Appendix I: Instructions to Applicants

A. Summary

1. General provisions

with funding from the European Union, The United Nations Development Programme (UNDP), in partnership with the Climate Change and Development Authority (CCDA), implements the "Strengthening Integrated Sustainable Landscape Management Project in Enga Province of Papua New Guinea." The Project aims to strengthen the sustainable and inclusive economic development of the Enga Province of Papua New Guinea. The Project has three Strategic Objectives: i) improving climate change mitigation and adaptation; ii) strengthening food and nutrition efforts; and iii) improving biodiversity and land/forest conservation.

B. Costs of preparing a low-value grant project

The Applicant assumes all costs of the preparation and submission of application for a low-value grant project, and UNDP in no case bears responsibility, or liability for the repayment of these costs, regardless of the progress and outcome of the process for accepting applications.

C. Documents for accepting applications for the low-value grant project

2. The content of documents for accepting applications

Applications for a low-value grant project must comply with the general requirements of these Instructions in full. Partially eligible applications will be rejected. The Applicant should consider all relevant instructions, forms, and conditions contained in the documents for accepting a low-value grant project. The risk of non-compliance with the requirements of these documents lies with the Applicant and may adversely affect the evaluation of the application.

3. Clarification of documents for accepting applications for the low-value grant project

Suppose the Applicant requires clarification of the documents necessary to constitute an acceptable application. In that case, he/she shall notify UNDP to this extent by writing to the organisation’s email address indicated in the Request for the Submission of Applications. UNDP will provide a written response to any clarification regarding the submission of applications; however, this requirement should be received no later than one week before the deadline for submitting applications.

4. Amendment of documents for the acceptance of applications for the low-value grant project

UNDP, for any reason, either on its own initiative or in response to a request for amendment submitted by the Applicant, may modify the application dossier at any time.
before the deadline for submitting applications for a low-value grant project.

All applicants, who have submitted their applications, will be notified in writing through email and phone about any modifications that are needed to provide applicants with an acceptable timeframe for the introduction of amendments in the preparation of applications; the notifying organisation, at its discretion, may extend the deadline for submitting applications for the low-value grant project.

D. Preparation of low-value grant project

5. Language of application

Application prepared by the Applicant, as well as the correspondence that takes place between the Applicant and UNDP, shall be in English.

6. Documents constituting the application

The application should consist of the following components:

- Applicant Information for the low-value grant project
- Description of the action following the low-value grant project template in Appendix
- A copy of the Certificate of Registration of a Legal Entity in the Investment Promotion Authority of PNG.
- A copy of the Charter for legal entities.
- CVs of the Head of NGO or the Team Leader for the Project and other key experts.
- Endorsement letter from any of the following authorities confirming that proposed Project is part of the community or local development plans (refer to Appendix 4 for sample form):
  - Provincial government.
  - District government.
  - Local-level government.
  - Pastor; or
  - An established and well-recognized NGO.

7. Currency of the application

All prices should be in PGK.

8. Payment

UNDP makes payments in Papua New Guinea Kina (PGK). Payment will be transferred to the bank account indicated in the Contract signed with the successful Grantee.

E. Submission of applications

9. The Applicant shall send the signed, and stamped application by email procurement.png@undp.org addressed to:

Name: Dirk Wagener
UNDP Resident Representative in Papua New Guinea

With a note - "Grant Proposal."
and

Date of filing and name of Applicant.

Or
It can be delivered by hand with a note "Low-value grant project" at the following address: United Nations Development Programme, Kina Bank Haus, Level 14, Port Moresby, phone: 675-321-2887

**Instruction for electronic submission** (by email):

Having prepared the application in paper format, the full set of documents constituting the application should be in any format (Doc or Pdf) format file and attached to one or more email (s).

The mandatory subject of the email for "Low-value grant project." *Please note only proposals in Doc or PDF format will be accepted for consideration.*

10. **Deadline for the submission of applications**

UNDP must receive the applications at the email indicated in the Clause on the Sealing and Marking of applications. The Call for proposals will run for three months (1 November 2021 – 31 January 2022) with the following three round deadlines:

1. Round 2 Deadline: 17:00hrs PNG time on 20 November 2021
2. Round 3 Deadline: 17:00hrs PNG time on 20 December 2021
3. Round 4 Deadline: 17:00hrs PNG time on 31 January 2022

The applicants can select the round for which they want to apply.

UNDP, at its discretion, may extend the deadline for the submission of applications in connection with amendments to the documents for the submission of applications, in accordance with the Clause on Amendments to the Documents for the Acceptance of Applications. In this case, all the rights and obligations of the UNDP office and the applicants, which had effect before the deadline for submission, will continue to be valid until the extended deadline for the submission of applications.

11. **Applications received after the deadline**

Any applications received by the UNDP office after the deadline for submitting applications, in accordance with the Clause on the deadline for the submission of applications, will be either rejected or considered in the next round (if any).

F. **Opening and evaluation of applications**

12. **Opening of applications**

The UNDP PNG Procurement Unit is responsible for collecting applications and keeps a register of incoming applications. UNDP will assign a Grants Evaluation Committee to review and evaluate the proposals received. The opening and preliminary assessment for the availability of all required documents are carried out by the UNDP procurement unit and 2-3 members of the Grant Evaluation Committee. A preliminary assessment protocol approved by the Chairperson of the Committee is transmitted to all Grant Evaluation Committee members.

At the prescreening stage, all the received applications will be reviewed by UNDP to check that the applications meet the minimum eligibility criteria and confirm reasons for disqualification. Only selected applications after prescreening will be evaluated based on following the criteria by Grant Evaluation Committee.

13. **Clarification of applications**

In the process of studying, evaluating, and comparing the assessment, the Grant
Evaluation Committee, at its discretion, may ask the Applicant to clarify its application. The request for clarification of the application and the answer to it shall be made in writing. It may relate to any questions regarding the application for a low-value grant project. The Applicant shall provide their clarifications as soon as possible after receiving the request, but no later than 7 (seven) calendar days.

14. Evaluation and comparison of applications

The applications received for low-value grant projects are evaluated individually. Before the evaluation, the members of the Grant Evaluation Committee can provide their comments/remarks on any application or provide additional information about the Applicant to other members of the Grant Evaluation Committee. The members of the Grant Evaluation Committee will review the comments based on the supporting documents and collectively decide when evaluating applications.

The Grant Evaluation Committee may organize online or offline meetings to evaluate grant applications if applicants are asked to introduce amendments or provide clarifications.

The Grant Evaluation Committee will review the applications in four steps:

- **Step 1 - Preliminary evaluation:** In this stage, the committee will ensure that the Applicant has submitted all relevant documents (specified in section 6 of the above). If the Applicant has not submitted documents completely, the committee will either reject the proposal.

- **Step 2 - Eligibility Review:** In this stage, the evaluation committee will review the applications against the following criteria:

  - The Applicant is a legally registered entity as NGOs, CSOs, CBOs, and Cooperative Societies.
  - The Applicant is not suspended, debarred, or otherwise identified as ineligible by any European Union, UN Organisation, the World Bank Group, or any other international Organisation.
  - A minimum of 2 contracts implemented over the four three years (to be justified through the descriptions of the work performed, e.g., final implementation report and the contact details of the source of financing for the previous projects).
  - Not declared bankruptcy, not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against the vendor that could impair its operations in the foreseeable future.
  - Non-performance of a contract did not occur as a result of contractor default for the last three years.
  - No consistent history of court/arbitral award decisions against the Bidder for the last three years.
  - No conflicts of interest exist with UNDP or the Project Team.

- **Step 3 – Technical Evaluation:** At this stage, the Evaluation Committee will review all proposals against a pre-determined criterion (Form 1: Technical Assessment Criteria). A scoring system is used to evaluate the applications. Scores for each evaluation criterion are calculated immediately after the discussion of each application and are filled in evaluation forms, which indicate the points assigned for each criterion. The
applications that score 70% or above in the technical evaluation will be considered as technically eligible for funding.

- Step 4 – Financial Evaluation: The Evaluation Committee will review the budgets of the proposals that obtained 70% or more in technical evaluation for their rationality and value for money.

The application for a low-value grant project may include the implementation of the following activities aimed at community development:

- Environmental protection (forestry, biodiversity and wildlife management, combating land degradation, research).

- Development of community infrastructure (repair or restoration works at infrastructure or social facilities, for instance, buildings of schools, kindergartens, local hospitals, electricity lines, and drinking and irrigation water systems).

- Agriculture and economic development of the community (job creation, trade promotion)

- Climate-friendly livelihoods and job creation.
# Form 1: Technical Assessment Criteria

<table>
<thead>
<tr>
<th>Summary of the Technical Application Assessment Form</th>
<th>Maximum score</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevance of the Action</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1  The relevance of the low-value grant project in reducing the negative impact of climate change and contributing to poverty alleviation and biodiversity conservation.</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>2  How relevant is the proposal to the particular needs and constraints of the Papua New Guinea, Enga, and/or relevant sectors (including synergy with other development initiatives and avoiding duplication)?</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>3  How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined, and does the proposal address them appropriately?</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>Design of the Action</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4  The problem and intervention stated in the low-value grant project should be identified as a priority for the local community or reflected in the local development plan of the Enga province.</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>5  How coherent is the overall design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results?</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>6  Does the design reflect a robust analysis of the problems involved and the capacities of the relevant stakeholders?</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>7  Does the design take into account external factors (risks and assumptions)</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>8  The number of beneficiaries should be at least 30% of the total population of the pilot community standing to direct and/or indirect benefit from the Project, including vulnerable groups (children, women, the elderly, disabled persons)</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>9  A description of the project sustainability or the existence of an action plan to ensure the project sustainability, that is, the application should provide clear and concise measures to ensure the sustainability of project results after the completion of the project cycle.</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>10 Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome, and impact) realistic?</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>11 To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and</td>
<td>5</td>
<td></td>
</tr>
</tbody>
</table>
12. Work experience in the Enga Province (implementation by NGOs, CSOs and Community Based Organisation s (CBOs), Cooperative Societies and/or its branch two contracts over the last three years.

| Total | 100 |

The list of documents required:

- Applicant Information for the low-value grant project
- Description of the action following the low-value grant project template in Appendix
- A copy of the Certificate of Registration of a Legal Entity in the Investment Promotion Authority of PNG.
- A copy of the Charter for legal entities.
- CVs of the Head of NGO or the Team Leader for the Project and other key experts.
- Endorsement letter from any of the following authorities confirming that proposed Project is part of the community or local development plans (refer to Appendix 4 for sample form):
  - Provincial government.
  - District government.
  - Local-level government.
  - Pastor; or
  - An established and well-recognized NGO.

G. The signing of a grant agreement

15. Criteria

The UNDP reserves the right to accept or reject any application, cancel the entire grant process and reject all submitted applications at any time before the agreement award, and does not undertake to inform the Applicant or applicants of the reasons for such a decision.

Prior to the deadline for the application, UNDP will award an agreement to the Applicant, whose application, after the assessment, will be accepted as the most appropriate for the goals and objectives.

16. The signing of the agreement

Within 15 days after awarding the agreement, the successful Grantee shall sign the documents and date them to the UNDP.

If the successful Applicant does not fulfill the requirements of Clause 18, this will serve as the basis for the cancellation of the agreement. In this case, the UNDP may award an agreement to another applicant, who took the second position during the evaluation.

17. Reporting requirements

NGOs, CSOs and Community Based Organisation s (CBOs), and Cooperative Societies should regularly deliver quarterly reports (both descriptive and financial) to UNDP. All reports shall be prepared in English in printed form and in electronic version, in MS Word format, font ARIAL-11 on A4 paper. Reports can be submitted to UNDP in paper format or
by email in PDF format. All reports shall contain a cover sheet with the subproject's name, code, and the UNDP and EU logo. Reports delivered in violation of any of the above requirements will be considered as a violation of the agreement. Reporting requirements will be further specified in an agreement with UNDP.

The Grantee will deliver reports based on the results (products) achieved in the agreed format (the report format should be agreed upon at the initial stage of the assignment. However, UNDP has the right to introduce the necessary amendments and clarifications on the reporting form) for all activities performed during the assignment. Reports will be delivered after each result with the application of intermediate products achieved following the schedule and in agreement with the UNDP Project Manager to make the corresponding payments stipulated by the Contract. After completing the set of assignments, the Grantee will deliver a final report with all the documents prepared, which shall be agreed upon and approved by the UNDP Project Manager for the final payment. If necessary, the Grantee will modify the prepared expected products before making the final payment.

The grantee will also provide data for production of communication materials to the project communication experts.

Recommended "Expected Results" Table:

<table>
<thead>
<tr>
<th>RESULTS</th>
<th>DEADLINE</th>
<th>PAYMENT SCHEME</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 The Interim Report, including the revised work plan, is delivered based on the developed work schedule</td>
<td>Within the first month upon the agreement signing</td>
<td>40 %</td>
</tr>
<tr>
<td>2 The Interim Report is delivered based on the works performed according to the work schedule</td>
<td>Upon the completion of works performed</td>
<td>55%</td>
</tr>
<tr>
<td>3 The Final Report is delivered with appendices (photos, video plots)</td>
<td>After the final report is delivered</td>
<td>5%</td>
</tr>
</tbody>
</table>

The Grantee, if necessary, may propose a change in the payment scheme and provide an appropriate justification.

Types of reports:
- Brief monthly reports on project progress during the reporting period;
- Financial and final descriptive reporting with photos, video plot

19. Payment Terms

- In the cases where there is a need to revise the number of payments due to the fault of the funding recipient, the Grantee provides financial justification to UNDP.
- Payments will be made in tranches according to the schedule indicated in the "ExpectedResults" Table. The last tranche will be paid after receiving the final report.

The total amount of grant funds allocated under this Project for successful recipients will be no more than PGK 90,000.00 (Ninety thousand Papua New Guinean Kina) and a minimum of PGK 45,000.00 (Forty-Five thousand Papua New Guinean Kina). The contribution of recipients to the Project should be at least 20% of the grant amount. This contribution of 20% can be expressed in cash at the disposal of recipients or as the in-kind contribution of applicants (for example, property, inventory necessary for implementing
the low-value grant project, physical work to be done by the Applicant).

The NGOs, CSOs, Community Based Organisations (CBOs), and Cooperative Societies are fully responsible for paying taxes arising from the agreement with UNDP. UNDP will transfer monetary funds to an NGO/local community's account following the schedule and payment terms.

20. Monitoring and evaluation

UNDP reserves the right to carry out spot checks of funding recipients to ensure the quality of services. Interviews will be conducted, and feedback on the quality of the Grantee's work will be received.

When conducting an independent external evaluation of UNDP, any low-value grant project may be included in the evaluation procedures.

21. Liability of the parties

The successful Grantee shall be obliged to:

- Perform works promptly following the Planned Works Schedule.
- Bear full responsibility for the fulfillment of all stated goals and objectives.
- Ensure interaction with local self-government bodies and authorized state structures.
- Attract the youth of the pilot municipality with a focus on women in the jobs created.
- Bear full responsibility for the implementation of low-value grant projects following the legislation of Papua New Guinea.
- Ensure free access for the Programme staff to all documentation (including financial documents, reports, and supporting documents relating to the Project funds) to monitor the implementation of the Programme's goals and objectives.
- Assume all subsequent risks associated with destruction, loss, theft, premature wear and tear, damage, regardless of the possibility of correcting the damage.
- Inform the Programme staff of any problems that arise during the implementation of the low-value grant project.
- Bear organisational, legal, and financial responsibility for accounting and preparation of financial reports and the provision of state statistical reporting. The Programme has the right to request appropriate accounting, financial and statistical reporting from the successful Grantee of the low-value grant project.
- Provide financial and descriptive reporting to UNDP.
- Coordinate with the Project the technical specification of the equipment declared in the application for a low-value grant project.

UNDP is responsible for:

- Provision of appropriate technical assistance in the process of implementing the low-value grant project.
- Regular monitoring of the achievement of the objectives of the low-value grant project.
- Continuous monitoring through verification missions and spot-checks to ensure compliance with UNDP rules and regulations.