

African Biodigester Component (ABC-Uganda)

Results-based Financing (RBF) Facility
for
Biodigester Enterprises.
Guidelines For Applicants
June 2022





DISCLAIMER

SNV Netherlands Development Organisation reserves the right to amend any terms and conditions of the RBF Facility. Such amendments may be required to accommodate, for example, significant changes in the economic, political or security context in (parts of) the country and in the enabling environment of the sector (e.g., regulations).

Also, substantial deviations of the installation rates from the stipulated targets on the number of biodigesters in the country may require amendments. All amendments will be implemented in consultation with the project partners and participating enterprises and will be furnished with written notice as least 3-6 months prior to the date that changes to the Facility become effective.



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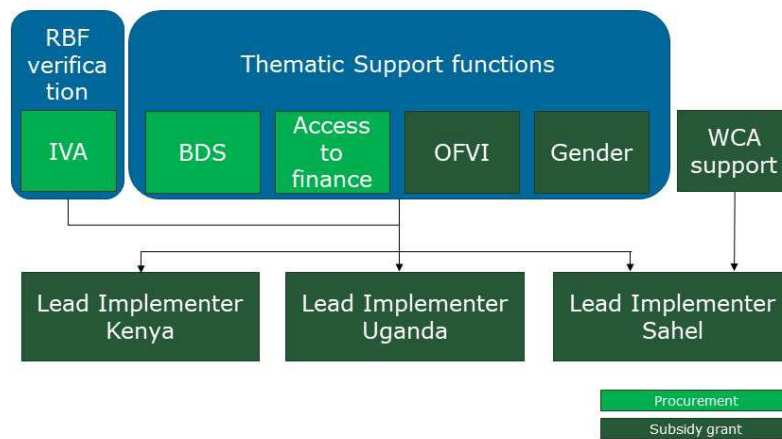
Abbreviations

ABC	African Biodigester Component
BE	Biodigester Enterprise
EEC	Energy Enterprise Coach
EnDev	Energising Development
FI	Financial Institution
IGM	Implementer Gender Mainstreaming
LI	Lead Implementer
IVA	Independent Verification Agent
NLMFA	Netherlands Ministry of Foreign Affairs
NP	National Partner
OFVI	Organic Fertiliser Valorisation Implementer
RBF	Result Based Financing
RVO	Netherlands Enterprise Agency
SNV	Netherlands Development Organisation
TA	Technical Assistance
WCA	West & Central Africa

1. Introduction

The African Biodigester Component (ABC) aims to support the growth and sustainability of a commercial biodigester sector in five countries in Africa, being Kenya, Uganda, Burkina Faso, Niger, and Mali. By the end of 2025, a total of 50,000 small-scale biodigesters¹ and 250 medium-scale digesters are targeted to be additionally installed, the latter in Kenya only. ABC aims to graduate the biodigester markets in Kenya, Uganda, and Burkina Faso from the pioneering phase to the expansion phase. In Mali and Niger, the programme will facilitate the transition to the pioneering phase. ABC is funded by the Netherlands Ministry of Foreign Affairs (NLMFA) and Danida, managed by the Netherlands Enterprise Agency (RVO) and executed in close cooperation with governments and in partnership with Energising Development (EnDev), see <https://english.rvo.nl/subsidies-programmes/african-biodigester-component-abc>.

The figure below provides an overview of all ABC implementers contracted by RVO. SNV has been contracted as the Lead Implementer (LI) of ABC in Uganda and the Sahel (Burkina Faso, Mali, and Niger)² and will for the implementation closely work with a National Partners (NPs) in each country.



The key implementation approach of the ABC rests on Results Based Financing (RBF) for Biodigester Enterprises (BEs), allowing for flexibility and innovation on the side of the suppliers while placing safeguards on quality and consumer satisfaction with a clearly defined exit strategy. Some of the main RBF features are:

- RBF is meant to overcome temporary market development risks of all eligible BEs; its incentive levels will be reduced over time to prepare the market for when the RBF facility is no longer available.
- RBF incentives will only be disbursed once pre-agreed results have been achieved and registered by the BE and independently verified by an Independent Verification Agent (IVA).
- BEs are expected to take the full risk until the moment of delivery of the results and to access up-front financing for their business expansion.
- Upon receipt, BEs are expected to use the RBF incentives to develop their business and reach targeted sales.
- RBF incentives are, however, not intended to subsidise on a permanent basis retail prices beyond levels that can be offered sustainably by BEs in the long run.

The incentive schedules are framed by the total amount of RBF as set aside by RVO for each country and are based on the following targets on the number of biodigesters: 8,000 units in Uganda; 12,000 units in Burkina Faso; 6,200 units in Mali and 3,700 units in Niger. The purpose of this document is to provide guidelines for enterprises willing to apply for RBF support to install small-scale biodigesters in Uganda .

¹ A small-scale biodigester is defined as a technology with a digestion volume up to XX m³ operated by a household, business, or institution

² RVO has contracted KPMG as Independent Verification Agent (IVA) for RBF support as well as the following parties to provide Technical Assistance (TA) in thematic areas: Niras UK to provide Business Development Services, being named "Energy Enterprise Coach (EEC)"; Biomass Research as Organic Fertiliser Valorisation Implementer (OFVI); and Hivos/Energia as implementer for the mainstreaming of gender. Support to the West & Central African (WCA) Biodigester Alliance will be provided by Hivos

2. RBF facility

In Uganda, the objective of the RBF facility will be to support BEs with scaling of their business and improving access to (private) finance. The Facility will be opened for all regions in the country.

Participating BEs must register any newly installed biodigester through a smart phone device using BioCollect. The registration data include date of commissioning, pictures of a burning stove and bio-slurry storage pit(s), a unique (serial) code and GPS reading, see Annex 1. In addition, the BEs must upload data on the operation and servicing 12 months after commissioning of the digester, see Annex 2. RVO will hire an Independent Verification Agent (IVA) to verify the results claimed by the BEs based on the data uploaded by them. Sofy has been selected as cloud-based platform to upload, process, analyse and share data among BEs, IVA, SNV, NPs and RVO. This platform (BioCollect and Sofy) will be financed by the IVA (KPMG).

Upon registration of the digesters, the IVA will execute the first verification applying a predefined questionnaire within one month through phone-based interviews with all customers (100%). Any non-responsive customer will be called at least three times, and eventually flagged as 'non-responsive'. These non-responsive customers and those with non-functioning biodigesters and/or any other reason of dissatisfaction expressed by the customers, will be scheduled by the IVA for field visits. These field visits will be random, regardless of location, of at least 10% of all newly registered digesters.

One year (between 12-14 months) after the commissioning of the biodigesters by the BEs, the IVA will execute a second verification to determine whether the BEs have provided after sales service and whether the digester is still operational. When found dysfunctional, the IVA will distinguish between biodigesters being out of operation for technical reasons or non-technical reasons. The latter reasons for dysfunctionality are the ones clearly beyond the control of the BEs, e.g., when the BE could not have foreseen that the customer is no longer feeding the digester.

The table below presents the incentive schedule for participating BEs in Uganda. The base level incentive will be provided for newly installed biodigesters, both brick domes and prefabricated units, irrespective of their size and location, following the first verification by the IVA. To prepare for exit, the base level incentive will decline over the years.

The base level incentive will be provided for newly installed biodigesters irrespective of the proven model, size, and location, but provided only if verified positively by the IVA during the first verification

A topping-up to the base level incentive will be provided once the results of the second verification will become available. The maximum topping-up amount will remain the same over the years and provided as share of the cumulated number of positively verified digesters and the total cumulated number of verified digesters flagged by the IVA as technically functional. However, the topping-up will only be provided if minimum 90% of the technically functional digesters installed by the BE are positively verified by the IVA.

Topping-up to the base level incentive = maximum topping-up amount * (cumulative number of positively verified digesters during the second verification / cumulative number of verified digesters assessed during the second verification), but provided only if the latter share is minimum 90%

This topping-up share will be adjusted every six months on a rolling basis including more recent results of the second verification by the IVA. This scheme will imply that there will be no topping-up in the first year, as IVA results on the second verification will only become available after one year (12-14 months).

The table below provides an *indication* of the RBF amounts in Uganda Shillings. Actual RBF amounts in Uganda Shillings for 2024 – 2025 will be based on then-current exchange rates and may vary from the amounts in the table.

	2022	2023	2024	2025	Comment
Base level incentive	UGX 350k	UGX 270k	UGX 200k	UGX 200k	For 2025 biodigesters only base level incentive will apply
Top-up incentive	UGX 150k	UGX 150k	UGX 150k	€ 0	Actual payment as fraction of functional plants in 2 nd IVA verification

The base level incentives and topping-ups amounts will be reviewed bi-annually in relation to the actual performance of all participating BEs. SNV reserves the right to change these incentives and topping-up 's at any time during the implementation of the RBF Facility providing the BEs with a written notice of at least 3-6 months.

On the 15th day of each month or if not being a working day, the next working day, SNV will - based on a claim by the BE - the total incentive amount in local currency excluding any bank charges to the bank account residing in Uganda and held by the participating BE. If any fraud is suspected, SNV will immediately suspend the RBF grant agreement with the BE. If fraud has been established, SNV will terminate the RBF grant agreement with the BE and take legal action.

3-RBF eligibility criteria for applicants, technology, and services

Eligibility criteria for participation in ABC's RBF Facility include criteria for Applicants as well as for their biodigester technology and related services, divided into mandatory and desired eligibility criteria. If the mandatory criteria are not met, the BE cannot participate in the RBF Facility. If the desired eligibility criteria are not met, the BE will be allowed to participate in the Facility but will have to comply with these criteria within an agreed period of 6 months ('grace period'). In this case, the Applicant will need to submit a 'compliance action plan' (see Annex 6 for the template) which outlines how and by when the enterprise is envisioning to meet all stipulated eligibility criteria.

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- *Mandatory eligibility criteria:*
- Legal registration of the Applicant in Uganda and willingness by the Applicant to entertain a physical check of its premises,
- Valid Trading License
- Proven expertise (e.g., personnel (f/m), activities) of the Applicant in service-oriented business in rural markets in Uganda or in similar markets in other countries,
- Willingness and ability by the Applicant to complete, submit and sign SNV's basic due diligence form including the annexes related to conflict of interests and adverse actions, see Annex 4,
- Willingness and ability by the Applicant to use own mobile devices to upload data related to installation and servicing of biodigesters through Taroworks,
- Proven brick-dome or prefab model selected by the Applicant for installation in Uganda, already successfully deployed in Uganda and/or in other, similar countries (with a minimum of 50 units),
- An enterprise may request the deployment of an unproven biodigester model but will have to provide in such case all required technical information to enable a sound assessment by SNV and NP as well as decision-making by an Advisory Committee (see section 4). If the Committee has advised its temporary approval, the enterprise will be allowed to install a maximum of 100 test-units during the first year. Based on an evaluation of the performance (minimum technical functionality of 90%) and customer satisfaction of these test-units, the Committee will be supported by a written explanation either advise to revoke the temporary approval, extend the temporary approval, or provide a final approval,

- Transparent and gender-informed pre-sales information in the most appropriate language for customers on the full costs and benefits of biodigesters to deter mis-selling or over-selling to customers,
 - Transparent sales contract in the most appropriate language including a clause that the customer will waive her/his rights to get paid for GHG emission reductions to [a legal entity to be discussed with the Applicant]; the provision of after sales (free of charge for a minimum of one year) and of guarantee (for a minimum of one year),
 - Proven and gender informed ability to instruct the customers upon commissioning of the biodigester on operation (e.g., feeding, use of biogas and use of bio-slurry) and maintenance supported with clear and simple manual(s), guarantee card and contact telephone number.
- **Desired eligibility criteria and information:**
- Gender informed, concise, but substantiated plan for the installation of digesters in the period 2022-2025 by [region/district], as well as for the period after 2025 when ABC has been terminated,
 - Tax clearance Certificate
 - Ability to instal a minimum of 50 digesters during the first year of its operation,
 - Establishment of qualified service outlets equipped with technical support and essential spare parts (e.g., biogas stove),
 - Qualified key staff (f/m) including managers, marketeers, supervisors, and technicians assigned to deliver on the biodigester installation and after sales for all service outlets,
 - Adequate system to manage (sex-disaggregated) customers data.

4-Applicants, process, and timeline

Application to the RBF Facility is open to all private entities including partnerships, joint ventures, and cooperatives. Public (government) institutes and NGOs affiliated entities are excluded.

Through an open call for applications, enterprises are invited to apply for RBF support through the following link <https://forms.gle/uaAmqYu8fVektCe27>. This application needs to be supported with all information required to meet the mandatory and desired eligibility criteria as listed above, see Annex 3.

Based on 'first come, first serve', SNV and BSUL (the National Partner) will assess and evaluate the applications based on all eligibility criteria related to the enterprise, technology, and related services. Once all requested information has been submitted by the applicant, this assessment and evaluation will take a maximum of 20 working days. An Advisory Committee composed of representatives of [SNV, NPs and or Ministry of Energy] will be established to review the evaluation of the application and to give advice on the proposed approval/disapproval.

In case of a positive outcome, an RBF grant agreement will be signed between the Applicant(Biodigester Enterprises and SNV. The template for this agreement will be provided by SNV separately. If the outcome is negative, the Applicant will be notified and provided with feedback on the shortcomings, and free to re-apply for RBF support when these shortcomings have been addressed. SNV will undertake all necessary steps to ensure that information provided by the Applicant is kept strictly confidential and will be used for assessment and evaluation only. Applications for RBF support received after 31st of October 2024 will no longer be considered.

5-Post-contracting reviews and enterprise grading

Once the RBF grant agreement has been signed, the BE will become eligible to receive RBF incentives following verified installation and after sales. Linked to the eligibility criteria and possible compliance action plans, regular (six-monthly) performance reviews will be conducted between the participating BE, SNV and NPs. These reviews will also address issues faced by the BE which cannot be overcome by RBF alone and may require complementary TA support by embedded project staff, pooled external experts and/or global ABC implementers like the Energy Enterprise Coach (EEC). Priority will be given to women-led/owned BEs. Areas to be addressed in the gender informed performance review include i) enterprise management; ii) service management; and iii) installation management, resulting in a grade classification ("A", "B" and "C"). In addition, the review will update the compliance action plan and document opportunities and challenges faced by the BE, see Annex 5. The table below provides information on the significance of the grades.

Grade	Significance
"A"	Excellent performance. BE may benefit from complementary TA support on access to finance; linkages with related rural development projects; taking advantage of business opportunities like production and marketing of bio-slurry embedded compost
"B"	Satisfactory performance. BE may benefit from complementary TA support on business development support to achieve "A" grading
"C"	Unsatisfactory performance. Based on the compliance action plan, the BE will have to graduate within six months to "B" grading. If not, the agreement with the BE will be terminated

6-Final notes

In addition to the RBF Facility for BEs, another RBF Facility will be launched for Financial Institutions (FIs) to gauge their interest in the financing of household digesters. This RBF Facility for FIs will be designed by the Finance Facility Agency separately contracted by RVO. More clarity is expected in the course of 2022.



Annex 1: Data to be uploaded by participating enterprises upon registration of the biodigester

[Subject to final agreement between RVO, IVA and SNV]

- Name country
- Name biodigester enterprise
- Phone number biodigester enterprise
- Unique biodigester code
- Biodigester model
- Biodigester size
- Commissioning date
- Full name biodigester owner (Mr/Ms)
- Phone number biodigester owner
- Full address biodigester owner (region/province/commune/village)
- Household size (in case of household digester)
- Photo biodigester (with date and GPS stamp)
- Photo burning stove (with date and GPS stamp)
- Photo bio-slurry storage pit(s) (with date and GPS stamp)
- GPS coordinates

Annex 2: Data to be uploaded by participating enterprises one year after commissioning of the digester

- [Subject to final agreement between RVO, IVA and SNV]
- Name country
- Date after sales visit³
- Regular biodigester feeding yes/no/unclear
- Use of biogas: yes/no/unclear
- Amount of fuelwood saved: xx kg per day/NA
- Use of bio-slurry: yes/no/unclear
- Number of bio-slurry pits: 0/1/2/
- Amount of bio-slurry/bio-compost produced/used: xx kg per day/NA
- Trading of bio-slurry: yes/no/unclear
- Photo biodigester (with date and GPS stamp)
- Photo burning stove (with date and GPS stamp)
- Photo bio-slurry storage/compost pit(s) (with date and GPS stamp)
- GPS coordinates

³ In Burkina Faso and Uganda, two after sales visits by participating BEs are proposed: one visit 6 months after commissioning; another visit 12 months after commissioning



Annex 3: Template for the application form for RBF support to be submitted by enterprises for Uganda

This is accessible at <https://forms.gle/uaAmqYu8fVektCe27>



Annex 4: SNV's due diligence framework

Purpose

Due Diligence (DD) allows SNV to assess that the vendors, consultants - individuals or firms, as well as and partners that we go into business with, do not engage in proscribed and prohibited activities. Proscribed and prohibited activities include coercion, collusion, corruption, fraud, obstruction, bribery, discrimination, harassment, including sexual harassment, abuse of authority and unethical practices. Carrying out effective DD contributes to SNV managing the funds that are entrusted to us by our donors, in an ethical and compliant way.

Scope

Due Diligence checks are applicable to Vendors, Consultants (Individuals or Firms), that SNV engages for the provision of goods, works, consultancy and non-consultancy services as well as, and Partners, except for government institutions, entities, or organs, that we collaborate with.

Depending on the monetary threshold, basic or advanced due diligence applies, please refer to the relevant Global or Country Competency Table.

1. Basic DD entails:
 - a. a declaration through the SNV Due Diligence self-declaration form, where vendors, consultants or partners indicate that:
 - i. they are not involved in proscribed or prohibited activities
 - ii. they have no actual or perceived conflict of interest and where one exists that they have disclosed it – There is a form annexed to the Self declaration for disclosing actual or perceived conflict of interest
 - iii. there is no adverse action against them and where one exists that they have disclosed it – There is a form annexed to the Self declaration for disclosing adverse actions.
 - b. the provision of publicly available documents, by prospective suppliers and partners, to allow SNV verify that they are legally authorised to provide the goods, works or services that they have offered. These documents also help facilitate registration in SBD.
 - c. verification that vendors, consultants, or partners are not sanctioned, debarred, or listed in the ineligibility list of any of our donors.
2. Advanced DD entails, in addition to the requirements of the Basic DD:
 - a. the provision of audited financial statement, that allows SNV assess the financial health of a prospective suppliers or partners as well as annual. Where needed, SNV reserves the right to request a performance guarantee (or bank guarantee) before a contract is signed
 - b. the provision of proof of compliance with statutory social security contributions and tax requirements to help SNV demonstrate compliance in validating claims of compliance
 - c. Organisation chart and/or bylaws/ Article of Association to help SNV better understand the structure and key stakeholder as well as values and principles

The documents should be requested using the cover letter included as part of the related basic or advanced due diligence packages, see sections below.

Basic due diligence instructions

Basic due diligence checks shall be completed for all vendors, consultants (Individuals or Firms) that SNV engages for the provision of goods, works, consultancy and non-consultancy services as well as, and Partners, except for government institutions, entities, or organs, that we collaborate with. Basic due diligence shall be conducted in accordance with the thresholds indicated in the SNV [Country](#) and [Global](#) Competency Tables.

1. All vendors, consultants (individuals and firms), partners shall be required to complete and submit SNV's **Due diligence Self-declaration form** (self -declaration), along with the required supporting documents listed in the Basic DD cover letter.
2. Upon receipt of an offer, the Procurement Responsible (PR) shall check the documents submitted. Firstly, verify that the self-declaration is signed by an authorised signatory
 - i. For companies and/organisations, verify that the self-declaration is signed by an authorised representative. This person is usually named on the certificate of incorporation or in the extract of the business registry. Where the signatory is not named in any of the company or organisation's publicly available documents, clarification must be sought to ensure that the person signing the declaration is authorised to do so.
 - ii. For individuals, verify that the person signing the declaration is the person with whom we intend enter a contract.
3. A signed declaration is mandatory before suppliers, or partners are awarded a contract with SNV. A self-declaration is required for each procurement process, for low value procurements, as defined in the Global/ Country Competency Tables, offers may be evaluated without a declaration. For all other procurement types, it is recommended to obtain the signed declaration before evaluations start, however, each case is different, and it may be prudent to continue the evaluation process before all the documents are received. In all cases, However, the required signed self-declaration must be received and filed before a contract is signed.
4. Next, check if there are any additional disclosures – conflict of interest, adverse action, missing documents.
 - a. If a conflict of interest is disclosed, approval must be sought from the authorised Approver before the disclosing party is considered further as part of the procurement process. The Approver may designate an alternate to give preliminary approvals. For example, the Country Director may authorise the PR to make a preliminary determination on whether a potential supplier or partner is considered further in a procurement process. However, the Approver must acknowledge and approve the Supplier Conflict of Interest (COI) and adverse action declarations before a contract award is made. If the conflict of interest exists with the PR, another should be assigned. If the conflict of interest exists with the Approver, the approval shall be escalated upwards.
 - b. If adverse actions were disclosed, the Procurement Committee shall review the circumstances and assess the risks involved, if any, for SNV. The risks should be considered when making a recommendation for contract award. The assessment shall be included as part of the bid evaluation report submitted to the authorised Approver.
 - c. If documents are missing, the justifications should be reviewed, where they are not valid, the documents should be requested, and a contract should not be awarded without the basic documents being provided. In exceptional situations, we may need to engage a Supplier that does not have the basic documents, in such cases, the reason for the lack of documents shall be recorded and a decision made by the Approver on whether a contract should be awarded.
5. The PR shall also check that other requested supporting documents are provided. If they are missing, they should be requested.
6. If the documents, requested in the DD cover letter, have been provided by the Supplier previously, and they are still valid, they do not need to resubmit them. Only documents that have changed or expired need to be resubmitted.
7. All the submitted documents should be verified by the PR. In some countries, SNV has experienced unscrupulous vendors and consultants who have submitted forged documents in order to bid. If possible, you should check the validity of the supporting documents online or through a simple call to the relevant authorities. You must document the results of your checks. In some SNV countries there may be no structured system to enable you to check this. In this case, it is recommended that you seek the advice of local lawyers or audit firms who can advise on the standard elements that you should look for in supporting documents to ensure their validity.
8. If a company Supplier or Partner cannot provide a requested document, the reason, impact, and potential risk for SNV should be assessed and a decision should be made by the authorised Approver on whether we should conduct business with them or not. The entire assessment and decision-making process should be documented. PRs, Procurement Committee members and Finance

colleagues may provide recommendations but the decision to proceed or not is with the authorised Approver.

9. Once the evaluation process is completed and a preferred supplier or partner is identified, the PR or a member of the global/country team with no conflict of interest shall perform the following additional checks on the preferred supplier or partner:
 - a. **Anti-terrorism checks** on the name of the firm/company/organisation/individual and all the proprietors/directors/board members listed on their business extract or its equivalent. The antiterrorism check for a supplier or partner shall not be older than 12 months at the time of contract award. If the last anti-terrorism check was conducted more than 12 months ago, a new check must be conducted before a contract is signed.

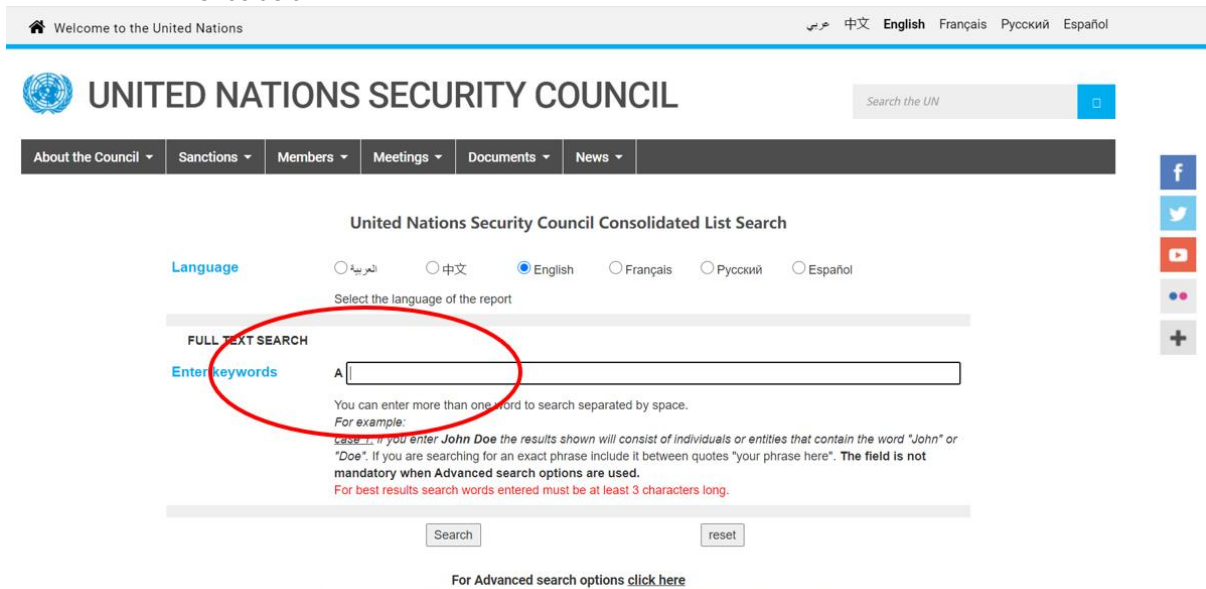
Some donors stipulate that, checks are performed against their own anti-terrorism sites/lists. You must refer to your donor contract/ agreement to check the donor specific sites/ list. In case of doubt or questions, please contact bsc@snv.org.

Where there is no such stipulation, SNV personnel shall use the following site belonging to the United Nations Security Council (UNSC), which enables searches for individuals and entities:

<https://scsanctions.un.org/search>. If this sight is not functioning the second reference site to use is <https://www.sanctionsmap.eu/#/main>.

It is critical that you file evidence on the dedicated Procurement SharePoint site to demonstrate these checks have been done. Take screen shots of the results and file them in the hardcopy and electronic procurement file/prospect file.

With the above UNSC page open, use the search field to search for the name of the individual or organisation you are looking for. Please note that the search is case sensitive (i.e., you must use all capital letters when you enter a name). The name of the individual, firm, or organisation you are searching for should be between brackets (""). See screen shot below.



The screenshot shows the 'United Nations Security Council Consolidated List Search' interface. At the top, there is a navigation bar with 'Welcome to the United Nations' and language options: عربي, 中文, English, Français, Русский, Español. Below this is the UNSC logo and a search bar labeled 'Search the UN'. A main navigation menu includes 'About the Council', 'Sanctions', 'Members', 'Meetings', 'Documents', and 'News'. The search interface features a 'Language' section with radio buttons for Arabic, Chinese, English (selected), French, Russian, and Spanish. Below this is a 'FULL TEXT SEARCH' section with a text input field labeled 'Enter keywords' and a 'Search' button. A red circle highlights the search input field. Instructions below the field state: 'You can enter more than one word to search separated by space. For example: "John Doe". If you enter John Doe the results shown will consist of individuals or entities that contain the word "John" or "Doe". If you are searching for an exact phrase include it between quotes "your phrase here". The field is not mandatory when Advanced search options are used. For best results search words entered must be at least 3 characters long.' A 'reset' button is also present.

Next 'screen shot' the result – if an individual or organisation is not included in the UNSC list, the field will show 'no results'; if an individual or organisation appears on the UNSC list, their name will be listed. The screen shot must be printed and filed.

As stated previously, this check shall be performed on the name of the consultant/vendor as well as the name of the firm/company/organisation and all the listed proprietors/directors/board members. Evidence of the check should be saved in the procurement file.

A negative result means you need take no further action, other than saving the entire list to the relevant folder.

If you have a positive result, i.e., the name you enter is found on the site, you must report the finding to your Country Director or Head of Business Unit, as you cannot do business with firms or individuals appearing on this list. If the positive result is confirmed, the partner/vendor/consultant shall be informed that SNV is unable to work with them as they appear on this checklist.

- b. **Debarred firms and individuals check** on the name of the firm/company/organisation/individual and all the listed proprietors/directors/board members. The debarred firm or ineligibility check for a vendor, consultant or partner shall not be older than 12 months at the time of contract award. If the last anti-terrorism check was conducted more than 12 months ago, a new check must be conducted before a contract is signed. To check for debarred firms or individuals (i.e., firms, organisations or individuals that have been found guilty of fraud, corruption, or other malpractice) SNV requires that two checks be made.

- o The first is a global check on the World Bank website. This site covers all firms and individuals who have been globally identified and debarred.

The World Bank site enables a search of both individuals and entities:

<https://www.worldbank.org/en/projects-operations/procurement/debarred-firms>

The check works in the same way as the anti-terror check above. You enter the name in the search function and then print and file a screen shot of the result.

The second is a national check. Many countries that SNV operates in also maintain a list of debarred firms. SNV must also check the names of firms against these lists to ensure that we are not operating against the wishes of the host government or with firms who have committed fraud, collusion, or corruption.

If there is no listing for your country office, you should explore if there are other ways to find the same information. If not, a note should be made to the Country Director that there is no list available and that therefore these national checks cannot be made.

In Tanzania, for example, the list can be found at: <https://www.ppra.go.tz/index.php/blacklisted-firms>

Again, the name of the vendors, consultants, or partners should be checked against the list, and the resultant screen shot printed for the file. A positive result means that you cannot work with that vendor, consultant, or partner. This needs to be documented and saved to the procurement file.

Some vendors, consultants, or partners who we plan to work with may be registered in a country other than the one we are operating in. In this case, you should also search the list of debarred firms in their country of registration. Again, print and file the search results.

- c. **Physical check of premises**

In the past, SNV has been victim of so-called 'briefcase companies', who do not exist in reality but operate as middlemen, taking a cut and subcontracting work to real companies. It is therefore recommended that SNV's Procurement Responsible organises a physical check on the premises listed in the due diligence form to ensure that the information provided there is valid. Photos should be filed to provide evidence. Note that this may not always be possible due to travel restrictions or other constraints. Please use your judgement and make use of alternative options (such as Google Maps Street view). If you cannot perform a physical check, please justify this in writing and save the document in the relevant folder.

In some countries there are legitimate agents who operate on behalf of a number of companies. Agents have a formal relationship with the companies they represent and retain a fee or commission for their services. In these cases, SNV's due diligence is to determine if the fee that they are applying is reasonable and in line with market rates. Agents should not be confused with briefcase companies who have no formal relationship with other companies but are outsourcing the work for a fee without informing the initial client (SNV).



Annexes

1. Cover letter (Basic DD)
2. Self-declaration form, including annexes – Consultants (firms), vendors, partners



Dear Madam or Sir,

Thank you for your interest in working with SNV.

As part of our commitment to our donors as well as to the delivery of quality services and projects, SNV conducts due diligence checks on prospective consultants, vendors, and partners.

The aim of the due diligence checks is to ensure compatibility between the values of SNV and those of prospective consultants, vendors, and partners. It also ensures that we are responsible in the use of funds that are entrusted to us by our donors.

To facilitate the due diligence checks, we require some information from your establishment.

Please return the following Forms:

- A- Duly completed SNV Due Diligence Self-Declaration Form
- B- Conflict of Interest declaration, if applicable
- C- Adverse Action form, if applicable, and
- D- Missing document declaration,

Also, kindly provide us with copies of the following supplementary documents as they pertain to your establishment:

- E- Copy of certificate of incorporation or extract from the Chamber of Commerce
- F- VAT registration certificate
- G- Extract of Ultimate Beneficial Owner (UBO) or equivalent declaration, if applicable
- H- Copy of Trade licence / business permit

If you are not able to provide any of the requested documentation, please provide SNV with written justification using the form annexed. If your establishment has provided any of the above supplementary documentation to SNV in response to a previous procurement process and the documents are still valid and have not changed, you do not need to resubmit them to us. Please indicate which procurement process you provided the documents for.

The data received shall be validated by SNV through remote and/or physical checks and processed in accordance with SNV's General Data Protection Regulation (GDPR) framework (which complies with the European Union's GDPR 2018), the hardcopy and electronic data you provide will be kept secure and will only be processed by SNV for procurement and project execution purposes.

The data will be kept for 10 years, after which they will be destroyed by SNV. By submitting your signed self-declaration and participating in the SNV process, you agree with this data use, storage, and processing of the data provided.

If you have any questions, please contact Enter name of SNV contact person or Procurement Responsible at SNV.



SNV Due Diligence Self-Declaration Form

We, Insert name of Consultant (Firm), Vendor or Partner hereby declare to Stichting SNV Nederlandse Ontwikkelingsorganisatie (SNV) that:

- a. we are not debarred, sanctioned, or included in any ineligibility lists established by the EU, UN, UK, USGOV or the World Bank.
- b. neither us nor our principals, director(s)/partner(s)/proprietor(s)/ultimate beneficial owner have been the subject of legal proceedings for insolvency, bankruptcy, receivership nor have we had our activities suspended for related reasons.
- c. we are not bankrupt nor being wound up, having our affairs administered by the courts, have not entered an arrangement with creditors, have not suspended business activities, are not the subject of proceedings concerning the foregoing matters, and are not in any analogous situation arising from a similar procedure provided for in national or international legislation or regulations.
- d. we are solvent and, can continue doing business for the period stipulated in the contract after contract signature, if awarded a contract by SNV.
- e. neither us nor persons having powers of representation, decision making or control over us have not been convicted of an offence concerning our professional conduct by a final judgment.
- f. neither us nor persons having powers of representation, decision making or control over us have been the subject of a final judgment or of a final administrative decision for fraud, corruption, involvement in a criminal organization, money laundering, terrorist-related offences, child labour, modern slavery, human trafficking, or any other illegal activity.
- g. we are in compliance with all our obligations relating to the payment of social security contributions and the payment of taxes in accordance with the national legislation or regulations of the country in which we are established.
- h. we are not subject to an administrative penalty for misrepresenting any information required as a condition of participation in a procurement procedure or failing to supply such information.
- i. we have no conflict of interest, or we have declared to SNV any circumstances that could give rise to a conflict of interest or potential conflict of interest in relation to the current procurement process. If the latter, please complete Annex A - Conflict of Interest Form.
- j. no adverse action has been taken against us, including contract termination for poor performance or we have declared to SNV any adverse actions against us in the last five years. If the latter, please complete Annex B - Adverse Action Form.
- k. we have not granted and will not grant, have not sought, and will not seek, have not attempted, and will not attempt to obtain, and have not accepted and will not accept any direct or indirect benefit (financial or otherwise) arising from this procurement process or the contract, if awarded a contract by SNV
- l. we have zero tolerance for sexual exploitation, harassment and abuse and have appropriate procedures in place to prevent and respond to sexual exploitation, harassment, and abuse, and
- m. we shall notify SNV in case any of any changes to the declarations above.

We understand that a false statement or failure to disclose any relevant information which may impact upon SNV's decision to award a contract may result in our disqualification from the bidding exercise and/or the withdrawal of any offer of a contract with SNV.

Furthermore, in case a contract has already been awarded, SNV shall be entitled to terminate the contract with immediate effect, in addition to any other remedies which SNV may have by contract or by law.

Signed by and on behalf of:

Legal Name:	
Trading name (if different from above)	
Business registration number and country of registration	
Physical location of business premises:	
Postal address (if different from above):	



E-mail address:	
Name and Title of duly authorized representative:	
Date:	
Signature:	



Annex A - Conflict of Interest Form

We, Insert name of Consultant (Firm), Vendor or Partner hereby declare to Stichting SNV Nederlandse Ontwikkelingsorganisatie (SNV) that there is a potential or actual conflict of interest. The questions and answers below provide additional information on the nature of the conflict of interest:

To the best of your knowledge, have you or any employee or staff member of your organisation or firm, ever been employed by SNV?	<i>Yes or No</i>
If yes, provide the name of the person in your organisation, and a description of the employment period, including job title, the duration of the employment period, the country of employment.	<i>Provide details</i>
Is any employee or staff member of your firm, company or organisation related (by blood, marriage or otherwise) to any employee of SNV?	<i>Yes or No</i>
If yes, please provide the name of your staff and the name of the SNV staff member they are related to. State the nature of the relationship.	<i>Provide details</i>
Are there any other potential conflicts of interest between you/your firm, company, or organisation and SNV or any of our donors, partners, staff, offices, contracted consultants, or vendors?	<i>Yes or No</i>
If yes, please provide further information here.	<i>Provide details</i>
Any other relevant disclosures	<i>Provide details</i>

Name and Title of duly authorized representative

Signature

Date



Annex B – Adverse Action Form

We, Insert name of Consultant (Firm), Vendor or Partner hereby declare to Stichting SNV Nederlandse Ontwikkelingsorganisatie (SNV) that adverse action has been taking against our establishment.

The questions and answers below provide additional information on the nature of the adverse action:

<p><i>Provide details of adverse action(s)</i></p>	
<p>Any other relevant disclosures?</p>	<p><i>Provide details</i></p>

Name and Title of duly authorized representative:

Signature

Date



Annex C – Missing Document Declaration

We, Insert name of Consultant (Firm), Vendor or Partner hereby declare to Stichting SNV Nederlandse Ontwikkelingsorganisatie (SNV) that we are unable to provide the following requested documents for the reasons provided below:

Name of document(s)	<i>Reason(s) why the documents were not provided</i>
<i>Name of document</i>	<i>Provide details</i>
<i>Name of document</i>	<i>Provide details</i>
<i>Name of document</i>	<i>Provide details</i>
<i>Name of document</i>	<i>Provide details</i>
<i>Name of document</i>	<i>Provide details</i>

Name and Title of duly
authorized representative:

Signature

Date

Annex 5: Grading of participating enterprises for Uganda

The grading of participating BEs will take place through half-yearly meetings between the BE, NPs and SNV at one of the service outlets of the BE. These meetings will have a duration of about 4 hours to discuss and rate various performance parameters, but also to review possible challenges and opportunities through a gender lens. Some of the parameters are linked to the eligibility criteria; others are additional, see the

Table below for Uganda

The total number of points will determine the grading of the enterprise: above 74 points: "A" grade; between 50 and 74 points: "B" grade; below 50 points: "C" grade. "C"-graded BEs must (further) improve based on a gender informed compliance action plans to be executed within a period of maximum six months, and to be evaluated in the next meeting.

AREA	Parameter	Indicator	Rating	Note
Enterprise management (Interview-based)	Availability of an updated plan for the installation of digesters up to 2025 and beyond	Gender informed, concise and substantiated.	X/7	
	Availability of qualified and gender balanced human resources	Gender informed capacity to deliver on sales, installation, after sales and administration at all service outlets	X/7	
	Availability of service outlets including essential spare parts	Within reasonable distance of each customer, provided with contact telephone number and opened during business hours.	X/7	
	Availability of an internal quality control system	Use of a gender informed checklist to be filled and signed by a qualified technician.	X/7	
	Availability of a system to manage sex-disaggregated customers data	Gender informed, both reactive and pro-active, with up-to-date and well archived files for each customer.	X/7	
	Total (1)			XX/35
Service Management (Sample-based)	Pre-sales information	Gender informed proof of clear and simple information provided in the most appropriate language	XX/10	
	Sales contract including guarantee and after sales	Duly signed by customer and BE in the most appropriate local language and included in the customer kit	XX/10	
	Instruction on the proper feeding of the digester, the use of the gas and bio-slurry, and maintenance to be executed by the customer	Gender informed proof of clear and simple information provided in the most appropriate language	XX/10	
	Total (2)			XX/30
Installation management (IVA-based)	Target achievement in the last 6 months	Number of units registered/target [BE]	X/7	Target set by the BE for the next 6 months: XX units
	Registration of installations	Quality of data uploaded during registration and after one year	X/7	IVA data

	Quality of installations	Share of registered digesters positively 1st verified by the IVA	X/7	IVA data
	Market share	Number of units registered /number of units registered by all BEs	X/7	IVA data
	Technical functionality of digesters	Cumulative number of positively 2nd verified units/cumulative number of 2nd verified flagged as technically functional	X/7	IVA data
	Total (3)		XX/35	
	Grand total (1+2+3)		XX/100	

Gender informed compliance action plan for C-graded BEs to be executed within a period of maximum six months	Agreed deadline	Requested/agreed support by ABC

Identified gender informed key opportunities and challenges to be addressed in the next 6 months for all participating BEs (Product, services, price, promotion, place, people, etc.)

Annex 6: Template for the compliance action plan to be submitted by the participating enterprise not meeting the desired eligibility criteria for Uganda

Desired eligibility criteria	Current situation	Desired situation	Actions	Deadline
Gender informed, concise, but substantiated plan for the installation of digesters in the period 2022-2025 by [region/district], as well as for the period after 2025 when ABC has been terminated.				
Ability to instal a minimum of xx digesters during the first year of its operation				
Establishment of qualified service outlets equipped with technical support and essential spare parts (e.g., biogas stove)				
Qualified and gender balanced key staff (f/m) including managers, marketeers, supervisors, and technicians assigned to deliver on the biogas digester installation and after sales for all service outlets				
Adequate system to manage sex-disaggregated customers data				