



# UK PACT Applicant handbook

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Your guide to applying  
for UK PACT funding

August 2023

**UK PACT**  
COUNTRY PROGRAMMES

# Abbreviations

CfP	Call for Proposals
FCDO	Foreign, Commonwealth and Development Office
DESNZ	Department for Energy Security and Net Zero
GESI	Gender Equality and Social Inclusion
GHG	Greenhouse Gas
Gov	Government
HMG	Her Majesty's Government
ICF	International Climate Finance
IP	Implementing Partner
MEL	Monitoring, Evaluation and Learning
NDC	Nationally Determined Contributions
ODA	Official Development Assistance
ToC	Theory of Change
UK PACT	Partnering for Accelerated Climate Transitions
VfM	Value for Money



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# 1. Welcome

**Thank you for your interest in applying for funding from the UK PACT Country Programmes!**

We are excited to receive and read your application for grant funding. In order to help you apply, we have developed this Applicant Handbook which details the goals and objectives of the programme, what type of projects we are looking for and what's involved in our selection processes.

This handbook should be read in conjunction with:

- The specific scope or terms of reference for the call you are responding to. This will include the technical specification and selection criteria. You can find details about all of the current calls we are running on our website
- The UK PACT GESI Ambition Statement and GESI guidance which can be found [here](#)
- The Implementing Partner handbook which details the requirements for managing a UK PACT Country Programmes project

If at any time you would like more information about the background of UK PACT or the UK PACT Country Programmes please visit [www.ukpact.co.uk/country-programmes](http://www.ukpact.co.uk/country-programmes)

# 2. Programme overview

## 2.1. Overview of UK PACT

UK PACT (Partnering for Accelerated Climate Transitions) is a unique capacity-building programme. Jointly governed and funded by the UK Government's Foreign, Commonwealth and Development Office (FCDO) and the Department for Energy Security and Net Zero (DESNZ) through the UK's International Climate Finance, it works in partnership with countries with high emissions reduction potential to support them to implement and increase their ambitions for tackling climate change.

The programme identifies and builds strategic partnerships with countries eligible for Official Development Assistance (ODA); supporting them to implement and increase their ambitions for carbon emissions reductions in line with their Nationally Determined Contributions (NDCs), with the overall objective of meeting the commitments outlined in the Paris Agreement.

The programme is made up of three core components: The Country Programmes, Skill-Shares and Secondments, and the Green Recovery Challenge Fund. For more information about Skill-Shares and Secondments and the Green Recovery Challenge Fund, please visit the UK PACT website at [www.ukpact.co.uk](http://www.ukpact.co.uk).

### The Paris Agreement

195 countries committed to measures that hold the increase in the global average temperature to well below 2°C above pre-industrial levels – and pursue efforts to limit such a temperature increase to 1.5°C.

To achieve this, the participating countries committed to individual NDCs, setting national targets for reducing emissions towards the common “well below 2°C” goal

## 2.2. UK PACT Country Programmes

A lack of enabling frameworks or clear project pipelines are some of the biggest barriers for countries implementing climate targets under the Paris Agreement.

The UK PACT Country Programmes are demand-led and the team carries out extensive engagement with partner governments and context analysis in partner countries to identify strategic sectors and priorities where UK PACT funding can be used most effectively to overcome these barriers. The programme then invites proposals from the market for projects which respond to the priorities agreed in each country.

Grant funding is awarded to projects that will enable, incentivise and empower key stakeholders to take action to reduce carbon emissions in partner countries. This is achieved through the delivery of UK PACT's core outputs including:

- the training of key decision makers
- the generation of new communications products or dissemination of knowledge products
- the proposal of recommendations for actions on climate change or emissions reduction
- the establishment or strengthening of partnerships or networks between key stakeholders

## 2.3. Portfolio to date

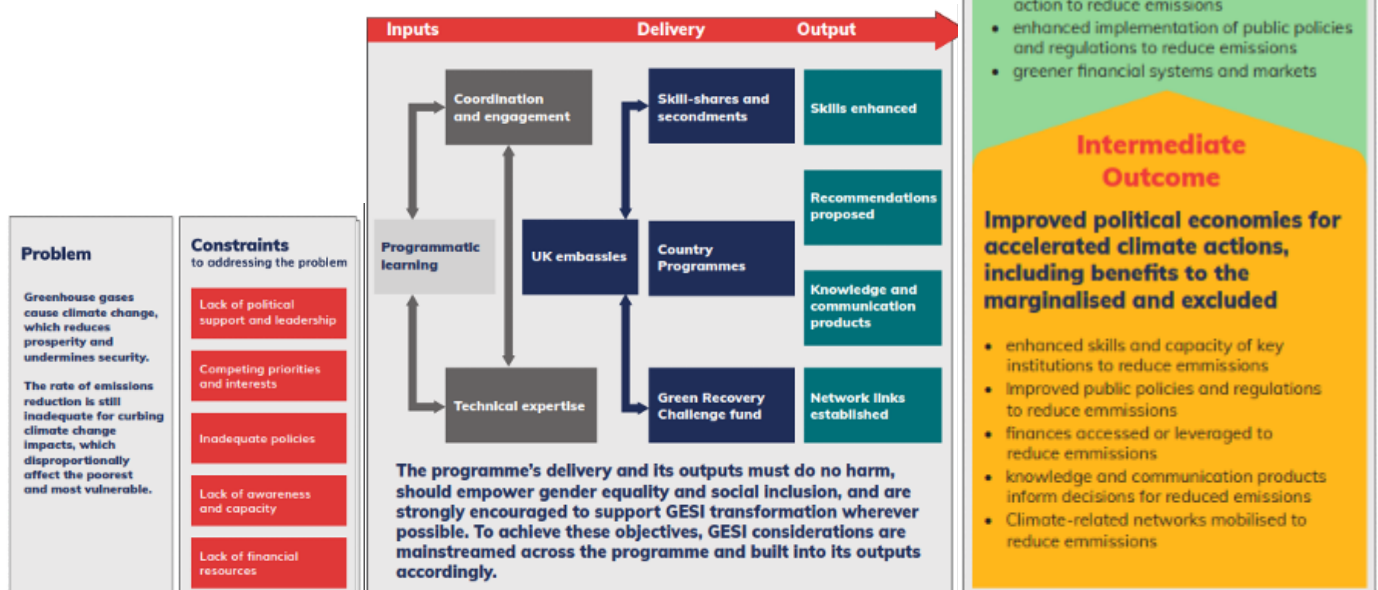
The first phase of the UK PACT Country Programmes was launched in 2018 and has supported 34 projects across China, Colombia, and Mexico. The second phase launched in 2020, with Country Programmes extended to Malaysia and South Africa and the award of over 60 projects in the first half of 2021. We have recently launched new Country Programmes partnerships in Kenya, Indonesia and Brazil.

For more information about the projects we have funded to date, visit [www.ukpact.co.uk/](http://www.ukpact.co.uk/)

# 3. Designing a UK PACT Country Programmes project

## 3.1. UK PACT Theory of Change

In order to sustainably reduce emissions and move to lower-carbon patterns of development, countries need interventions that are far-reaching and that encourage widespread behaviour change. This means contributing to ‘transformational change’ by incentivising key decision makers to take action that will reduce or prevent emissions. The process by which we think UK PACT can deliver transformational change is laid out in the UK PACT Theory of Change.



## 3.2. Aligning your project to the UK PACT Theory of Change

Every project in the UK PACT County Programmes portfolio must align to the theory of change and deliver at least one of the four UK PACT outputs:

### 1. Skills and capability enhanced:

This means addressing the capacity constraints amongst governments and private sector entities to tackle climate change impacts. This output includes work to increase the knowledge, experience and skills of individuals, for example through events and activities such as workshops, trainings, and seminars. The intention is to build enduring institutional capacity, for example through targeted engagement and training with senior officers.

### 2. Recommendations proposed:

Addressing the need for practical tools or activities that can be implemented by key actors to support climate action, this output includes policy and regulatory recommendations or frameworks, recommendations for accessing financial support, and data- and analysis-based recommendations, provided to the stakeholders and people that work within these systems.

### 3. Knowledge and communication products:

Intending to capture the programme's efforts to address information gaps amongst key stakeholders and actors that hinder climate action, this output category covers a variety of informational and learning outputs that aim to enhance awareness and capacity about climate change impacts and solutions among a broad audience beyond the boundaries of the programme itself.

### 3. Networks and partnerships established and strengthened:

Intending to capture the programme's premise that effective partnerships are key to unlocking solutions for reducing climate change and its impacts, this output category covers various efforts to foster networks and collaborations amongst organisations and individuals that present greater potential for addressing climate change impacts.

To ensure the programme's delivery and its outputs do not harm and empower gender equality and social inclusion, gender equality and social inclusion (GESI) considerations are given a very high priority across the programme and built into these outputs.

Adoption of UK PACT outputs by key stakeholders is the critical step in ensuring transformational change occurs. Projects are selected based on confidence that they have the relationships, ability and plans in place to encourage stakeholders to adopt project outputs and incentivise further action.





## 3.3. Prioritising Gender Equality and Social Inclusion (GESI)

UK PACT is committed to mainstreaming GESI considerations throughout its programming and our ambitions for this are laid out in our GESI Ambition Statement. We require grant applicants to clearly articulate how they are embedding GESI in their proposals, and how marginalised groups, including women, will benefit from their activities.

Proposals that are able to demonstrate they are empowering or transforming the lives of women or other marginalised groups receive higher scoring. Given the nature of UK PACT we consider both activities/ procedures within applicants' organisations, as well as impacts of the project they are proposing, as part of the GESI section of the application.



## We recommend applicants read the UK PACT GESI Ambition Statement and GESI Guidance [here](#)

We define gender equality as the absence of any discrimination based on gender, with equal rights, responsibilities, and opportunities for everyone, without distinction depending on their gender. This means transforming the distribution of opportunities, choices, and resources available to women and non-binary people so that they have equal power to shape their lives and participate in the process thereby increasing equality between people of all genders.

This means that rights, responsibilities, and opportunities will not depend on the gender society attributes to each person. It means ensuring that everyone has equal access to socially, economically, and politically valued goods, resources, opportunities, benefits, and services.

We define social inclusion as the process of improving the terms for individuals and groups to take part in society, and the process of improving the ability, opportunity and dignity of people disadvantaged on the basis of their identity to take part in society. It is essentially making the 'rules of the game' fairer where there are imbalances.

## 3.4. Value for Money

UK PACT is funded by UK taxpayers through the UK's Official Development Assistance (ODA) budget and there is therefore an extremely strong focus on value for money. All applicants should take this into account when developing their projects, as well as – if selected – throughout the implementation of the programme.

Value for Money assessments will focus on the extent to which the project aligns with the Four Es: Economy, Efficiency, Effectiveness and Equity.



## The four Es can be defined as follows

### **Economy**

Purchasing the right resources, of the appropriate quality, at the right time and for the right price

### **Efficiency**

Producing the intended mix, quality, and quantity of deliverables, aligned with the needs of counterparts, working adaptively and within available resources

### **Effectiveness**

Contributing to enhanced and sustained action on emission reduction through the delivery of capacity-building outputs

### **Equity**

Contributing to reducing constraints, and improving opportunities and influence in climate change matters, for women, future generations, poor people and other marginalised groups

**Applicants must show that they have strong plans in place to deliver the project at a reasonable cost. This might include but is not limited to:**

- Justification of the categories of purchases being made
- Evidence of appropriate corporate procurement approaches
- Benchmarking exercises for setting the rates of direct and indirect staff
- Reasonable and well-constructed overheads

**Proposals will be assessed on the extent to which there are strong plans in place to deliver the project results efficiently and effectively through consideration of:**

- The proposed project approach and workplan (including stakeholder engagement planning);
- The proposed management and governance arrangements
- The proposed financial management arrangements
- The proposed project resources



## 3.5. Making sure your project is eligible

Below we have included the basic eligibility requirements for UK PACT projects across all countries and portfolios. There may be specific requirements or exclusions for the call you are applying to and this will be included in the specific scope or terms of reference which can be found on the relevant country page on the [UK PACT website](#) or in the [Country Programmes Opportunities Portal](#) when you apply.

### **Strategic fit**

All projects must clearly respond to the strategic priorities outlined in the specific scope or terms of reference for each call, as these have been identified through extensive engagement with partner governments and other key stakeholders, and consequently are based on in-country demand.

## **Organisation type**

Only non-profit organisations are eligible to be the lead Implementing Partner of a proposal/consortium when applying for UK PACT funding.

For-profit organisations can participate as delivery partners within a consortium. Eligible organisations must have the knowledge, skills and experience to deliver eligible technical assistance projects.

Government agencies and/or departments are not eligible to apply either as a lead organisation, or as a partner organisation within a consortium.

## **Consortia**

We welcome applications from consortia consisting of eligible organisations. Where a consortium is proposed, a lead, non-profit organisation must be nominated. The lead organisation will form the main point of contact for the project and will hold the grant agreement with UK PACT. Consortia can be formed of multiple types of organisations.

Lead organisations will be expected to have appropriate consortium agreements in place with any consortium partners at the start of the project and this will be a key condition for grant signing to proceed. The consortium agreement must detail the requirements and liabilities of the consortium partner(s) and should reflect the terms of the lead organisation's Grant Agreement with UK PACT.

For successful projects, UK PACT will disburse all project payments directly to the lead organisation; consortium partners will receive UK PACT funding via the lead organisation. Applicants will be expected to outline how they expect to disburse payments to any consortium partners as part of the full proposal.

## **Project type**

All applications must be technical assistance (TA) or capacity building projects. The project proposed must be designed to build the capability and capacity of beneficiaries and key stakeholders to inform, incentivise, raise ambition, and encourage the implementation of accelerated action on emissions reductions.

UK PACT is unable to consider projects that are solely focussed on basic or scientific research. We do not fund infrastructure projects or pay for tangible assets. For example, we cannot fund the installation of solar infrastructure or other off-grid technology even if this is part of a pilot.

## **Key Counterparts**

In each application form, applicants will be asked to indicate who the key primary and secondary counterparts of the project they are proposing will be. In some calls for proposals, preferred counterparts will already have been identified by UK PACT and this will be indicated in the specific scope or terms of reference. In other situations, identifying who the counterparts are and evidencing their buy-in will be an additional part of the selection process.

## **Co-funding**

Projects may operate with co-funding from other donors. Implementers must demonstrate how the funding from UK PACT is additional and necessary, and not duplicative. The funding portion received from UK PACT must be for distinct activities with distinct, measurable outputs and outcomes. Implementers must also be able to separately track and report on spending against UK PACT funding.

## **Project Management, Monitoring, Evaluation and Learning (MEL)**

The ability to manage progress and report the results of the UK PACT Country Programmes will be critical to the success of the project. Developing a robust MEL framework will be essential for capturing project impacts and building the evidence base for UK PACT interventions. Projects will be expected to carry out a number of activities related to this, including tracking project progress against the MEL framework, submitting evidence of all outputs, quarterly reporting, development of case studies etc. Applicants must ensure the capacity to carry out these activities is built into project workplans and budgets.

## 3.6. Preparing a UK PACT Country Programmes budget

As part of our application process you will need to complete the UK PACT Country Programmes Budget and Workplan Template. The template will be found on the Country Programmes Opportunities Portal when you apply. Please note that we may request additional budget information if required either during the selection process or before grant agreements are signed.

We want organisations to be able to claim the full cost of a project and this guidance is provided to ensure help you calculate this. This includes the following sections:

- [Currency](#)
- [Foreign exchange rates](#)
- [VAT and other local taxes](#)
- [Direct programme costs](#)
- [Calculating overheads](#)





## 3.6.1. Currency

Budgets must be completed, and totals provided, in GBP (£). Invoices will be paid in GBP (£). Applicants should ensure they are able to receive payment in GBP.

## 3.6.2. Foreign exchange rates

Implementing partners will be expected to manage currency fluctuations that may arise during the implementation of the project. Any issues that might affect the ability to deliver the project should be communicated to UK PACT in a timely manner.

Overhead rate calculations can be completed in local currency, in order to allow for transparency with audited accounts. When you complete the 'Overheads' tab on the UK PACT Country Programmes Budget and Workplan Template, you are able to enter the cost of your overheads in local currency, but you must indicate the exchange rate. The spreadsheet will automatically calculate the total cost in GBP. You must use the exchange rate facility OANDA ([www.oanda.com](http://www.oanda.com)) and include the date the rate was calculated.

## 3.6.3. VAT and other local taxes

Applicants should note that UK VAT is not eligible as a cost in the budget, however, local taxes can be included. Local taxes should not be separated out from other direct costs included in the budget to which they relate.

## 3.6.4. Direct programme costs

Direct programme costs are activities and costs directly incurred in the delivery and implementation of your project and are linked to specific project activities, outcomes and results.

### Eligible direct costs

Eligible direct costs on a UK PACT Capacity Building Project are likely to include:

- Personnel costs: Consultancy and/or staff time required to deliver activities (including staff time allocated for project management, monitoring, evaluation and learning and GESI which must be factored into budgets).
- Reasonable travel and subsistence costs (reimbursing actual costs incurred rather than per diem rates) for staff or consultants working on the project when delivering project activities;
- Other delivery costs directly related to activities and outputs (workshops, seminars, production of outputs, translation etc.)

## Personnel costs

The type of personnel working on your project might include:

- Individuals employed under a permanent employment contract (internal staff)
- Individuals employed under a fixed term contract (consultants)
- Sub-contractors and secondees (other organisations or departments)

A daily rate should be included in the budget and workplan template for all proposed project staff regardless of type listed above. The value of a daily rate should be the actual cost to the business of employing the personnel, with no overheads, profit or contingency. For internal staff or fixed term staff this might include salary remuneration and any benefits including superannuation (pension) and taxes

For sub-contractors, the daily fee rate will be the exact total invoiced to your organisation that is chargeable to the project.

## Calculation of personnel rates

Due to the vast variety of types of organisations that will be applying to UK PACT, we have provided indicative ranges for personnel rates with caps on the upper limit. The ranges can be found on the 'Eligible Costs' tab in the Budget and Workplan template. You will find the Budget and Workplan template in the portal when you apply.

Value for money is a large part of the assessment criteria for UK PACT projects. There will be an expectation for organisations to be transparent in the way they have constructed budgets and to be able to demonstrate how they are offering good value for money. UK PACT will expect that day rates are benchmarked and that this benchmarking can be evidenced to determine that day rates are in line with market rates and are competitive. UK PACT also carries out benchmarking exercises internally to assess whether the rates included for personnel are reasonable and offer good value for money for a particular organisation type, sector or location.

## Ineligible direct costs

The following expenditure items are explicitly ineligible across all expenditure cost categories. This list is not exhaustive and does not override activities which are deemed eligible and explicitly agreed as part of the grant agreement.

- The time and expenses of staff members of UK PACT counterpart organisations including government agencies or departments
- The costs/time of any other organisation/expert other than those approved and indicated during the Call for Proposals process
- Capital expenditure (CAPEX) on tangible assets
- Profit or revenue
- Contingency or risk premium
- Costs incurred prior to a formal agreement being executed including those associated with preparing bid or grant proposals.
- Activities which may lead to civil unrest
- Activities which discriminate against any group on the basis of age, gender, gender reassignment, disability, race, colour, ethnicity, sex and sexual orientation, pregnancy and maternity, religion or belief
- Gifts
- Statutory fines, criminal fines, penalties and associated legal costs
- Payments for works or activities that are fully funded by other sources whether in cash or in kind, for example if premises are provided free of charge, UK PACT will not contribute to a notional rent
- Bad debts to related parties
- Payments for unfair dismissal and associated legal costs
- Replacement or refund of any funds lost to fraud, corruption, bribery, theft, terrorist financing or other misuse of funds
- Inflation or foreign exchange contingency

Costs included as direct project costs must not be duplicated as overheads – for example, the day rate of key personnel should be removed from overheads if it is being charged as a direct cost for this project.

## Promoting project outputs

The success of UK PACT projects will depend heavily on the adoption of project outputs. Costs related to communicating, disseminating or promoting project outputs with the aim of increasing the likelihood of their adoption do not need to be classified as communications spend. Examples of this could include, but are not limited to:

- Publishing a research paper, report, set of recommendations or study
- Organising an event to communicate findings from your project
- Organising workshops or trainings to build capacity in your targeted sector
- Printing costs associated with the aforementioned examples, i.e. providing printed materials at a workshop
- Translation or interpreting costs associated with the dissemination of outputs, i.e. the cost of translating a report or the fee for having an interpreter at a workshop
- Website design fees, hosting or URL subscriptions, where the website is an output of the project

**Communications costs** - Costs related to the general promotion of your project would be classified as part of UK PACT's wider communications budget. The following costs are examples:

- Professional photography or videography
- Translation costs for communications products
- Editing software subscriptions
- Externally contracted communications activities such as production and post-production (e.g. video editing, document layout and typesetting, etc.)
- Costs relating to promoting your project at external events, i.e. renting a stall, staff time and staff travel.

The following costs would not be classified as communications:

- Activities which are delivered by in-house staff, i.e. if an existing staff member spends some of their time drafting posts and publishing these on social media
- Staff attendance at events if not directly linked to presenting/external communications (i.e. participation only)
- Team collaboration tools, internal newsletters, internal communications within organisations or project teams

Where you are applying for a project that includes communications spend this must be clearly shown in your budget and separate budget lines for communications must be used.

**Ineligible costs** - The following costs are ineligible under UK PACT and should not be included in budgets:

- Fundraising costs
- Communications and marketing for your wider organisation or for projects that are not funded by UK PACT

## Project footprint

We encourage applicants to review their delivery approach to optimise quality with a view to reducing carbon emissions associated with significant travel.

## Digital spend

Digital costs which are only for project use and have a duration no longer than the timeframe of the project are eligible. Examples of these are short term licences/software fees, hosting fees or website costs. Eligibility under this category will be decided by UK PACT on a case-by-case basis as part of the review of the project as a whole.

## Communications and branding costs

UK PACT has a limited communications budget that is allocated across the whole programme. At the current time spend on communications and branding is approved during project implementation on a case-by-case basis. You may include anticipated communications and branding expenditure in your proposal and budget, however, should you be awarded a grant you will be required to request permission to use any communications and branding budget before purchases are made.

UK PACT has contracted with Palladium International Limited to manage the overall external communications for UK PACT. Grantees will not be required or receive funding to conduct general communications or promotion for the wider UK PACT programme, i.e. any aspects of UK PACT beyond the remit of your individual project. However, you will be required to reference UK PACT funding in any written materials and verbal statements related to your project and to brand your project outputs with the UK PACT logo as appropriate.

## Project management costs

All budgets must include sufficient time allocated for project management. As part of the delivery of projects you will be required to spend a significant amount of time engaging with Palladium, the British Embassy or High Commission in your country and FCDO, as well as reporting activities, progress and results. This includes:

- Fortnightly, monthly or quarterly meetings with Palladium and the Embassy as appropriate to each project and the stage of delivery
- Submitting a quarterly progress report and financial report (including evidence of output achievement)
- Attending Embassy-led engagement events and co-joining counterpart and stakeholder meetings with the UK PACT team.

All project organograms must include a Project Manager who will be the main point of contact for issues related to the management of the programme.

## Monitoring, evaluation and learning (MEL) costs

The ability to report the results of the UK PACT Country Programmes will be critical to the success of the project. Developing a robust MEL framework is essential for capturing project impacts and building the evidence base for UK PACT interventions. Projects will be expected to carry out a number of activities related to this, including tracking project progress against the MEL framework, submitting evidence of each output delivered, quarterly reporting, development of case studies etc. Whilst there is no set percentage of the total budget expected to be allocated to MEL activities, we recommend at least 5% of the total project budget should be allocated to MEL. This could include the day rates of staff members who are dedicated to MEL activities and/or the costs of those staff members carrying out MEL activities. Please note that partners receiving grant funding will be asked to report on their activities, outputs, and outcomes through a reporting management platform.

**Applicants must ensure the capacity to carry out these activities is built into project budgets.**

## Gender equality and social inclusion

While UK PACT's primary objective is to reduce emissions, it is of utmost importance that projects' activities do this in a way that is inclusive and equitable and leads to equitable outcomes — see the [UK PACT GESI Ambition](#) for more information.

Applicants are encouraged to budget for activities and resources focussed on delivering GESI outcomes. This might include staff time and expenses for those carrying out GESI specific activities or the costs of producing GESI specific outputs.

## 3.6.5. Calculating overheads

### What are overheads?

An overhead is any cost incurred to support an organisation that is not directly related to a specific project, product or service. For example, space and premises, or a supporting function such as an HR department or an internal accounting team might be considered to be overheads. When the project ends, these costs will still be paid by the organisation.

Overheads are sometimes referred to as indirect, core, central or support costs.

### How are overheads calculated?

The amount of overhead that can be funded by UK PACT should be an 'appropriate apportionment' and is calculated as the percentage of core costs necessary to support your organisation's ongoing business or activities.

Applicants have two options for identifying an overhead rate:

1. Choose an overhead rate of up to 15% of direct project costs. You can indicate the % of overheads required in the 'Overheads' tab in the Country Programmes Budget and Workplan template. No additional information will be required to verify this rate. Please note that UK PACT is an ODA programme funded by UK taxpayers and, as such, ensuring all our projects represent value for money is critical. We encourage all organisations to only apply for the overheads % they need.
2. Where organisations are not able to accept an overhead rate of 15% or less because their indirect costs are higher, the 'alternative overhead' tab in the UK PACT Country Programmes budget template and workplan must be completed. This will then be verified by the UK PACT team based on the financial audit reports you will be required to submit as part of the due diligence process.

Overheads will need to be managed within the overall budget limit for the project and will not be paid separately.

Where you require an overheads rate of above 15%, the following instructions apply:

Overhead amounts included should be sourced from your annual financial statements over the past three years (where available) to ensure that a realistic annual average percentage is recognised of overheads to direct costs. Overhead costs are often identified in the notes to the accounts, and are generally classed as premises and office costs, support staff costs, and governance and strategic development costs.

The resulting average amount is used to calculate what average percentage of core costs has been needed to support the organisation's business activities over the same time period and this provisional percentage can be applied to your proposed budget. For approved proposals, the overhead rate proposed will be fully checked and verified by the UK PACT Country Programmes team during the co-creation stage, at which point the final agreed percentage will be applied to your project budget.

Care must be taken to ensure that overhead costs are not duplicated within your proposed budget for the delivery of project activities. For example, the time of staff included within the project budget cannot also be included as an overhead and vice versa.

## How should overheads be presented?

The amounts to include when calculating overheads should be sourced from your annual financial statements and be aligned under the following categories:

- Premises and office costs
- Support staff Costs
- Governance and strategic development costs

**Premises and office costs:** Relate to premises and office costs and should comprise costs associated with the organisation's premises and office including rent, mortgage costs, management of facilities, building insurance, rates, maintenance and cleaning, groundworks, gardening and utilities.

**Support staff costs:** These costs should relate to central support function costs and can include costs associated with the organisation's Board of Directors and other central support functions (such as human resources, finance, IT, office management). Staff costs are typically gross salaries plus employer on-costs (taxes and pensions). Other costs to include here could be travel and subsistence, telephone, recruitment and bank charges.

**Governance and strategic development costs:** These are costs related to the governance of the organisation and strategic development costs. They refer to external expert and professional services expertise brought in when in-house skills are not available, and can include payments for services contracted to provide strategic or governance direction, advice related to financial, management, procurement, legal, audit, human resources or technical issues, external audit fees and expenses reimbursed to Trustees.



## Overheads for Consortium Partners

UK PACT expects lead organisations to apply the above methodology and eligibility criteria for calculating allowable overheads for all consortium partners. Consortium partners must complete their overheads on a separate template and provide this to the lead organisation to collate the information. The lead organisation should identify the overheads rate for each consortium partner separately and include that rate in the UK PACT Country Programmes Budget Template in the “Overheads Calculation” tab. We will pay the costs of each partner at their agreed rate.

## How do I report and claim overheads funding?

The allowable amount of overheads, expressed as a percentage of project direct costs, is calculated at the outset of the project and based on the agreed budget. This percentage rate should be applied to the actual project costs incurred when claims are submitted.

For example, if the agreed overheads rate is 8% and the total delivery costs for the project during the quarter are £37,458 then an overhead amounting to £2,996.64 can be included in your invoice and financial report for the quarter.

The amounts claimed will be reconciled by UK PACT Country Programmes Team on an annual basis and at the end of a project. For one-year projects this will only be done once. When the direct costs are reconciled, should the amount of overheads claimed exceed the allowable percentage, any amount of surplus overhead that has been claimed must be repaid.

## Examples of eligible costs to be considered in overheads calculations

- Rent, rates and utilities
  - Maintenance and repairs
  - Equipment
  - Printing and stationery
  - Cleaning
  - IT maintenance costs
  - Consultant fees
  - Programme quality support costs
  - Telephone charges
  - Support staff costs
  - Subscription fees
  - Legal and professional fees
  - Support and review visits
  - Annual conference costs
  - Trustee meeting costs
  - External audit
  - Internal audit
  - Payments for works/activities for which the grant holder has a statutory duty to undertake
  - Institutional insurance policies
- This list is not exhaustive.

## Ineligible overhead costs

The costs below are not eligible for inclusion in the organisation's overhead calculations for UK PACT funding and should therefore not be included within overheads calculations:

- Profit
- Fundraising
- Costs associated with advocacy and campaigning marketing and communications
- Contingencies
- Fines
- Debt repayment
- Capital expenditure, land and legal charging of assets to a bank
- Policy retainer fees
- Taxes for which exemptions apply or are reclaimable via other sources (for example, HMRC or an alternative funder)
- Payments for works or activities fully funded by other sources, whether in cash or in kind. For example, UK PACT will not contribute to notional rent when premises have been provided free of charge
- Depreciation
- Bank charges
- Interest payments
- Service charge payments
- Loans for finance leases

# 4. Country Programmes application process

## 4.1. How to make an application for funding

All applications to UK PACT Country Programmes are made and submitted through the Country Programmes Opportunities Portal. The portal can be accessed through the UK PACT website when you click on the call you wish to apply to. You can also visit the portal in advance to register before the call is launched [here](#).

All the documents required for you to make an application are hosted in the portal for you to download once the call is launched. Please refer to Annex VI for detailed instructions on how to register and apply on the portal.

Applicants must complete all the application templates found on the [UK PACT Country Programmes Opportunities Portal](#) in the relevant call window.

Applicants should take note of all instructions included on the portal and in templates before making a submission to make sure nothing has been missed.

**All applications should be completed in English.**



## 4.2. Types of selection process we run

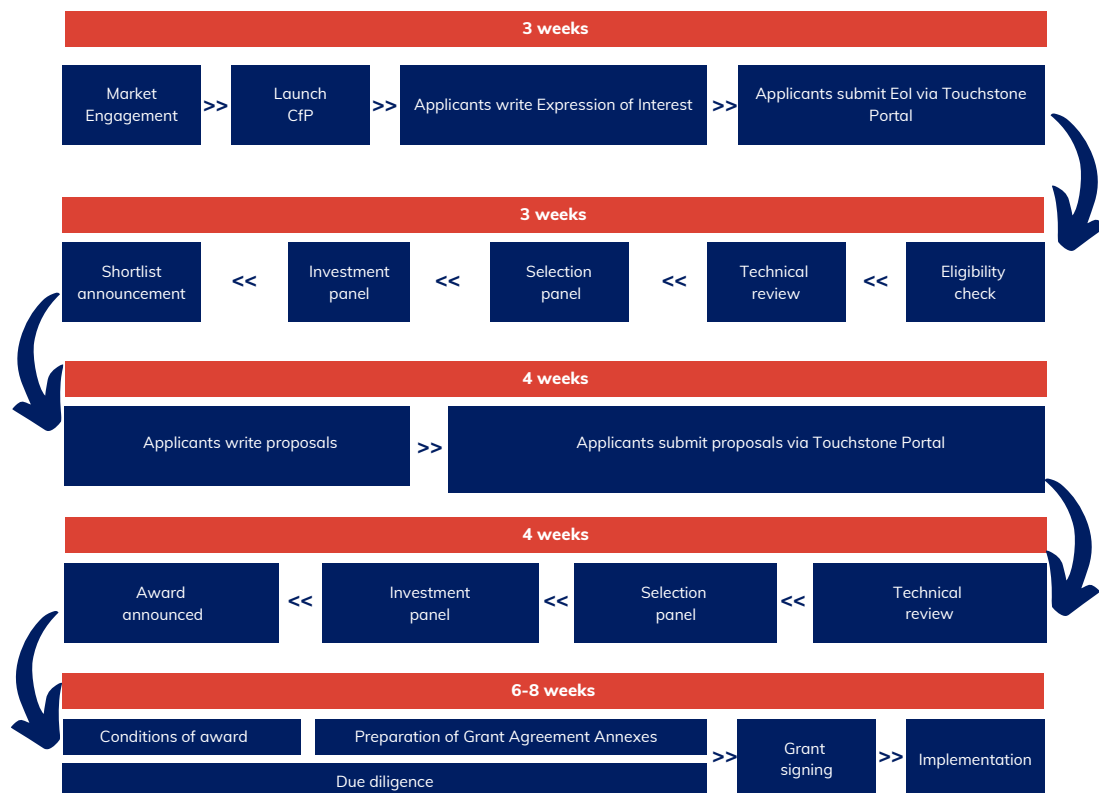
UK PACT Country Programmes runs two types of competitive selection process:

- A two-stage process (with Expression of Interest)
- A two-stage process (with a pre-qualification stage)
- A one-stage process

The type relevant to your application will have been indicated in the specific scope or terms of reference for the call you are applying to. The timelines and process for each vary slightly and we have included a description of each below.

## 4.3. Two-stage selection process (with Eol)

Our two-stage process involves an Expression of Interest stage, followed by a full proposal stage. The overall approximate timeframe for this process from launch of the CfP until Grant Signing, is 23 – 25 weeks.



## 1. Launch of the Call for Proposals

From the date of the initial announcement that the Call for Proposal Process has gone live, applicants have 3 weeks to prepare an Expression of Interest using the template provided on the [UK PACT Country Programmes Opportunities Portal](#).

## 2. Shortlisting of ideas

We estimate that it will take 3 weeks between the submission of Eols and a final decision on shortlisting. Applicants and Ideas will be checked for eligibility before being assessed by a Screening Panel and shortlisted by an Investment Panel. If included in the shortlist, applicants will be invited to prepare proposals. Reviewers may have comments or queries on specific sections that will need focus or clarification in the full proposal. Notes will be provided to each shortlisted applicant on the specific areas that should be considered. This may include: technical feasibility; gender equality and social inclusion (GESI); additionality and/or other general comments about the content of the project or budget.

## 3. Invitation to prepare full proposals

From the date of shortlisting, applicants will have 4 weeks to prepare full proposals using the templates provided on the [UK PACT Country Programmes Opportunities Portal](#).

This will include:

- Full proposal template
- Country Programmes Budget and Workplan Template
- Project Theory of Change Form

Clarification questions will be accepted until 5 working days after the launch of the call. All clarification questions and responses will be collated and published on the UK PACT Country Programmes Opportunities Portal.



## 4. Selection of projects

We estimate that it will take four to six weeks between submission of full proposals and a final decision on selection, please refer to the scope or terms of reference for the call you are responding to for more specific timelines. Final selections will be made based on how proposals score against the criteria listed in the scope or terms of reference, beneficiary confirmation of interest in the project, fit within the portfolio of other UK PACT projects and affordability within the UK PACT budget. We reserve the right to take a portfolio-based approach to the final selection of projects.

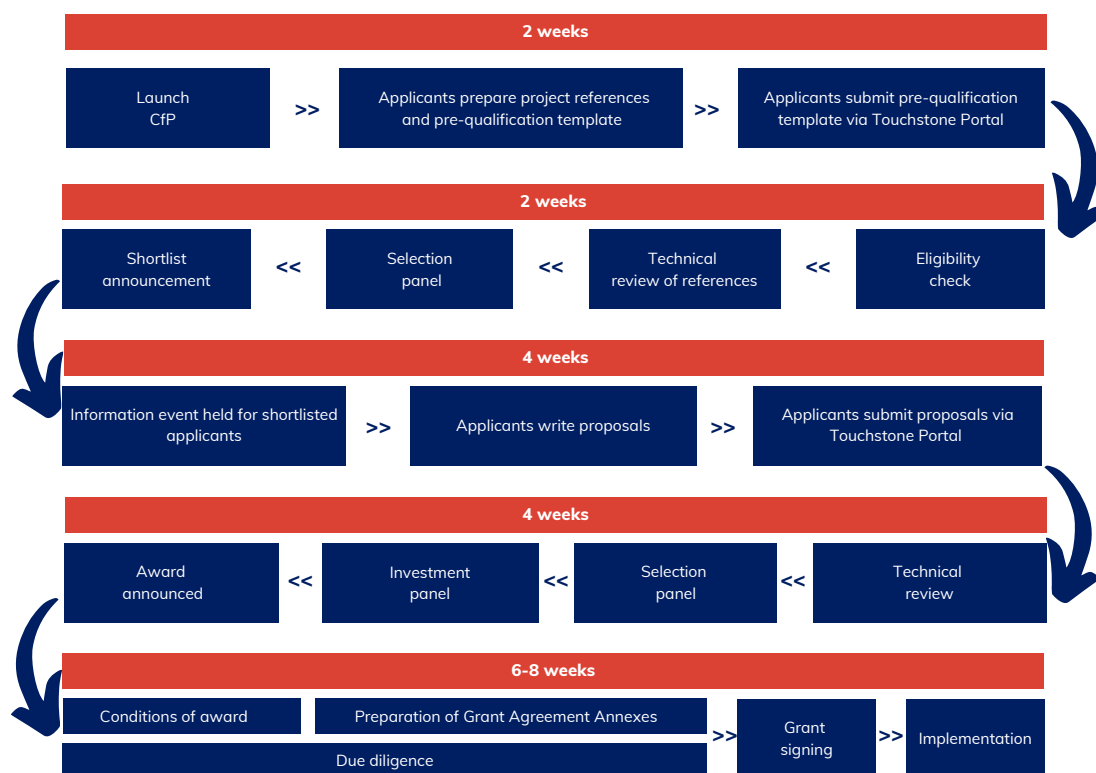
UK PACT's ultimate decision on which projects to proceed to the next round or to fund will be final.

Applicants will be informed whether they have been shortlisted or not via email. Some awards may be made on a conditional basis, and conditions of funding will be included with the award email.



## 4.4. Two-stage selection process (with pre-qualification stage)

This two-stage selection process involves a pre-qualification stage, followed by a full proposal stage. The overall approximate timeframe for this process from launch of the CfP until Grant Signing is 18-20 working weeks.



### 1. Launch of the Call for Proposals

From the date of the initial announcement that the Call for Proposal Process has gone live, applicants have up to 2 weeks to prepare a pre-qualification template. Pre-qualification allows us to assess your operational and technical capacity to deliver, based on previous experience implementing similar projects in relevant sectors (in the form of project references).

Clarification questions will be accepted until 5 working days after the launch of the call. All clarification questions and responses will be collated and published on the UK PACT Country Programmes Opportunities Portal.

## 2. Shortlisting of organisations

The shortlisting process takes two weeks. Applicants will be checked for eligibility before being assessed by a Screening Panel and shortlisted by an Investment Panel. If included in the shortlist, applicants will be invited to prepare Full Proposals. Applicants will be informed whether they have been shortlisted or not via email.

## 3. Invitation to prepare full proposals

From the date of shortlisting, shortlisted applicants will have 4 weeks to prepare full proposals using the template and specifications provided on the UK PACT Country Programmes Opportunities Portal and the website.

This will include a:

- Full proposal template
- Country Programmes Budget and Workplan Template
- Project Theory of Change form

Clarification questions will again be accepted until 5 working days after shortlisting. All clarification questions and responses will be collated and published on the UK PACT Country Programmes Opportunities Portal. An information event will also be held with shortlisted applicants to outline the Terms of Reference and application requirements.

## 4. Selection of projects

We estimate that it will take 4 to 5 weeks between submission of full proposals and a final decision on selection. Please refer to the scope or terms of reference for the call you are responding to for more specific timelines. Final selections will be made based on how proposals score against the criteria listed in the scope or terms of reference, beneficiary confirmation of interest in the project, fit within the portfolio of other UK PACT projects and affordability within the UK PACT budget. We reserve the right to take a portfolio-based approach to the final selection of projects.

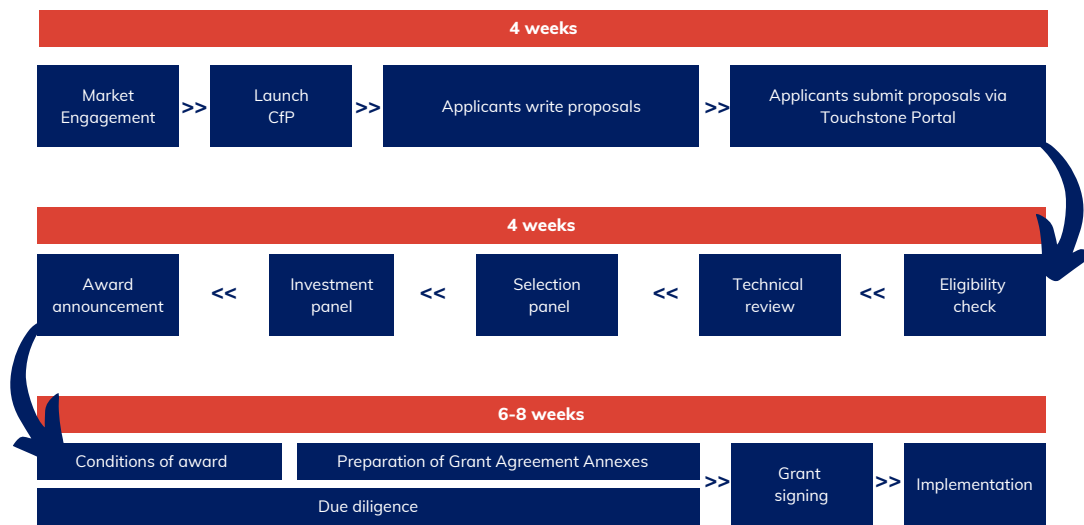
UK PACT's ultimate decision on which projects to proceed to the next round or to fund will be final.

Applicants will be informed whether they have been selected or not via email. Some awards may be made on a conditional basis, and conditions of funding will be included in the award email.



## 4.5. One-stage selection process

Our one-stage process involves the completion of a full proposal only. The overall approximate timeframe for this process from launch of the CfP until Grant Signing is 14 - 16 weeks.



### 1. Launch of the CfP

From the date of the initial announcement that the Call for Proposal Process has gone live, applicants will have 4 weeks to prepare full proposals using the templates provided on the UK PACT Country Programmes Opportunities Portal. This will include:

- Full proposal template
- Country Programmes Budget and Workplan Template
- Project Theory of Change Form

Clarification questions will be accepted until 5 working days after the launch of the call. All clarification questions and responses will be collated and published on the UK PACT Country Programmes Opportunities Portal.

### 2. Selection of projects

We estimate that it will take four to six weeks between submission of full proposals and a final decision on selection, please refer to the scope or terms of reference for the call you are responding to for more specific timelines. Final selections will be made based on how proposals score against the criteria listed in the scope or terms of reference, beneficiary confirmation of interest in the project, fit within the portfolio of other UK PACT projects and affordability within the UK PACT budget. We reserve the right to take a portfolio-based approach to the final selection of projects.

Applicants will be informed whether they have been shortlisted or not via email. Some awards may be made on a conditional basis, and conditions of funding will be included with the award email.

# 5. Grant signing process

This process usually takes between 6-8 weeks of the overall selection process. This is dependent on how quickly information is shared between applicants and the UK PACT team and we encourage applicants to be responsive during this time period.

## Co-creation

Following award, we will run a co-creation phase of project delivery. This allows us to work through any recommendations from the selection process and finalise Accountable Grant Arrangement annexes which include project budget, workplan and other key information. This will involve a series of one-to-ones and/or workshops, to ensure projects are fully aligned with UK PACT.

### Content may include:

- Introductory meetings – a chance to meet our respective teams, agree milestones, payment plans, reporting requirements and discuss any conditions of funding
- Gender equality and social inclusion (GESI) — identifying opportunities to raise ambition and further develop GESI opportunities in project delivery
- Monitoring, evaluation and learning workshop to refine your project's Theory of Change and discuss reporting indicators and processes
- Communications and branding – introducing UK PACT Branding and Communication guidelines and identifying project specific communications and branding needs

## Due Diligence

Following receipt of a full proposal and decision to award, we will begin due diligence. We estimate that due diligence will take between 4–8 weeks but will be completed in parallel with the co-creation phase. Due Diligence can be particularly time consuming and we urge all applicants to refer to Section 8 of this Applicant Handbook for full information on due diligence requirements. This will allow applicants to be ready to share the required documents and information.

## Accountable Grant Arrangement

Once Accountable Grant Arrangement annexes are finalised and subject to satisfactory due diligence checks, we will prepare and send an electronic version for signing.



## 6. Preparing to communicate and promote your project

UK PACT operates a low cost, no cost approach to communications and branding, focused on the internal production of good quality communications materials wherever possible. By accepting an Accountable Grant, UK PACT grant recipients agree to take part in the active promotion of the project throughout its entire lifetime.

This includes agreeing to:

- promote their project and collaborate with British Embassies/High Commissions and designated UK PACT delivery partners (including Palladium International) to promote the project and its contribution to the overall reach and objectives of UK PACT at local and international level;
- consult with the British Embassy and UK PACT delivery partner, Palladium, on publicity opportunities and timing for release in any of the channels available to the project;
- record and provide information about the project in a way that allows the project impact to be understood by non-specialists;
- provide UK PACT delivery partners with project photography, video clips and audio recordings and to accept that the intellectual property rights for these products will be retained by FCDO as per the terms of the Accountable Grant;
- secure all the written consents needed for property and people featured in the communications products about the project.



Products should be appropriate for use in strategic and timely communications by the Embassy or by the UK PACT delivery partner, Palladium, targeting multiple audiences including UK PACT relevant stakeholders, local and international media, government and the general public.

The project communications products may be edited or adapted by the Embassy or UK PACT delivery partners, including Palladium, for use across multiple channels such as the UK PACT website, live or online events, leaflets, presentations, banners, adverts, press releases, newsletters and social media posts, for example.

### **1. What will promoting your project involve?**

Publicity themes may include (not an exhaustive list):

- contributing to the green recovery of the country's economy or to the prosperity of the community immediately related to the project
- improving societal challenges (eg. such as impact on everyday lives of the communities in priority countries and influence on policy-makers and industry).

### **2. Good communication of the project**

- starts at the outset of the project and continues throughout its lifetime
- is strategically planned, not ad-hoc
- uses the right medium and means (e.g. working at the right level - local, regional, national; uses the right channels: website, press release, brochure, event)
- identifies and sets clear communication objectives
- is targeted and adapted to audiences that go beyond the project's own community including the media and the public
- chooses pertinent messages (e.g. How does the project demonstrate impact in a way that's relevant to its audience?)



# 7. Passing UK PACT Country Programmes due diligence

As a prospective grantee on a UK government funded programme, we are obliged to carry out due diligence on your organisation and those that control the organisation. Our due diligence process is comprehensive, and sometimes it can be challenging for smaller or newer organisations to demonstrate compliance.

We will not prevent the progression of a project where we can responsibly work with an implementer to create a compliance plan. For example, we may require an organisation to have a certain policy in place within 6 months and can work with the organisation in that time to provide template policies and support. Our assessment of the due diligence information will respond to specific risks relevant to a particular project. For example, if the project involves operating in an area presenting a medium or greater security risk, we would deep-dive on the lead organisation's security policies (and sub-grantees if appropriate).

Applicants who ultimately do not pass the due diligence process will not be awarded a grant.

## 7.1.1. Limited due diligence at application stage

We will do some initial due diligence on your organisation before we review your proposal, including our own internal searches. This allows us to identify potential issues as soon as possible.

**Conflicts of Interest** — UK PACT reserves the right to reject any application, which is believed to involve a current or potential conflict of interest. Applicants must declare any conflicts of interest that currently exist or that could arise during this selection process and/ or during project implementation. Conflicts of interest can be personal, business and/or finance related. Where potential conflicts of interest are declared, the applicant should both state these and the actions that will be taken to mitigate them.

**Disclosures** — As part of the selection process, the applicant will be asked to disclose if they (or any of the consortium partners):

- are the subject of any proceedings related to bankruptcy, insolvency or financial standing;
- have been convicted of any offence concerning professional misconduct;
- have not fulfilled any obligations relating to the payment of social security contributions;
- have been convicted of, or are the subject of any proceedings, relating to:
  - participation in criminal organisation/s
  - corruption, including the offence of bribery
  - fraud, including theft, and not fulfilling any obligations relating to payment of taxes
  - money laundering.

Applicants must also disclose if they or any of their proposed consortium partners are or have reason to believe that they may have been, the subject of any proceedings, that may be listed by any donor of development funding, or any contracting authority.



### 7.1.2. Due diligence timeframe

We will carry out full Due Diligence after award but before an Accountable Grant can be signed. Due diligence can be one of the most time-consuming stages in getting projects from award to grant agreement. Applicants should prepare to take part in the due diligence process whilst they are preparing their proposals.

We use a third-party provider, Touchstone Review, to collect your due diligence information online.

Stage	Description	Timeframe
DD contact confirmed	A member of the UK PACT team will contact successful applicants directly to find out the name and contact details of the individual who will be responsible for completing the Due Diligence Self-Assessment	Immediately after award
Registration in Touchstone Review	Shortlisted applicants will receive an invite to register in the Touchstone Review system and detailed instructions for carrying out the due diligence self-assessment. Applicants register on Touchstone Review	Once DD contact confirmed
Applicant completes questionnaires and uploads documents in Touchstone Review	Shortlisted applicants log in to Touchstone Review, complete the due diligence questionnaire and upload all relevant documents asked for within the system.	Deadline for completion will be one week from receipt of Touchstone Review registration instructions
Applicants work with Palladium to finalise due diligence	In case there are any questions, concerns or outstanding actions relating to information that has been provided in the due diligence responses, Palladium will work with applicants to finalise.	Following applicant submission of Due Diligence Self-Assessment in Touchstone Review
Grant agreements signed	Following successful completion of the due diligence Process, Grant Agreements can be signed	Following successful completion of due diligence process

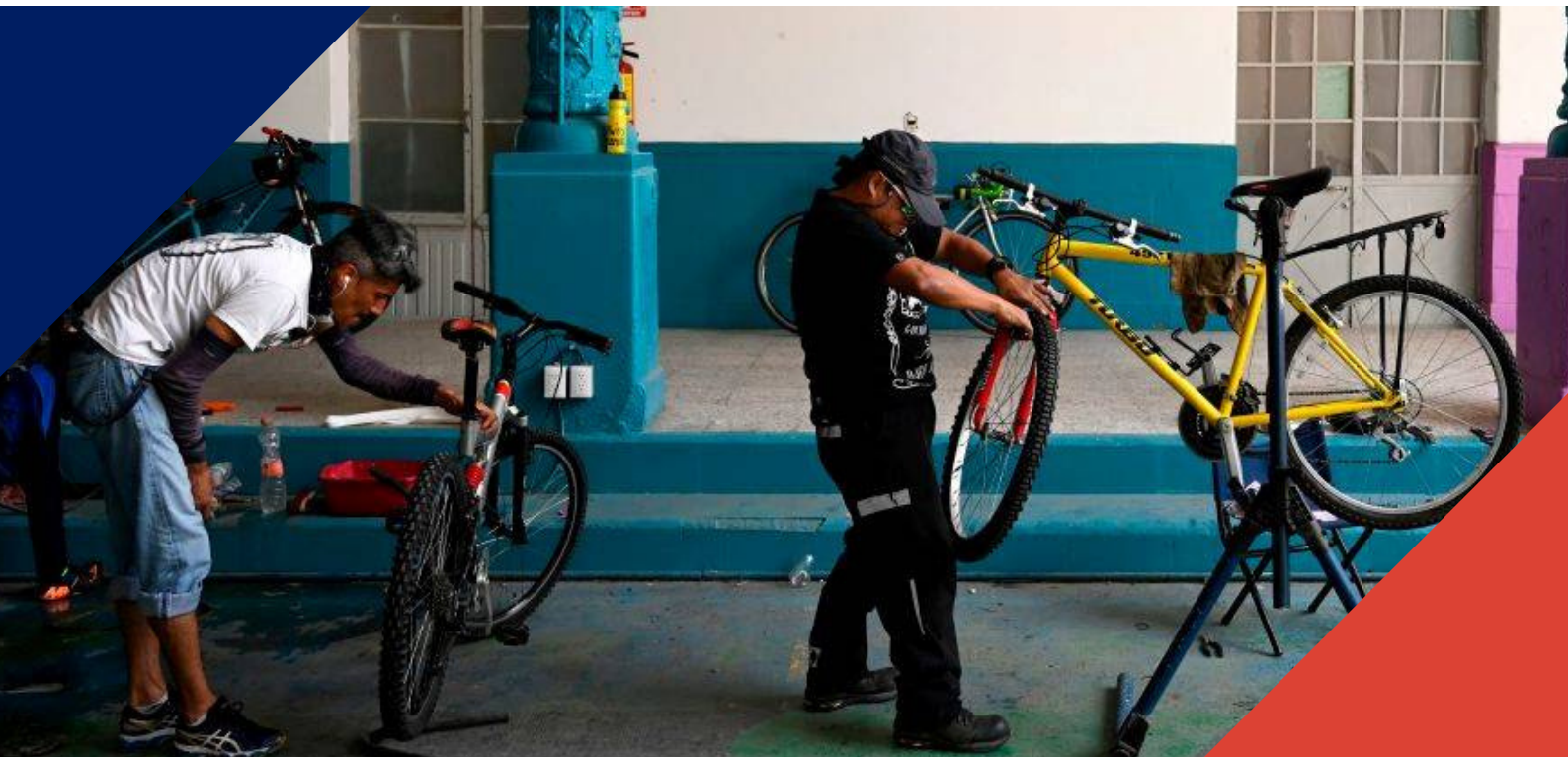
### 7.1.3. Beginning the due diligence registration process

You will be contacted by one of the UK PACT team members at Palladium, to start the process of registration in Touchstone Review. We will contact you at the email address you provided in your application form. Once your Due Diligence contact has been confirmed, they will receive an email invitation from Palladium's service provider, Touchstone Review, to complete a self-assessment due diligence questionnaire in the system.

Completion of the assessment and successful review of due diligence requirements will be a mandatory condition of your engagement as a UK PACT Grantee.

### 7.1.4. Tips for completing your due diligence assessment

Engaging openly and fully with the due diligence requirements is mandatory, but if you are not in a position to fulfil all of the requirements set out in the due diligence assessment **this does not necessarily prevent you from being a grantee on this programme.**



In your online due diligence self-assessment, you will be asked to provide a full explanation for your responses following the guidance on screen. Where you are not compliant or if there is room for improvement, we will ask you to indicate your willingness to work towards full compliance and also to indicate how you will achieve this.

It is important that the person completing the assessment is duly authorised by the organisation to do this and so, if you are not that person, please provide details of the person who will be completing the assessment when we register you on the system.



### 7.5.1. Key documentation

Applicants should assemble the documents needed for the due diligence process early as possible. We have included an example of the due diligence self assessment questionnaire that your organisation will need to complete in Annex V

If any items are combined in one policy, code or guideline you do not need to separate them. When you carry out the self-assessment, you will just need to upload the document and reference it each time it is relevant in your responses.

You will need to make sure that all documents are named clearly with a description of the document and its date.

**Please note that the maximum file size for each document that you upload will be 10MB.**

As mentioned, we will not be able to sign an Accountable Grant with you or disburse funding to your organisation until these assessments have been completed and approved, so please start to think about how you will mobilise this task as you prepare your full proposals.



# ANNEX I: Glossary of terms

<b>Additionality</b>	Additionality is the demonstration that activities have been supported that would not have happened at all, in same way, with the same scope or within the same time frame without the proposed intervention.
<b>Activity</b>	The work carried out by an organisation to achieve an aim. Activities are derived from inputs and lead to outputs.
<b>Audited accounts</b>	A company's financial records that have been officially examined by a qualified third party to check they are accurate.
<b>Baseline Information</b>	The initial set of data collected (before the project) to be used as a starting point to make comparisons.
<b>Buy-in</b>	The support for an idea or plan.
<b>Co-funding</b>	An arrangement through which two or more Donors provide funding for a project.
<b>Co-creation phase</b>	The first stage of the project lifecycle during which introduction to the programme is carried out.
<b>Conflict of interest</b>	A situation in which the personal or private interests of an individual or organisation affect their ability to make a fair decision.
<b>Constraint</b>	Restricting factors that limit the delivery of a project.
<b>Deliverable</b>	A product, set of products or package of work that will be delivered to, and formally accepted by, a stakeholder.
<b>Donor</b>	The Government that provides aid that promotes and specifically targets the economic welfare and development of developing countries.
<b>Escalation route</b>	A map of the process by which issues are drawn to the attention of higher levels of management.
<b>Funding window</b>	The duration of time during which projects can apply for funding.
<b>Impact</b>	The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects. It seeks to identify social, environmental and economic effects of the intervention that are longer term or broader in scope than the pre-identified outputs and outcomes. A higher-level strategic goal. UK PACT's intended impact is to alleviate poverty by accelerating climate mitigation in target countries.
<b>Implementer</b>	The organisation that executes a proposed project.
<b>Indicator</b>	The way in which something will be measured, for example, number of Indicators should be SMART (Specific, Measurable, Achievable, Realistic and Time bound). A quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to a project, or to help assess the performance of a project.
<b>Input</b>	The financial, human and material resources that provide the basis for a project. For example, money, technical expertise, relationships and personnel.



<b>Key counterparts</b>	The main target group a project seeks to create favourable conditions for.
<b>Key counterpart groups</b>	Those organisations or groups of individuals who will benefit from the change that the project will deliver.
<b>Knowledge product</b>	A tangible output with high information content to facilitate the sharing of information and experiences, e.g. infometrics, case studies, videos.
<b>Lead implementing organisation</b>	The primary point of contact for UK PACT and the lead organisation of a consortium.
<b>Lead organisation</b>	The main entity in a consortium responsible for project delivery.
<b>Legacy of project results</b>	The lasting effects or situation that has developed as a result of project results.
<b>Lessons learnt</b>	Documented experiences that can be used to improve the future management of projects, programmes and portfolios.
<b>Lines of responsibility</b>	Mapping of key staff and their responsibility within the overall hierarchical structure of the programme.
<b>Logical Framework (Logframe)</b>	A project planning and oversight tool consisting of indicators and milestones for key inputs, outputs, outcomes and impacts.
<b>Milestone</b>	A key point selected for its importance in project delivery at which you will measure your indicators and track progress.
<b>Organogram</b>	A diagram that shows the structure of an organisation and the relationships between the different people and jobs at different levels within that organisation.
<b>Outcome</b>	The likely or achieved short-term and medium-term effects/ impacts of an intervention's outputs. For example, the adoption of knowledge products that have been developed.
<b>Output</b>	The products and/ or services which result from a project. For example, knowledge products developed. These should be sufficient to achieve the project outcome and be something that the project can guarantee to deliver. i.e. the achievement of outputs is within the control of the delivery partner whilst outcomes may not be.

<b>Partner organisations</b>	An organisation working with the lead implementing organisation within a consortium, to deliver the UK PACT project.
<b>Political will</b>	The disposition of high-level political figures to support an idea or project.
<b>Poverty alleviation</b>	Set of measures introduced to permanently lift people out of poverty.
<b>Primary key counterpart groups</b>	Those organisations or groups of individuals that the project directly works with, who will benefit from the change that the project will deliver. For example, government, ministries, communities, regional or city level organisations, private sector associations, women's groups, marginalised groups.
<b>Residual risk</b>	The resulting risk (impact and likelihood thereof) following introduced mitigation measures.
<b>Risk owner</b>	The individual or organisation responsible for managing the risk including monitoring and implementation of mitigation measures.
<b>Safeguarding</b>	Ensuring no harm comes from project activities, particularly to vulnerable individuals. Taking steps to prevent such harm and having processes in place for responding rapidly and appropriately if harm does occur. Harm includes but is not limited to, sexual exploitation, abuse and harassment.
<b>Secondary key counterpart groups</b>	Those organisations or groups of individuals that the project indirectly works with, who will benefit from the change that the project will deliver. For example, government, ministries, communities, regional or city level organisations, private sector associations, women's groups, marginalised groups.
<b>Stakeholder</b>	The organisations or people who have an interest or role in the project, programme or portfolio, or are impacted by it.
<b>Sustainability</b>	The continuation of benefits from a development intervention after major development assistance has been completed.
<b>Systemic change</b>	Change that targets underlying conditions, frameworks or structures that are prevalent.
<b>Technical assistance</b>	Non-financial support provided by external specialists which can take the form of information sharing, instruction, skills training, transmission of working knowledge, and transfer of technical data.

## Value for Money

Value for money refers to the four E's. Economy, efficiency, effectiveness and equity. This means the extent to which a project has been delivered economically (using the right resources, at the right time and at the right price), effectively (producing the right mix, quantity and quality of outputs) and efficiently (contributing to action on emission reduction), therefore providing value for every unit of public funds spent. The fourth E covers equity, which is the extent to which the benefits of the project have been delivered fairly and equitably, reducing the constraints, and improving opportunities and influence in climate change matters for women, future generations, and other marginalised groups.



## ANNEX II: Monitoring, Evaluation and Learning terminology

The following impact pathway diagram has been included to familiarise applicants with the Monitoring, Evaluation and Learning (MEL) language that will be used throughout the lifetime of UK PACT project implementation, and which is used throughout this document and corresponding templates. All projects are expected to be designed taking into account five key stages in project delivery. 1. Inputs, (activities); 2. Outputs; 3. Intermediary Outcomes; 4. Outcomes, and 5. Impact. You will be asked to respond to this language in all stages of project selection.



# ANNEX III: Privacy policy

The UK PACT Country Programmes privacy policy can be accessed on the UK PACT website [here](#)



# ANNEX IV: UK PACT COUNTRY PROGRAMMES OPPORTUNITIES PORTAL

Here you can find instructions for how to register and apply for Country Programmes funding on the UK PACT Country Programmes Opportunities Portal. This can be accessed at <https://countryprogrammes.touchstone.review>

All applications for funding are made through the portal and applicants are free to register before a selection process is launched. We will send communication regarding the results of an application to the email address that was included on the registered account that submitted the application.

Things you will need before you begin:

- The full, registered name of the organisation applying
- The registration number of the organisation applying
- The date of registration of the organisation applying
- The registered address of the organisation applying

If you have any technical problems whilst registering or using the portal, please don't hesitate to get in touch with [support@touchstonereview.com](mailto:support@touchstonereview.com)

## Step one: registering on the portal

1. To access the portal, visit <https://countryprogrammes.touchstone.review/>
2. Once you have arrived on the Portal homepage, you should see the following screen

The UK Foreign, Commonwealth & Development Office (FCDO) has partnered with Palladium International to deliver the Country Programmes under the UK PACT (Partnering for Accelerated Climate Transitions) programme funded by UK International Climate Finance. The UK PACT Country Programmes work in partnership with countries that strive to overcome barriers and constraints to clean growth and have high emission reduction potential. This component of UK PACT therefore enables countries to pursue greater climate ambition by responding directly to partner governments' priority areas.

### Contact Us

UK PACT Country Programmes will fund innovative capacity-building projects to support emissions reductions in line with our partner countries' priorities in Colombia, Indonesia, Kenya, Malaysia, Mexico and South Africa.

[Contact Us](#) | [Privacy Statement](#)

To see opportunities you need to Register. If you are already registered, please Login.

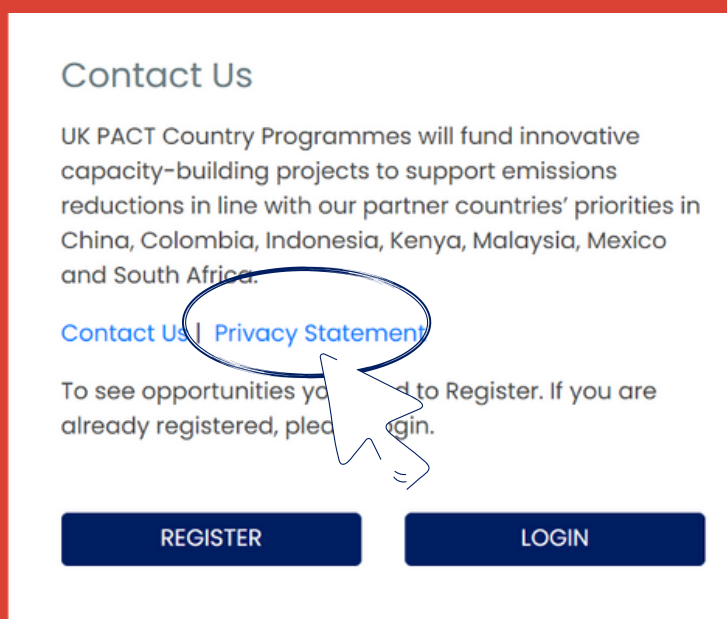
REGISTER

LOGIN





3. Before you begin the registration process, you should make sure you have read the [UK PACT Privacy Policy](#). This can be found in the 'Contact Us' section in the middle of the webpage. Move the cursor to the place that says 'Privacy Statement' and click.



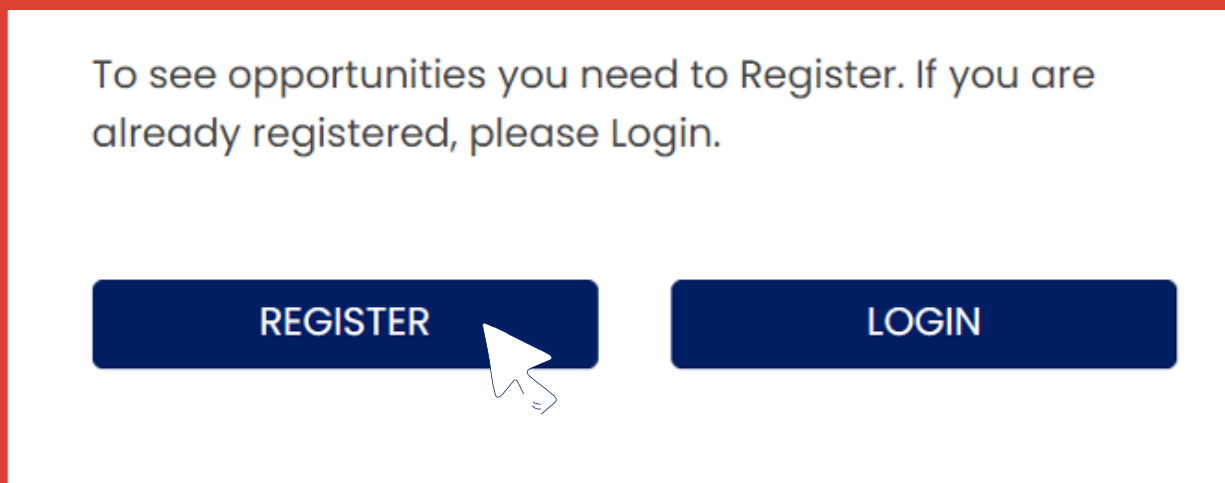
4. This will take you through to the UK PACT Privacy Policy webpage. When you apply to the UK PACT Country Programmes, you are agreeing to your data being processed in the ways outlined in the policy. Once you have read the Privacy Policy, you can continue to register on the portal and you will be asked to confirm that you accept it before registration is complete.



5. Click on the 'back' button in the top left-hand corner of your browser to return to the portal.



6. Once back on the portal, move the cursor over the blue 'Register' button found at the bottom of the screen and click. This will take you through to a page where you can enter your registration details.



7. Once you have clicked to register, you should see the following screen

The screenshot shows the 'Registration Your Details' form on the UK PACT Opportunities Portal. The form is divided into two main sections: 'Your Details' and 'Your Organization'. The 'Your Details' section includes fields for Title, First Name, Last Name, Email, Mobile Country Code, and Mobile Country Number. The 'Your Organization' section includes fields for Organization Name, Type of Legal Entity, Country of Registration, Registration / Charity Number, Date of Registration, Website, Address Line 1, Address Line 2, Address Line 3, City, County / State, Postcode / Zip Code, and Country. At the bottom, there are two checkboxes for confirmation: 'I confirm that I am associated with this organization' and 'I accept the [privacy policy](#)'. Below these are 'REGISTER' and 'CANCEL' buttons.

8. Enter the relevant details in each field one at a time. You must enter information in all fields with a red asterisk [\*]

9. When you have completed all relevant fields, tick the confirmation statements at the bottom of the screen and click 'Register'.

This screenshot shows the confirmation step of the registration process. It features two checked checkboxes with green checkmarks: 'I confirm that I am associated with this organization' and 'I accept the [privacy policy](#)'. Below these is a large blue 'REGISTER' button with a white mouse cursor pointing at it.

10. The following page will appear

**UK PACT**  
COUNTRY PROGRAMMES

## Opportunities Portal

Your account has been created. Check your email for login instructions.

Email Address \*

portalregistration@mybusiness.com

Password \*

.....

I accept the [Privacy Policy](#)

**LOGIN**

[Forgot Password?](#)  
[Register](#)

11. Check the inbox of the email account you registered with. You should have received an email from 'Touchstone Review'. Open the email and click the orange 'Create my Password' link in the body of the message.

Hi Portal Registration,

To complete your account registration on <https://countryprogrammes.touchstone.review/> you will need to create a password.

To create your password click on the link below

**CREATE MY PASSWORD**

This link will expire in 24 hours.

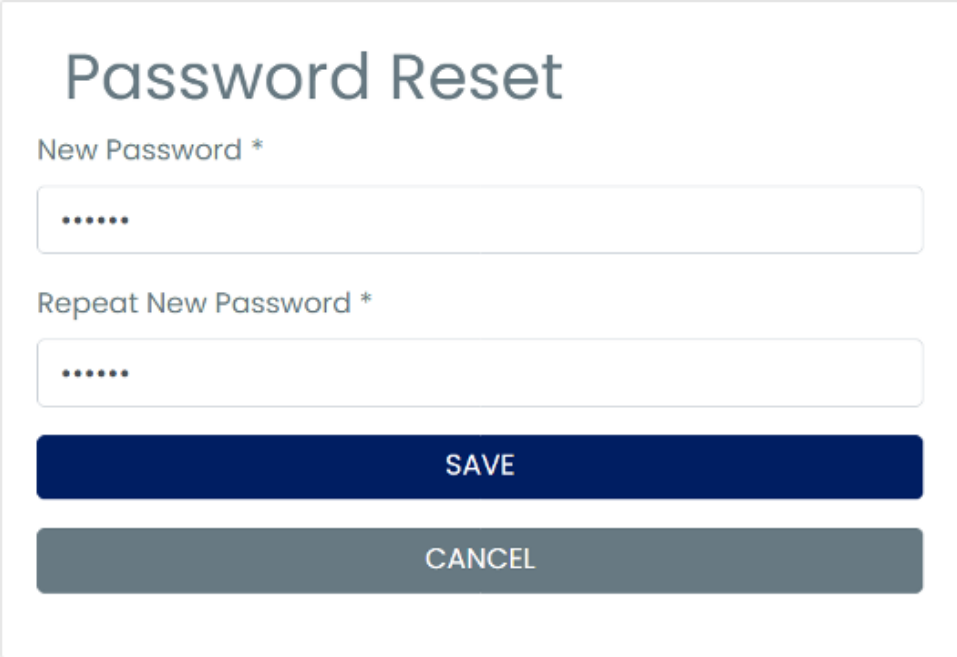
If you did not request an account please report this by forwarding this email to [support@touchstonereview.com](mailto:support@touchstonereview.com) with a subject line of 'Not my request'

Thank you for using a Touchstone Review tool

12. Create a strong, memorable password for your account. Your password must be 6 to 20 characters long with at least one number, one upper case letter, one lower case letter and one special symbol (“@#\$\$%”).

Once you are happy click ‘Save’.

13. Your account is now created and you can Log In.



The image shows a 'Password Reset' form. It has a title 'Password Reset' in a large, dark font. Below the title are two input fields. The first is labeled 'New Password \*' and the second is labeled 'Repeat New Password \*'. Both fields contain six dots, indicating masked text. Below the input fields are two buttons: a dark blue button labeled 'SAVE' and a grey button labeled 'CANCEL'.

## Step two: Choosing a selection process



### Opportunities Portal

Once you are logged in you will be in the portal homepage and will be able to see all of the selection processes that are currently live

Find the selection process you would like to apply to by scrolling up and down the list.

Click the 'Read more' link.

PROFILE

OPEN OPPORTUNITIES

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### Open Opportunities

To find out more about an opportunity click [READ MORE](#).

To prepare a submission for funding click [START](#).

#### China UK PACT - Direct Award

Closing Date: 30 Sep 2021 00:00 UTC

Funding is available to fund capacity-building projects that will lead to emissions reductions in Colombia. Projects should focus on the following sectors: **green finance**

Email questions to: [China@ukpact.co.uk](mailto:China@ukpact.co.uk)

[READ MORE](#)

[START](#)

#### UK PACT Country Programmes - Colombia EOIs

Closing Date: 06 Sep 2021 23:00 UTC

Please note that **the closing time above is UTC** (Coordinated Universal Time). **This is 18.00 COT on 11 Aug 2020**

Up to **~£7 million** is available to fund capacity-building project that will lead to emissions reductions in Colombia. Projects should focus on the following sectors: **energy, sustainable mobility, green finance, sustainable livelihoods**. Grants of in the range of **£250,000 - £500,000 (maximum ceiling)** are available.

Email questions to: [colombia@ukpact.co.uk](mailto:colombia@ukpact.co.uk)

**Questions close at 18.00 COT on 17 Jul 2020.** Questions received after this time will not be responded to. Responses to questions will be published in the [READ MORE](#) section for this opportunity by 18.00 UTC on 24 Jul 2020.

[READ MORE](#)

[START](#)

Once you have clicked 'Read more', you will enter the selection process specific area. Here you can find all of the guidance documents you need to apply for the grant

The screenshot shows a web interface for an 'Open Opportunity'. On the left, there is a navigation menu with 'OPEN OPPORTUNITIES' selected. The main heading is 'Open Opportunity'. Below this, there are instructions: 'Use the DOWNLOAD buttons to download copies of the documents you will need to help you with your submission.', 'Click BACK to return to the list of opportunities.', and 'Click START to begin your submission for funding.' The main content area is titled 'UK PACT Country Programmes - Colombia EOIs'. It includes the opening date (10 Jul 2020 00:00 UTC) and closing date (06 Sep 2021 23:00 UTC). A note states 'Please note the above times are UTC (Coordinated Universal Time)'. The text describes the funding for 'Technical Assistance (TA) projects up to 12-months in length' and lists priority sectors: green finance, sustainable mobility, energy, and sustainable livelihoods. It also specifies a grant funding range of approximately £250,000 to £500,000. A 'DOCUMENTS' section lists several files for download, each with a 'DOWNLOAD' button. At the bottom, there are 'BACK' and 'START' buttons. The UK PACT logo is visible on the right side of the page.

PROFILE

OPEN OPPORTUNITIES

SUBMISSIONS

## Open Opportunity

Use the **DOWNLOAD** buttons to download copies of the documents you will need to help you with your submission.

Click **BACK** to return to the list of opportunities.

Click **START** to begin your submission for funding.

---

### UK PACT Country Programmes - Colombia EOIs

Opening Date: 10 Jul 2020 00:00 UTC  
Closing Date: 06 Sep 2021 23:00 UTC

Please note the **above times are UTC** (Coordinated Universal Time)

We are looking to fund **Technical Assistance (TA) projects up to 12-months in length** that build capacity in key stakeholders to implement and increase their ambitions for tackling climate change. The priority sectors identified for Colombia are:

- **green finance,**
- **sustainable mobility,**
- **energy, and**
- **sustainable livelihoods.**

The total grant funding requested for the indicated period must be between **approximately £250,000 and £500,000 (maximum ceiling)**.

Please **DOWNLOAD** the documents below for full details.

#### DOCUMENTS

5. ANNEX V - DRAFT GRANT AGREEMENT .pdf ( Document )	<b>DOWNLOAD</b>
Additional - Clarification Questions for Colombia.pdf ( Document )	<b>DOWNLOAD</b>
Clarification Questions for Colombia_FINAL.pdf ( Document )	<b>DOWNLOAD</b>
COLOMBIA UK PACT - CALL FOR EXPRESSIONS OF INTEREST.pdf ( Document )	<b>DOWNLOAD</b>
COLOMBIA UK PACT - CONVOCATORIA DE MANIFESTACIONES DE INTERES.pdf ( Document )	<b>DOWNLOAD</b>
COLOMBIA UK PACT - EOI TEMPLATE.docx ( Template )	<b>DOWNLOAD</b>
UK PACT FAQ.pdf ( Document )	<b>DOWNLOAD</b>

**BACK** **START**

4. Download the documents you need and then once you are ready, click 'Start'. This will take you through to the application area to begin your application.

# Step three: Preparing your application

PROFILE

OPEN OPPORTUNITIES

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## Submission

### How to Complete Your Submission

Please follow the instructions carefully to ensure your submission is compliant.

**Note, you can SAVE your application and return to it later. If you enter information or add a document and you do not click SAVE, the data will be lost.**

**Please do not make multiple or duplicate submissions for the same application.**

**Use the SAVE button to save a submission in progress.**

**Please do not click SUBMIT until your submission is complete.**

1. Read the Call for Expressions of Interest documentation and the corresponding FAQs thoroughly to understand what is required to submit a strong expression of interest for UK PACT Country Programmes - Colombia. The documents are [here](#).
2. Download the SUBMISSION DOCUMENT and complete all sections of the "Application Checklist and Expression of Interest" **in the template as provided**. Please do not amend the template.
3. Enter all of the information required in the form below.
4. Click **SAVE**
5. Upload your completed "Application Checklist and Expression of Interest" document and any other documents required.
6. Click **SAVE**
7. When you are ready, tick the certification checkbox.
8. Click **SUBMIT**.

**DOWNLOAD SUBMISSION DOCUMENTS**

COLOMBIA UK PACT - EOI TEMPLATE.docx **DOWNLOAD**

### Your Submission

Submission Short Title \*

Thematic Focus \*

-- Select --

Brief Description \*

Amount Requested (GBP) \*

Co-funded Amount if any (GBP) \*

Start Date \*

End Date \*

**DOCUMENT UPLOADS**

**Choose Files** No file chosen **UPLOAD**

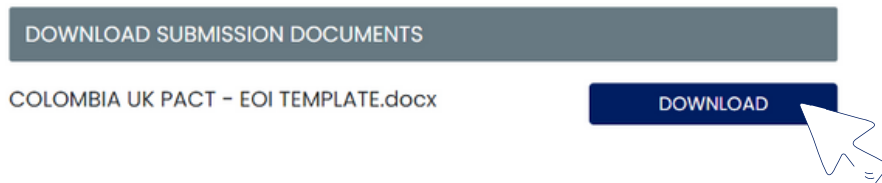
**SAVE** You can SAVE and return to edit later

I confirm that I have completed and uploaded all required documents for this submission.

**SUBMIT**



5. To begin an application, download the templates you need to complete. These can be found in the middle of the page under 'Download submission documents'.



6. Complete the template(s) offline, referring to the guidance documents you downloaded previously,

7. When you are ready, complete the fields under the heading 'Your submission'. You must complete all fields marked with a red asterix [\*] Once you are finished, click 'Save'.



8. Once you have completed the template(s), you need to upload them. Click 'Choose Files' and then select the completed template from the folder you saved it in. Once it is selected, click 'Upload'. Each time an upload is complete, the following window will appear.

9.



## UK PACT Country Programmes - Colombia EOIs - National energy roadmap

Reference: COI-001180

Status: Not Submitted

Closing Date: 06 Sep 2021 23:00 UTC

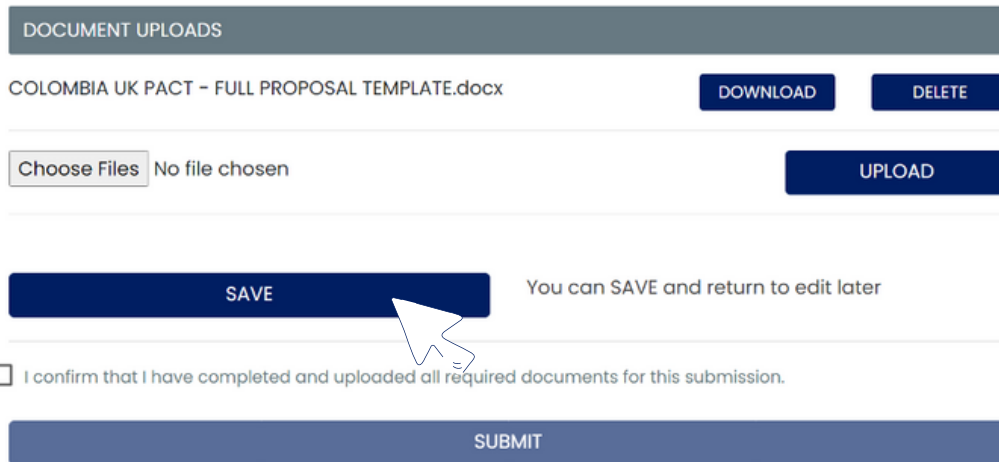
Time to Closing: 0 days 2 hours

National energy roadmap

EDIT



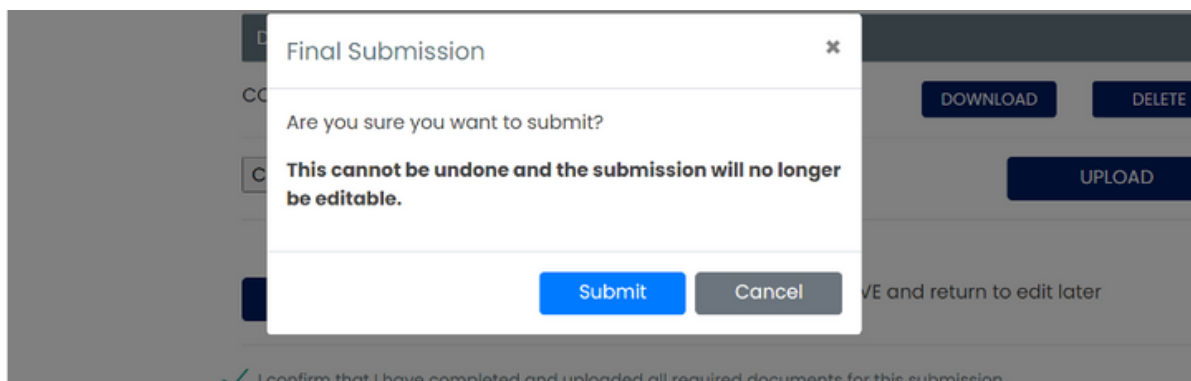
10. Click 'Edit' to go back to the submissions page and click 'Save'. Repeat the upload process until all of the templates are uploaded.



11. You can come back to your application multiple times. Simply click 'Save' and when you log in return to your submissions area. Your progress will be stored.

## Step four: Submitting your application

12. When you are ready to submit your application, click the confirmation statement box to confirm all of the documents are uploaded. Then click 'Submit'.



13. A dialogue box will appear, asking you whether you are sure you would like to submit. If you are happy to proceed, click 'Submit'. NB! Once the application is submitted, nothing can be changed in the application templates.

14. The following message will display on the screen. Your application has now been submitted. You can click 'View' to see your submission.

## Submissions

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### UK PACT Country Programmes - Colombia EOIs - National energy roadmap

Reference: COI-001180

Status: Submitted

Closing Date: 06 Sep 2021 23:00 UTC

Time to Closing: 0 days 1 hours

National energy roadmap



VIEW

## Viewing applications in progress and submissions

1. You can view applications in progress or submitted applications at any time by clicking on 'Submissions' in the navigation panel on the left hand side of the portal.

PROFILE

OPEN OPPORTUNITIES

SUBMISSIONS



## Submissions

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### UK PACT Country Prog EOIs - National energy

Reference: COI-001180

Status: Submitted

## Changing your registration details

1. If at any point you would like to change your registration details, these can be found in the profile area listed in the navigation panel on the left hand side of the portal.



Opportunities Portal

PROFILE

OPEN OPPORTUNITIES

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### Registration Your Details

Title

# ANNEX V: DUE DILIGENCE QUESTIONNAIRE

Component	Guidance
UK PACT Subcontractor DD	<p><b>General Guidance</b></p> <p>This information is provided to assist in undertaking investigations into you or your organisation as part of prudent due diligence processes. Certain questions are asked with a view to assessing compliance with certain HMG standards</p> <p>You are asked to reply to all questions. You will not be automatically disqualified from providing services on a HMG -funded programme if you do not fulfil all requirements (but may be asked to take steps to improve your level of compliance over an agreed period of time).</p> <p>To the extent permitted by law, all information provided here will be held in confidence and not disclosed to any third parties without prior notice and approval. Note that answering "no" to certain questions does not necessarily mean that you or your organisation will fail the due diligence process; it is paramount that the questions are answered truthfully.</p> <p>The questionnaire is to be completed by the owner/shareholder, managing director or duly authorised director or trustee of the organisation</p> <p><b>Documentation</b></p> <p>The questionnaire requests the upload of supporting evidence in response to some questions. You can upload documents to you profile in advance of completing the questionnaire. Once uploaded to your profile you can link to the documents as evidence to support your responses. Alternatively, you can upload documents as you answer the questions. It is recommended you upload documents in advance, as you may want to reference the same document in response to different questions.</p> <p>Documents requested in the questionnaire include the following:</p> <ul style="list-style-type: none"><li>• Organisation registration certificates for the main country of registration and any countries in which the services will be delivered,</li><li>• Financial statements for the past three years,</li><li>• Current public liability, professional indemnity, product and travel insurance,</li><li>• HMG Cyber Essentials or Cyber Essentials Plus certificates,</li><li>• Certification for recognised standards (for example ISO 9000, ISO 14000, ISO 27000)</li><li>• Policies, codes or guidelines on fraud, anti-corruption and bribery,</li><li>• Whistle-blower policy,</li><li>• Policies, codes or guidelines on modern slavery and human trafficking,</li><li>• Policies, codes or guidelines for child protection,</li><li>• Policies, codes or guidelines for zero tolerance on sexual abuse, exploitation or harassment,</li><li>• Policies, codes or guidelines on conflict of interest,</li><li>• Policies, codes or guidelines for environmental safeguards,</li><li>• Policies on occupational health and safety,</li><li>• Policies on privacy and data protection,</li><li>• Policies and procedures for risk management,</li><li>• Policies and procedures for procurement.</li></ul>

## 1. Business and financial information

Follow the guidance for the individual questions in this section. Optionally, you include additional information in the **Explanations** box. Please note the Notes box is for your use, if required, and does not form part of the assessment. Please tick the **Assessment Completed** check box, whether or not you add additional information in this section.

### 1.a Public officials

“Public Official” means any person, whether elected or appointed who holds an executive, legislative, administrative or judicial office or position in any public entity, including any international agency. In addition, “Public Official” includes any person who performs public functions in any branch of the national, state, local or municipal government of any country or territory or who exercises a public function, by employment or under contract, for any public entity, agency or enterprise of such country or territory, including state owned or controlled enterprises. The definition of “Public Official” also includes any official of a political party or any candidate for political office.

Follow the guidance for the individual questions in this section. Optionally, you include additional information in the **Explanations** box. Please note the Notes box is for your use, if required, and does not form part of the assessment. Please tick the **Assessment Completed** check box, whether or not you add additional information in this section..

#### 1.a.1 Does a Public Official or government entity have a controlling interest in the organization?

If any Public Official or government entity has any financial, management or controlling interest in the organization, answer "Yes" summarise the nature of the controlling interest in the response and provide details of the level of interest as relevant in answers to 1. a. 2, 1.a. 3, 1.a. 4 and 1. a. 5.

“Public Official” means any person, whether elected or appointed who holds an executive, legislative, administrative or judicial office or position in any public entity, including any international agency. In addition, “Public Official” includes any person who performs public functions in any branch of the national, state, local or municipal government of any country or territory or who exercises a public function, by employment or under contract, for any public entity, agency or enterprise of such country or territory, including state owned or controlled enterprises. The definition of “Public Official” also includes any official of a political party or any candidate for political office.

1.a.2 Is an owner, a main shareholder, managing director, CEO, trustee, board member or other Principal a current Public Official?

For any person identified as a Public Official, in the explanation provide their surname, given name, title, relationship to the organization, and details of the responsibilities they hold for any government, agency, or government-controlled enterprise or company.

"Principal" includes, but is not limited to, the partners, directors, shareholders, owners, executive officers, trustees or others who exercise control over your organization.

"Public Official" means any person, whether elected or appointed who holds an executive, legislative, administrative or judicial office or position in any public entity, including any international agency. In addition, "Public Official" includes any person who performs public functions in any branch of the national, state, local or municipal government of any country or territory or who exercises a public function, by employment or under contract, for any public entity, agency or enterprise of such country or territory, including state owned or controlled enterprises. The definition of "Public Official" also includes any official of a political party or any candidate for political office.

1.a.3 Is an owner, main shareholder, managing director, CEO, trustee, board member or other principal a close relative of a Public Official?

For any person identified as a Public Official, provide in the explanation their surname, given name, title, relationship to the organization, and details of the responsibilities they hold for any government, agency, or government controlled enterprise or company.

"Public Official" means any person, whether elected or appointed who holds an executive, legislative, administrative or judicial office or position in any public entity, including any international agency. In addition, "Public Official" includes any person who performs public functions in any branch of the national, state, local or municipal government of any country or territory or who exercises a public function, by employment or under contract, for any public entity, agency or enterprise of such country or territory, including state owned or controlled enterprises. The definition of "Public Official" also includes any official of a political party or any candidate for political office.

1.a.4 Does the organization employ any Public Officials?

For any person identified as a Public Official, in the explanation provide their surname, given name, title, position in the organization, and details of the responsibilities they hold for any government, agency, or government-controlled enterprise or company.

"Public Official" means any person, whether elected or appointed who holds an executive, legislative, administrative or judicial office or position in any public entity, including any international agency. In addition, "Public Official" includes any person who performs public functions in any branch of the national, state, local or municipal government of any country or territory or who exercises a public function, by employment or under contract, for any public entity, agency or enterprise of such country or territory, including state owned or controlled enterprises. The definition of "Public Official" also includes any official of a political party or any candidate for political office.

1.a.5 Is any Principal of the organization a Public Official?

For any person identified as a Public Official, please provide their surname, given name, title, relationship to the organization, and details of the responsibilities they hold for any government, agency, or government-controlled enterprise or company.

"Principal" includes, but is not limited to, the partners, directors, shareholders, owners, executive officers, trustees or others who exercise control over your organization.

"Public Official" means any person, whether elected or appointed who holds an executive, legislative, administrative or judicial office or position in any public entity, including any international agency. In addition, "Public Official" includes any person who performs public functions in any branch of the national, state, local or municipal government of any country or territory or who exercises a public function, by employment or under contract, for any public entity, agency or enterprise of such country or territory, including state owned or controlled enterprises. The definition of "Public Official" also includes any official of a political party or any candidate for political office.

1.b Taxes and finance

Follow the guidance for the individual questions in this section. Optionally, you include additional information in the Explanations box. Please note the Notes box is for your use, if required, and does not form part of the assessment. Please tick the Assessment Completed check box, whether or not you add additional information in this section..

1.b.1 Has the organization failed to fulfill obligations relating to payment of taxes and or social security contributions under the law of any of the jurisdictions in which it is established and operating?

If "Yes", provide the full details in the explanation.

1.b.2 Has the organization had its statutory audited accounts (or the accounts of a parent or ultimate parent or subsidiary organization) qualified in any of the last three years?

If "Yes", please provide the full details in the explanation.



1.c Prior performance and control systems

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box. Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

1.c.1 Has the organization had any contracts (including grant agreements) that have been terminated for poor performance or breach of contract terms within the last three years?

If "Yes", provide the full details in the explanation.

1.c.2 Does the organization have written financial management processes and procedures in place?

If "Yes", provide an overview in the explanation.

If "No", explain how the organization ensures good financial management in its business.

1.c.3 Does the organization have written risk management processes and procedures in place?

If "Yes", upload a copy of the processes and procedures.

If "No" explain how the organization tracks and manages risks in its business.

1.c.4 Does the organization maintain a written risk register?

If "No", please explain how the organization manages risk.

1.d Insurances

Follow the guidance for the individual questions in this section. Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

1.d.1 Does the public liability insurance held by the organization cover services provided in the country or countries where the services will be delivered?

If "Yes", upload a copy of the relevant public liability insurance certificate(s).

If "No", in the explanation, confirm or otherwise that the organization is able to obtain such insurance. If the organization is not able to obtain the insurance, state the reasons.

1.d.2 Does the professional indemnity insurance held by the organization cover services provided in the country or countries where the services will be delivered?

If "Yes", upload a copy of the relevant professional indemnity insurance certificate(s).

If "No", confirm or otherwise that the organization is able to obtain such insurance.

If the organization is not able to obtain the insurance, state the reasons.

1.d.3 Is the organization able to provide travel insurance for all project personnel not working in their country of origin or current citizenship, including emergency health and evacuation cover?

If "Yes", upload a copy of the relevant current travel insurance certificate(s).

If "No", confirm or otherwise that the organization is able to obtain such insurance.

If the organization is not able to obtain such insurance, state the reasons.

## 2. Governance

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section..

## 2.a Anti-corruption

Follow the guidance for the individual questions in this section.  
Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

2.a.1 Does the organization have a policy, code or statement on fraud, anti-corruption and bribery that binds all of its personnel?

If "Yes", upload a copy of the policy, code or statement.

If "No", explain the reasons.

If the organization intends to adopt such a policy, code or statement, describe the plan and state the date for adoption in the explanation.

2.a.2 Does the organization provide training to personnel on fraud, anti-corruption and bribery?

If "Yes", describe the training provided, including the content and frequency.

If "No", explain the reasons.

If the organization intends to provide training in the future, describe the plan and state the date for implementation in the explanation.

2.a.3 Does the organization have procedures in place for dealing with suspected cases of fraud, corruption or bribery?

If "Yes", provide details of the procedure.

If "No", explain the reasons.

If the organization intends to adopt such a procedure, describe the plan and state the date for adoption in the explanation.

2.a.4 Does the organization have a whistle-blower policy?

If "Yes", upload a copy of the policy.

If "No", explain the reasons.

If the organization intends to adopt such a policy, describe the plan and state the date for adoption in the explanation.

2.a.5 Does the organization impose and enforce its own standards of ethical behaviour on its business partners (including consortium partners)?

If "Yes" describe how this is achieved.

If "No" provide an explanation.

2.b Prior conduct

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section..

2.b.1 Have any of the Principals, current employees or current contracted personnel of the organization ever been investigated for, or charged with, or convicted or otherwise implicated in criminal, corrupt, unethical or unlawful conduct?

If "Yes", provide details in the explanation. You do not need to state details of the incidents, but you should indicate the year, the type of incident, if investigated, and the outcome of any investigation.

"Principal" includes, but is not limited to, the partners, directors, shareholders, owners, executive officers, trustees or others who exercise control over the organization.

2.b.2 Has the organization or any of its subsidiaries or affiliates ever been investigated for, charged with, convicted or otherwise implicated in criminal, corrupt, unethical or unlawful conduct? If "Yes", provide details in the explanation. You do not need to state details of the incidents, but you should indicate the year, the type of incident, if investigated, and the outcome of any investigation.

2.b.3 Has the organization ever been issued with a sanction or committed a violation of law or regulation? If "Yes", provide details of the circumstances in the explanation.

2.c Modern slavery and human trafficking Follow the guidance for the individual questions in this section.  
Optionally, you include additional information in the Explanations box.  
Please note the Notes box is for your use, if required, and does not form part of the assessment.  
Please tick the Assessment Completed check box, whether or not you add additional information in this section.

2.c.1 Does the organization have a policy, code or statement on modern slavery and human trafficking? If "Yes", upload a copy of the policy, code or statement.  
If "No", explain the reasons.  
If the organization intends to adopt such a policy, code or statement, describe the plan and state the date for implementation in the explanation.

2.c.2 Does the organization provide training to personnel on modern slavery and human trafficking? If "Yes", provide details of the training and frequency of training.  
If "No", explain the reasons.  
If the organization intends to provide training in the future, describe the plan and state the date for implementation in the explanation.

2.c.3 Does the organization have a procedure for dealing with suspected cases of modern slavery or human trafficking? If "Yes", describe the procedure.  
If "No", explain the reasons.  
If the organization intends to adopt a procedure in the future, describe the plan and state the date for implementation in the explanation.

2.c.4 Does the organization flow down its policy, code or statement to its supply chain (including consortium partners)?

If "Yes", provide details of the checks the organization undertakes to confirm compliance by its suppliers.

If "No", explain the reasons.

2.c.5 If the organization required to issue a Modern Slavery Statement under the Modern Slavery Act 2015 (UK), has it done so?

If "Yes", provide the URL to the current statement.

If "No" explain the reasons.

For guidance on whether or not the organization is required to issue such a statement see [here](#).

2.c.6 In the past ten years, have any of the current employees or contracted personnel of the organization ever been investigated for, charged with, convicted of or otherwise implicated incidents relating to modern slavery and human trafficking?

If "Yes", provide further information. You do not need to state details of the incidents, but you should indicate the year, the type of incident, if investigated, and the outcome of any investigation.

2.d Child protection

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

2.d.1 Does the organization have a child protection policy, code or guidelines in place?

If "Yes", upload a copy of the policy, code or guidelines.

If "No", explain the reasons.

2.d.2 Does the organization provide training to personnel on child protection?

If "Yes", provide details of training and training frequency.

If "No", explain the reasons.

2.d.3 Does the organization have a procedure for dealing with suspected issues relating to child protection?

If "Yes", describe the procedure. If the organisation intends to adopt a procedure in the future, describe the plan and state the date for implementation in the explanation.

If "No", explain the reasons.

2.d.4 Does the organization flow down its policy, code or guidelines to its supply chain (including subcontractors, downstream partners and consortium partners)

If "Yes", provide details of the checks the organization undertakes to confirm compliance by its suppliers.

If "No", explain the reasons.

2.e Sexual abuse, exploitation and harassment

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

2.e.1 Does the organization have in place a policy, code or guidelines stating zero tolerance for sexual abuse, exploitation or harassment, both within and outside the workplace and working hours?

If "Yes", upload a copy of the policy, code or guidelines.

If "No", explain the reasons.

2.e.2 Does the organization provide training on its policy, code or guidelines on sexual abuse, exploitation and harassment to all personnel?

If "Yes", provide details of the training and training frequency.

If "No", explain the reasons.

2.e.3 Does the organization have a procedure for dealing with suspected issues of sexual abuse, exploitation and harassment?

If "Yes", describe the procedure. If the organisation intends to adopt a procedure in the future, describe the plan and state the date for implementation in the explanation.

If "No", explain the reasons.

2.e.4 In the past ten years, have any employees or contracted personnel of the organization ever been investigated for, charged with, convicted of or otherwise implicated in incidents related to sexual abuse, exploitation or harassment?

If "Yes", provide further information. You do not need to state details of the incidents, but you should indicate the year, the type of incidents, if they were investigated, and the outcomes of any investigations.

2.e.5 Does the organization flow down its policy, code or guidelines to its supply chain (including subcontractors, downstream partners and consortium partners)?

If "Yes", provide details of the checks the organization undertakes to confirm compliance by its suppliers.

If "No", explain the reasons.

2.f Occupational health and safety

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section..

2.f.1 Does the organization have an occupational health and safety policy?

If "Yes", upload a copy of the policy.

If "No", explain the reasons.

2.g Terrorism and Security

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

2.g.1 Has the organisation or any of its representatives been convicted in the previous five years of "terrorist offences or offences linked terrorist activities"

If "Yes", provide the full details in the explanation.

2.h Procedures for reporting breaches in ethical behaviour

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

2.h.1 Please confirm that your organisation will cascade the FCDO fraud and safeguarding email hotlines to their staff working on the project and to any consortium or downstream partners.

Fraud and safeguarding information to share with all project staff, including consortium and downstream partners:

Please use the following email addresses to report aid diversion, corruption, fraud, bribery, human trafficking, slavery, child abuse, sexual exploitation/abuse/harassment, terrorism funding, and other violations related to UK PACT, its Delivery Partners, its projects or our staff. You may be asked for further information.

If your project includes plans to go into or work with communities, please tell us how you plan to make communities aware, if an email is not appropriate, of how they can feed back, or report concerns on the project.

1. Please report concerns related to; aid diversion, fraud, corruption or financial irregularities at: [reportingconcerns@fcdo.gov.uk](mailto:reportingconcerns@fcdo.gov.uk)
2. Please report any safeguarding concerns, including but not limited to human trafficking, slavery, child abuse, sexual exploitation/abuse/harassment, at: [reportingconcerns@fcdo.gov.uk](mailto:reportingconcerns@fcdo.gov.uk)
3. Please share these email addresses with all project staff including those of consortium partners (if applicable), as well as any communities before you engage with them (if applicable). Alternatively, please share this address with them, <https://www.ukpact.co.uk/raising-concerns>.

3. Conflict of Interest

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.



3.a Conflict of interest compliance

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

3.a.1 Does the organization confirm that at the present time there is no potential, perceived or actual conflict of interest for the organization and its personnel in relation to the proposed services for the UK Government

If "No", provide details of any potential, perceived or actual conflict of interest.

3.b Conflict of interest management

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

3.b.1 Does the organization have a policy, code or guidelines on conflict of interest?

If "Yes", upload a copy of the policy or code.

If "No", explain the reasons.

3.b.2 Does the organization provide training to all of its personnel on conflict of interest?

If "Yes" provide details of training and training frequency.

If "No" explain the reasons.

3.b.3 Does the organization have procedures for dealing with suspected cases of conflict of interest?

If "Yes", provide a copy of the procedure.

If "No", explain the reasons.

If the organization intends to adopt a procedure in the future, describe the plan and state the date for implementation

3.b.4 Does the organization confirm it will not contract with any person to work on any UK Government tender or programme who has been employed by the UK Government during the previous two years without obtaining the relevant approvals?

If "Yes", the organization acknowledges that it will obtain Palladium's consent and the consent of HMG (where required).

If "No", explain the reasons

#### 4. Data Security

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

#### 4.a Data security compliance

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

4.a.1 Does the organization confirm that it will comply with the data security requirements set out in Clause xx of the UK PACT Grant Agreement

If "No", explain the reasons.

4.a.2 Does the organization comply in full with the UK Government Cyber Essentials Scheme?

UK PACT Implementing Partners: This is only required for UK-based organisations. Please state N/A if you are not a UK-based organisation.

If "Yes", upload a copy of the certification.  
If "No", explain the reasons.

4.a.3 Confirm the organization will apply the Global Principles for Digital Development where any part of the services provided requires this?

See the Global Principles for Digital Development.  
If "No", explain the reasons.

4.b Data Security Management

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

4.b.1 Does the organization have security measures in place to prevent unauthorized access to confidential information?

Measure may include technical measures (e.g.:IT systems) and policy or procedural measures (e.g.: restricting access to information).

If "Yes", provide a summary of measures in place.

If "No", explain the reasons.

4.b.2 Does the organization have Privacy and Data Protection policies?

HMG requires compliance with the General Data Protection Regulation (GDPR).

If "Yes", upload a copy of the policy(ies).

If "No" explain the reasons.

5. Procurement

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

5.a Procurement compliance Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

5.a.1 Does the organization comply with the UK Government requirements for procurement of equipment?

If "No", explain the reasons.

5.b Procurement management

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section..

5.b.1 Does the organization have policies and procedures for procurement of goods and services, including the recruitment of personnel?

If "Yes", upload a copy of the policies and procedures.

If "No", explain the reasons.

FCDO recommends that a recruitment policy includes the following:

Recruitment to be conducted in a fair and transparent manner and must be subject to open competition.

- Recruitment decisions must be evidence based. Evidence may include CV's, covering letters, competency based testing, personality profiling and interviews.
- All staff involved in the recruitment process must be vigilant in monitoring their own unconscious bias and should undertake diversity and inclusion, fair recruitment and selection and unconscious bias training.
- Supply Partners must endeavour to pro-actively remove any barriers to disabled candidates.
- Comprehensive pre-employment checks
- Candidates to be informed of the supply partner's standards and expectations
- Conflict of interest declaration requirement
- Candidate documentation to be treated with privacy and confidential

6. Recruitment and employment practices

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

6.a Recruitment and employment practices compliance

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

6.a.1 Does the organization fully comply with all laws and regulations relating to recruitment and employment of personnel in its country of registration and, if different, in the countries where the services will be provided?

Compliance includes compliance with all immigration requirements including requirements for visas and work permits for international personnel where required.

If "No", explain the reasons and explain how and when the organization intends to achieve full compliance.

6.a.2 Does the organization confirm that it will not use any employment agency or assistance that charges fees to prospective personnel?

If "No", explain the reasons.

6.a.3 Where the organization is to provide services in a country other than the country of its registration, is the organization registered to operate in such country(ies)?

If Not Applicable, tick the Not Applicable checkbox and explain why this is not applicable.

If "Yes", list details of such registrations and upload copies of registration documents.

If "No", explain how the organization will operate in such countries in full compliance with local laws and regulations.

6.b Recruitment and employment practices management

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

6.b.1 Does the organization undertake due diligence for all employees, consultants and contractors and consortium partners including steps taken to ensure all those contracted practice high ethical standards?

If "Yes", summarise the due diligence process.

If "No", explain the reasons.

7. Environmental safeguards

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

7.a Environmental safeguards compliance

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section..

7.a.1 Is the organization a member of or a signatory of any relevant code or standards or certified in relation to any environmental standard? If "Yes", provide details, including upload of any relevant certifications.

7.b Environmental safeguards management

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section.

7.b.1 Does the organization have a policy relating to environmental safeguards and sustainability? If "Yes", upload a copy of the policy.  
If "No", explain the reasons.

7.b.2 Does the organization maintain a risk register identifying environmental risks in relation to the services to be provided in order to ensure that all legislative requirements are complied with? It is a UK Government requirement for international development projects that the organization maintains a risk register identifying environmental risks in relation to the services to be provided.  
If "No", explain the reasons.

8. Subcontractors

Follow the guidance for the individual questions in this section.

Optionally, you include additional information in the Explanations box.

Please note the Notes box is for your use, if required, and does not form part of the assessment.

Please tick the Assessment Completed check box, whether or not you add additional information in this section..

8.a Provide details of any subcontractors the organization is intending to use to deliver all or part of the services

Subcontracting of any part of the services requires the prior consent of Palladium and in some cases the consent of the client of Palladium.

Providing a list of proposed subcontractors does not infer approval by Palladium or its client.

9. Additional disclosures

Provide any additional information that will assist in performing this due diligence review.

Please tick Assessment Completed whether or not you add information



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Country Programmes Handbook -  
Version 4.0

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