="list-style-type: none"> <li>• <b>Proposal</b></li> </ul>	[Insert number]
1.7	The applicant has been in continuous operation during the last [Insert number] year(s).	Certification of incorporation of the applicant	[Insert number]
1.8	The applicant has experience successfully delivering similar grant support project activities during the last [Insert number] year(s) prior to this CFP.	<ul style="list-style-type: none"> <li>• <b>Proposal</b></li> </ul>	[Insert number]
1.9	The applicant organization possesses valid accreditation for [Insert activities] from the [Insert relevant authority].	<ul style="list-style-type: none"> <li>• <b>Proof of accreditation</b></li> </ul>	[Insert number]
1.10	[Insert additional criteria here]	[Identify documentation required]	[Insert number]
<b>Total points for Part 1</b>			<b>[Insert number]</b>

**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"> <li>• <b>Proposal</b></li> </ul>	[Insert number]



2.2	The applicant's proposed approach and methodology 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.	• <b>Proposal</b> , Section 3	[Insert number]
2.3	The proposed approach is technically sound.	• <b>Proposal</b> , Section 3	[Insert number]
2.4	The proposed approach is considered to be an efficient way to deliver the activities and achieve the proposed outputs.	• <b>Proposal</b> , Section 3	[Insert number]
2.5	The approach is feasible given the operating environment (e.g., access, security, climatic conditions, etc.).	• <b>Proposal</b> , Section 3	[Insert number]
2.6	The activities proposed under the Implementation Plan are aligned with the proposed approach and methodology. The Implementation Plan demonstrates the applicant's capacity to plan and implement the grant support project activities within the identified timeliness.	• <b>Proposal</b> , Sections 3 and 4	[Insert number]
2.7	The applicant has identified tangible outputs that clearly support the achievement of the expected outcomes.	• <b>Proposal</b> , Section 4	[Insert number]
2.8	The proposal satisfactorily demonstrates that the Health, Safety, Social and Environmental (HSSE) requirements in relation to the grant support project activities will be met.	• <b>Proposal</b>	[Insert number]
2.9	The proposal satisfactorily demonstrates that the Protection from Sexual Exploitation and Abuse (PSEA) requirements in relation to the grant support project activities will be met.	• <b>Proposal</b>	[Insert number]
2.10	The applicant's proposed sub-grantees, if identified, will undertake appropriate quantities of grant support project activities, have demonstrated the capacity to undertake the work and are appropriately located to undertake these Activities.	• <b>Proposal</b> , Section 11	[Insert number]
2.11	The IP Monitoring Plan details how different work elements will be monitored, controlled.	• <b>Proposal</b> , Section 5	[Insert number]
2.12	The indicators provide a true measure of the result and are the means of verifying a realistic way to capture the information required.	• <b>Proposal</b> , Section 5	[Insert number]
2.13	[Insert additional criteria]	[Identify documentation required]	[Insert number]
<b>Total points for Part 2</b>			[Insert number]

**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
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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.	• <b>Proposal</b> , Section 6	[Insert number]
3.2	The applicant describes and justifies its plan for the size and composition of its team.	• <b>Proposal</b> , Section 6	[Insert number]
3.3	The qualifications and experience of the proposed key personnel meet the established requirements. • [Insert position title of personnel] • [Insert position title of personnel] • [Insert position title of personnel]	• <b>Proposal</b> , Sections 8 and 9	[Insert number]
3.4	[Insert additional criteria]	[Identify documentation required]	[Insert number]
<b>Total points for Part 3</b>			<b>[Insert number]</b>

### 3.3. Financial evaluation

**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 [insert number] 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 = $\frac{[\text{lowest total budget amount}] \times [\text{maximum points allocated for the total budget amount}]}{[\text{Total budget amount of proposal under evaluation}]}$	• <b>Annex 3: Financial proposal</b>	[Insert number]
2.	Applicant organizations comply with the maximum budgets stipulated in the <a href="#">Budget requirements</a> .	• <b>Annex 3: Financial proposal</b>	[Insert number]
3.	The applicant has provided sufficient justification of budget lines and lump sums.	• <b>Annex 3: Financial proposal</b>	[Insert number]
4.	The allocation of budget among different categories is appropriate, particularly the allocation between activities and the operational budget.	• <b>Annex 3: Financial proposal</b>	[Insert number]
5.	The applicant's cost estimates and the assumptions made for such estimates are reasonable.	• <b>Annex 3: Financial proposal</b>	[Insert number]
6.	[Insert additional criteria]	[Identify documentation required]	[Insert number]
<b>Total financial proposal points</b>			<b>[Insert number]</b>

