

Date: 13 December 2022

Reference: RFP 2022/037/hn

Request for Proposals no. RFP 2022/037 –
Consultancy Services for Independent Evaluation of the Readiness Preparatory Support Programme

1. Background

- 1.1 The Green Climate Fund (the “GCF”, or the “Fund”) was established with the purpose of making a significant and ambitious contribution to the global efforts towards attaining the goals set by the international community to combat climate change. In the context of sustainable development, the Fund shall promote a paradigm shift towards low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas emissions and to adapt to the impacts of climate change. The Fund’s headquarters are located in Songdo, Incheon City, Republic of Korea.
- 1.2 The GCF was designated as an operating entity of the financial mechanism of the United Nations Framework Convention on Climate Change (“UNFCCC”). It is governed and supervised by a Board that has responsibility for funding decisions pursuant to the Governing Instrument for the Green Climate Fund (the “Governing Instrument”). It is supported by an independent Secretariat, accountable to the Board, having management capabilities to execute day-to-day operations of the GCF, providing administrative, legal and financial expertise.
- 1.3 The GCF is operated by a Secretariat headed by an Executive Director. The GCF also has three independent units including the Independent Integrity Unit (IIU), Independent Redress Mechanism (IRM) and Independent Evaluation Unit (IEU).

2. Invitation

Through this request for proposals (the “RFP”), the GCF is seeking to contract a qualified, reputable and experienced company/corporation/firm (the “Firm”) to provide **Consultancy Services for Independent Evaluation of the Readiness Preparatory Support Programme (RPSP), which must be completed by 31st December 2023**. The terms of reference included in Annex 1 herein provides the details of the assignment and expected deliverables.

Proposals must be submitted to the GCF no later than **Friday, 20 January 2023 at 18.00 hours** Korean standard time.

- 2.1 The RFP includes the following annexes:

Annex 1	Terms of Reference
Annex 2	Requirement for Firm’s Proposals
Annex 3	Evaluation Criteria
Annex 4	Company Profile Form
Annex 5	Acknowledgement Letter
Annex 6	Timeline
Annex 7	Model Contract

- 2.2 Should the GCF accept your proposal, the terms outlined in this RFP, including all the annexes listed above, shall form part of any contract. Any such agreement shall require compliance with all factual

statements and representations made in the proposal, subject to any modifications agreed to by the GCF in the context of any negotiations entered into it.

- 2.3 The GCF may, at its discretion, cancel the requirement in part or in whole. It also reserves the right to accept or reject any proposal and to annul the selection process and reject all proposals at any time prior to selection, without thereby incurring any liability to the Bidders.
- 2.4 Bidders may withdraw their proposal after submission provided that the GCF receives written notice of withdrawal before the deadline prescribed for submission of proposals. No proposal may be modified after the deadline for submission of proposals. No proposal may be withdrawn in the interval between the deadline for submitting proposals and the expiration of the proposal validity period.
- 2.5 All proposals shall remain valid and open for acceptance for ninety (90) calendar days after the deadline for submission of proposals. A proposal valid for a shorter period may be rejected. In exceptional circumstances, the GCF may solicit the Bidder's consent to extend the period of validity. The request and the responses to that shall be made in writing.
- 2.6 Effective with the release of this solicitation, all communications relating to this RFP must be directed only to the Head of Procurement by e-mail at procurement@gcfund.org and copy to hngau@gcfund.org . Bidders must not communicate with any other personnel of the GCF regarding this RFP.
- 2.7 This RFP is issued under the GCF Administrative Guidelines on Procurement ¹. Information regarding the guidelines can be found at http://www.greenclimate.fund/documents/20182/574763/GCF_policy_-_Administrative_Guidelines_on_Procurement.pdf/b767d68e-f8b7-46d1-a18c-b6541f3dc010

3. Joint Venture, Consortium or Association

- 3.1 If the Bidder is a group of legal entities that will form or have formed a joint venture, consortium or association at the time of the submission of the Proposal, they shall confirm in their Proposal that:
 - a) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the joint venture jointly and severally,
 - b) if they are awarded the contract, the contract shall be entered into, by and between GCF and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.
- 3.2 After the Proposal has been submitted to GCF, the lead entity identified to represent the joint venture shall not be altered without the prior written consent of the GCF. Furthermore, neither the lead entity nor the member entities of the joint venture can submit another proposal:
 - a) either in its own capacity; nor
 - b) as a lead entity or a member entity for another joint venture submitting another Proposal.
- 3.3 The description of the organization of the joint venture/consortium/association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the Joint Venture Agreement. All entities that comprise the joint venture shall be subject to eligibility and qualification assessment by GCF.
- 3.4 Where a joint venture is presenting its track record and experience in a similar undertaking as those required in the RFP, it should present such information in the following manner:
 - a) Those that were undertaken together by the joint venture; and

¹ Annex II "Corporate Procurement Guidelines on the Use of Consultants"

- b) Those that were undertaken by the individual entities of the joint venture expected to be involved in the performance of the services defined in the RFP.
- 3.5 Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the joint venture or those of its members but should only be claimed by the individual experts themselves in their presentation of their individual credentials.
- 3.6 If a joint venture's Proposal is determined by the GCF as the most responsive Proposal that offers the best value for money, the GCF shall award the contract to the joint venture, in the name of its designated lead entity. The lead entity shall sign the contract for and on behalf of all other member entities.

4. Request for Clarification of RFP Documents

A prospective Bidder requiring any clarification of the solicitation documents may notify the GCF in writing to the email address procurement@gcfund.org and copied to hngau@gcfund.org by the specified date and time mentioned in Annex 6. The subject line of the email **MUST** have the reference number and title of the RFP i.e., **RFP2022/037 - Provision of Consultancy Services for Independent Evaluation of the Readiness Preparatory Support Programme**. The GCF shall respond in writing to any request for clarification of the solicitation documents that it receives by the due date published in Annex 6. Written copies of the GCF response which contain information that may be of common interest to all Tenderers (including an explanation of the query but without identifying the source of inquiry) shall be posted on the GCF website and/or communicated via email.

5. Amendments to RFP Documents

At any time prior to the deadline for submission of proposals, the GCF may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective Bidder, modify the RFP documents by amendment. The amendments will also be posted on the GCF website and/or communicated via email.

In order to allow prospective Tenderers reasonable time in which to take the amendment into account in preparing their proposals, the GCF may, at its sole discretion, extend the deadline for the submission of proposal.

6. Language of Proposals

The proposals prepared by the Bidder and all correspondence and documents relating to the proposal exchanged by the Bidder and the GCF, shall be written in English. Supporting documents and printed literature furnished by the Bidder may be in another language provided they are accompanied by an appropriate translation of all relevant passages in English. In any such case, for interpretation of the proposal, the translation shall prevail. The sole responsibility for translation and the accuracy thereof shall be the responsibility of the Bidder.

7. Submission of Proposals

Format and form of submission of bids: Tenderers are requested to send a Bid preferably 1F² through the GCF Supplier portal at <https://gcf.supplier.ariba.com> (a supplier manual can be found on the GCF website <https://www.greenclimate.fund/who-we-are/procurement> as an attachment under this RFP) **or** via email to procurement@gcfund.org and copied to hngau@gcfund.org

i) Submission through the Supplier Portal (SAP Ariba)

² *Suppliers shall note that GCF will be phasing out e-mail submission in the near future, therefore suppliers are encouraged to register and submit their Bid/Proposal through the GCF Supplier portal (SAP Ariba)*

1. Open <https://gcf.supplier.ariba.com/>
2. Click Register Now
3. Fill in Company Information, Fill in User account information and details under ‘Tell us more about your business’
4. Check ‘I have read and agree to the Terms of Use and ‘I have read and agree to the SAP Ariba Privacy Statement’ then click ‘Register’
5. Check your email and click the activation link.
6. Fill in additional information required, click Save and Close.
7. Your company information will be submitted to GCF and will be reviewed and approved. Once you register, please send an email to procurement@gcfund.org with the RFP number and title as the email reference and confirm that you are interested in submitting a bid. You will then be invited to participate in the RFP. You will receive the RFP event notification email from the Green Climate Fund with a link to access the RFP. This link can be used only once. If you require to access the portal after you have activated the link, you can log in on <https://gcf.supplier.ariba.com> with your user name and password.
8. Review Prerequisites and Click ‘I accept the terms of this agreement’
9. Open the Technical Section of the RFP section and download the RFP document and technical proposal submission forms
10. Open the Financial Section of the RFP and download the financial bid submission forms
11. When ready to submit your bid, upload the technical bid under the TECHNICAL section and the financial bid under the FINANCIAL section. Please **DO NOT** enter or upload any financial information under the TECHNICAL section as this may result in disqualification.
12. Click ‘Submit Entire Response’ to submit bid.
(For detailed instructions on how to access and submit a bid, see the supplier manual. It is recommended that Tenderers register on the portal as early as possible.)

ii) Submission via email

Two separate files (technical and financial bids) should be attached to the e-mail as below.

The Technical file should contain the technical proposal and be named as follows:

RFP 2022/037 – TECHNICAL PROPOSAL - (name of Bidder)

Please **DO NOT** include any financial information in the technical proposal as this may result in disqualification.

The financial file should contain the financial proposal and be named as follows:

RFP 2022/037 – FINANCIAL PROPOSAL - (name of Bidder)

The subject line of the e-mail should be as follows:

RFP 2022/037 - Consultancy Services for Independent Evaluation of RPSP (name of Bidder)

The Financial Proposal MUST be password protected. The authorized procurement officer will contact the Tenderers that pass the qualifying technical score for the password to open the Financial Proposal. Tenderers should NOT send the password to the financial proposal until they are requested to do so by the procurement officer. Financial Proposals that are submitted without password protection may be rejected for non-compliance.



All prospective Tenderers are kindly requested to return the completed Acknowledgement Letter of RFP receipt (Appendix 5) by the date indicated in Appendix 6, duly signed by an authorized representative, via email, advising whether they intend to submit a proposal by the designated closing date/time. Please also notify the Procurement Specialist immediately if any part of this RFP is missing and/or illegible.

8. Late proposals

Any proposals received by the GCF after the deadline for submission of proposals prescribed in Annex 6 of this document shall normally be rejected.

9. Opening of Technical Proposals

Technical Proposals will be opened on the date indicated in Annex 6. The purpose of this public opening is to record the names of Tenderers having submitted proposals by the due date and time. Only technical proposals will be opened at the public opening. The financial proposals will not be opened. Tenderers submitting proposals are welcome to send one (1) representative, with proper authorization from their company, to observe the opening and recording of proposals received.

10. Opening of Financial Proposals

The GCF shall notify in writing those Tenderers that have achieved the minimum qualifying technical score and request for the password for the Financial Proposals.

11. Corrupt, Fraudulent, Coercive, Collusive and other Prohibited Practices.

The GCF requires that all GCF staff members, tenderers/bidders, suppliers, service providers and any other person or entity involved in GCF-related activities observe the highest standard of ethics during the procurement and execution of all contracts. The GCF may reject any proposal put forward by Tenderers, or where applicable, terminate their contract, if it is determined that they have engaged in corrupt, fraudulent, coercive, collusive or other prohibited practices.

12. Conflict of Interest

In their proposal, Tenderers must (i) confirm that, based on their current best knowledge, there are no real or potential conflicts of interest involved in rendering Services for the GCF, and (ii) set out their policy on dealing with conflicts of interest should these arise.

Specifically, the tenderer must ensure that none of the individual team members have been involved in design of policies and guidelines pertaining to GCF's readiness programme nor should they have taken on any implementation responsibilities in the readiness programme of GCF whether directly with the Secretariat or indirectly with any of the delivery partners and other stakeholders.

13. Confidentiality

Information relating to the evaluation of proposals and recommendations concerning selection of Firms will not be disclosed to Firms that submitted proposals.

Annex 1: Terms of Reference

Consultancy Services for Independent Evaluation of the Readiness Preparatory Support Programme (RPSP)

The GCF is a multilateral fund created in 2010 to support developing countries respond to the challenges of climate change. The GCF contributes to achieving the objectives of the United Nations Framework Convention on Climate Change (UNFCCC) and the Paris Agreement. In the context of sustainable development, the GCF advances and promotes a paradigm shift towards low-emission and climate-resilient development pathways. As a designated financial entity of the UNFCCC, the GCF provides funding for climate mitigation and adaptation projects and programmes in developing countries while accounting for their needs and supporting particularly those most vulnerable to the adverse effects of climate change.

A Board governs the GCF, composed of an equal number of members from developed and developing countries. The GCF is operated by a Secretariat headed by an Executive Director. The GCF has three independent units including the Independent Integrity Unit (IIU), Independent Redress Mechanism (IRM) and Independent Evaluation Unit (IEU). The Governing Instrument of the GCF outlines the mandate of the Fund to provide new, additional, adequate, and predictable mitigation and adaptation support to developing countries.

I. AIM

During the 34th meeting of the GCF Board, the 2023 work plan of the Independent Evaluation Unit (IEU) was approved, which lays out the different independent evaluations to be conducted in 2023. One of the evaluations to be conducted is the Independent Evaluation of the Readiness Programme of the Green Climate Fund, also referred to as the Readiness and Preparatory Support Programme (RPSP). Understanding the relevance, effectiveness, and efficiency of the programme is a strategic need for the Board as it decides upon new allocations and the request to update and revise the Readiness Strategy 2019-2021. The evaluation aims to strengthen the GCF Secretariat's accountability to the Board and to support organizational learning.

This document lays out the Terms of reference for the second independent evaluation of the RPSP. This includes a brief background (Section II), evaluation objectives and criteria (Section III), and methods and timeline (Section IV) for the independent evaluation.

II. BACKGROUND

1. Readiness Guidance by Governing Bodies

(a) The governing Instrument of the GCF states:

The Fund will provide resources for readiness and preparatory activities and technical assistance, such as the preparation or strengthening of low-emission development strategies or plans, NAMAs, NAPs, NAPAs and for in-country institutional strengthening, including the strengthening of capacities for country coordination and to meet fiduciary principles and standards and environmental and social safeguards, in order to enable countries to directly access the Fund.

(b) The GCF Board has emphatically reaffirmed that:

“Readiness and Preparatory Support Programme is a strategic priority for GCF to enhance country ownership, encourage direct access to GCF resources, and strengthen strategic programming during the first replenishment period of the GCF³”

(c) The Board also requested the Secretariat to:

“continue to report on the implementation of the Readiness and Preparatory Support Programme at the mid-year Board meeting of each year; and update and revise the strategy for the Readiness and Preparatory Support⁴.”

(d) The Conference of Parties (COP) has also noted the importance of the Readiness and Preparatory support programme and has requested the GCF secretariat to provide updates on several topics:

Takes note of the progress achieved to date in the implementation of the readiness and preparatory support programme of the Green Climate Fund and stresses the importance of improving the approval process and timely disbursement of readiness resources to facilitate readiness programme implementation pursuant to Green Climate Fund Board decision B.11/04” (UNFCCC decision 7/CP.21, paragraph 17, Linked with UNFCCC decision 7/CP.20, paragraph 12)

(e) Readiness is centrally driven by country ownership. In this regard, the Board adopted guidelines for enhanced country ownership and country drivenness (GCF document B.17/14) that describe the central role of National Designated Authorities (NDAs) in the project cycle. This coordinating role includes submitting proposals for readiness support and the development of Country Programmes to drive investment planning. Country Programmes play a key role in the investment decision-making process of the Fund as per the proposal approval process revised through decision B.17/09.

(f) An indicative list of decisions and revisions and amendments of the Board related to RPSP are provided in Appendix 1.

2. Readiness Purpose and Scope

(a) Objectives of Readiness.

The current readiness programme is guided by the Readiness programme strategy (2019-21) which contains five objectives as below:

- (1) Capacity building for climate finance coordination
- (2) Strategic frameworks for low-emission investment
- (3) Strengthened adaptation planning
- (4) Paradigm-shifting pipeline development
- (5) Knowledge sharing and learning

(b) The priorities of the initial readiness programme before 2019 and the revised readiness strategy 2019-21 have commonalities as elaborated in the table below.

Table 1: Similarity of Priorities

Initial Readiness Programme	Readiness Programme Strategy 2019-21
NDA capacity for engagement with GCF	Capacity building for climate finance coordination
Direct access to climate finance	

³ B33/04

⁴ GCF/B.33/19

Initial Readiness Programme	Readiness Programme Strategy 2019-21
Country programming process	Strategic frameworks for low-emission investment
Formulation of national adaptation plans and/or other adaptation planning processes	Strengthened adaptation planning
Climate finance accessed	Paradigm-shifting pipeline development

- (c) Thus, Readiness programme is to build an enabling environment, including increased institutional capacity and robust country strategies, to implement transformational projects and programmes in line with national climate change priorities and GCF result areas. In the current readiness strategy knowledge sharing and learning as a cross cutting objective is a new objective over the initial readiness programme.
- (d) Administered by GCF, the Readiness Preparatory Support Programme aims to provide resources for strengthening the institutional capacities of NDAs or focal points and direct access entities to efficiently engage with the Fund. Resources may be provided in the form of grants or technical assistance. All developing countries can access the RPSP, and the Fund aims for a floor of 50 percent of readiness support allocation to particularly vulnerable countries, which includes least developed countries (LDCs), small island developing states (SIDS) and African States.
- (e) The RPSP provides (i) Up to US\$ 1 million per country per year. Of this amount, NDAs or focal points may request up to US\$ 300,000 per year to help establish or strengthen an NDA or focal point to deliver on the Fund’s requirements. (ii) Up to US\$ 3 million per country for formulating adaptation plans. Within these funding caps, countries may submit multiple proposals over multiple years. Multiple proposals (including for adaptation planning) may be implemented within country by delivery partners (more on this in the next paragraph). Guidance to countries requires that proposals requesting readiness support must be aligned with the Fund’s Environmental and Social Safeguards and its Gender Policy. All readiness funding requests need to be initiated by developing country focal points or NDAs although funding itself may be managed by the delivery partner.
- (f) The implementing entity known as a delivery partner prepares and submits readiness proposals through NDAs and undertakes approved readiness activities. Delivery partners can be the NDAs themselves, or any other entity, including GCF accredited entities. The delivery partners that are not accredited to GCF must undergo a Financial Management Capacity Assessment (FMCA)⁵ in order to be deemed eligible to implement readiness grant support.

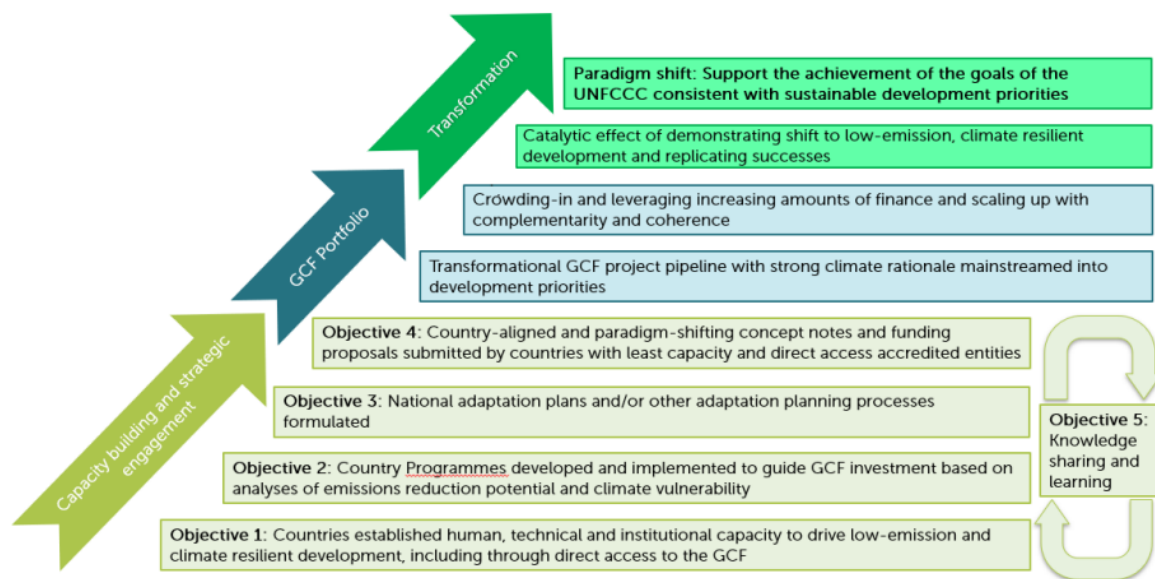
3. Evolution of Readiness Modality in GCF

- (a) The Readiness Programme has undergone several changes since it was first approved by the Board. Modalities for Readiness and Preparatory support were adopted by the GCF Board at its 5th meeting, but most significantly B.08/11 and B.13/32 and associated appendices describe work areas and “indicative activities” of readiness activities (full list of readiness Activities will be provided in Appendix 2).
- (b) In 2018, the Independent Evaluation Unit (IEU) of GCF conducted an evaluation of the Readiness Programme which provided recommendations for strengthening and improving the administration of the delivery of readiness support. In response, the Secretariat developed the “Readiness and Preparatory Support Programme: Strategy for 2019–2021”

⁵ <https://www.greenclimate.fund/sites/default/files/document/form-04-readiness-financial-management-capacity-assessment.docx>

- which was adopted by the Board as set out in document B.22/08 and decision B.22/11. The strategy intended to guide countries towards a longer-term approach to readiness support, informed by an ambitious vision that by 2025 all GCF recipient countries would have the necessary enabling environment, including increased institutional capacity and robust country strategies, to implement transformational projects and programmes in line with national climate change priorities and GCF result areas, including as elaborated in their updated nationally determined contributions (NDCs) and national adaptation plans (NAPs).
- (c) RPSP underwent changes in focus and scope, as well modalities, management of results, and the depth and coverage of capacity building to NDAs and delivery partners on implementation and reporting. Operational improvements initiated included streamlining of the co-development and review processes, standardization of key processes, revision of the calculation date of annual readiness cap, readiness results management framework (RRMF) and portfolio performance management system (PPMS) and readiness guidebook. The new features incorporated in RPSP target impact, including orienting the Readiness Programme to encourage a national strategic outlook, aim greater flexibility within a national vision, and support for the identification and development of high-impact programming and pipeline development activities.

Table 2. Readiness theory of change developed by GCF



- (d) As of 30 April 2022, GCF had approved 607 readiness requests covering 141 countries, which includes requests for support for national adaptation plans (NAPs) and/or other adaptation planning processes. USD 418.96 million has been committed in the form of grants or technical assistance for the 607 readiness requests; 498 of the requests are under implementation or have been completed⁶. A total of 86 grants with total expenditure of USD 15.83 million have been completed under other readiness support, including 31 grants for support to NDA strengthening, including country programming; 9 grants for support to strategic frameworks; and 46 grants for support for DAEs⁷. Readiness programme proposals undergo a process of appraisal reviews which aims to ensure quality at entry.

⁶ Readiness and Preparatory Support Programme – work programme and budget 2022–2023, GCF B.33/07

⁷ Ibid.

- (e) At the national level, a national readiness network led by the NDA is expected to support the country to enhance the capacity to successfully develop policies, programmes and projects. This network of national institutions is expected to support sustainable national capacity development required to transform the aspirational targets contained in the NDC into programmes, action plans and concrete projects. The national readiness network consists of national designated authority, the direct access entities, executing entities, subnational government, non-governmental and civil society organizations.
- (f) The implementation of readiness grants has faced various challenges over the years, in addition to the impact of COVID-19, including extreme weather events, communications bottlenecks, procurement and operational issues, and changes in government priorities.

III. EVALUATION SCOPE, OBJECTIVES AND CRITERIA

1. Objective of the Evaluation

This evaluation is expected to have four objectives:

- (a) assess progress and gains made in the effectiveness of the Readiness and Preparatory Support Programme (RPSP) and the extent to which RPSP processes are fulfilling the intended objectives and targets of the RPSP;
- (b) assess the extent to which readiness has created enabling environment for accessing climate finance at country level;
- (c) assess the effectiveness and efficiency of the Readiness Programme’s operational approach;
- (d) feed lessons from readiness implementation experience into preparation of the new Readiness strategy.

2. Scope of the Evaluation

The evaluation will assess GCF Readiness Programme’s support to GCF eligible recipient countries. The evaluation will assess the Readiness Programme over the period 2019-2022, including the support delivered under the Readiness Programme Strategy (2019-2021) and GCF Updated Strategic Plan 2019-2023. Given the similarities of objectives of initial readiness programme and the revised readiness programme (2019-21) this evaluation will also look at readiness operations before 2019 to look at the respective priorities and focus areas of the readiness programme over the two time periods and understand the significant changes between the two periods. In addition, given that some of the readiness grants approved under the initial readiness programme are implemented under the readiness programme strategy (2019-21) the evaluation will consider them for understanding the differences in the implementation approaches.

3. Evaluation Questions And Methodology

- 3.1. The independent evaluation will use the evaluation criteria established by the GCF Board for the IEU.⁸ These include:
 - (a) Relevance, effectiveness, efficiency, impact and sustainability of projects and programmes,
 - (b) Coherence in climate finance delivery with other multilateral entities;
 - (c) Gender equity;
 - (d) Country ownership of projects and programmes;

⁸ See Decision B.06/09.

- (e) Innovativeness in result areas (extent to which interventions may lead to paradigm shift towards low-emission and climate resilient development pathways);
- (f) Replication and scalability – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries; and
- (g) Unexpected results, both positive and negative.

3.2. The evaluation will analyze these criteria customized to the RPSP. The evaluation will also consider several key questions organized under different pillars and mapped to different evaluation criteria. The tentative list of evaluation questions, mapped to respective criteria are as below:

(a) Relevance and internal coherence of GCF readiness support

- (1) Were recommendations from previous evaluation of GCF’s readiness programme (2018) operationally mainstreamed into current readiness programme? **(relevance)**
- (2) Are the objectives of the readiness strategy 2019-21 aligned with climate finance needs of countries? **(relevance)**
- (3) Is there coherence between readiness strategy/objectives, the readiness results measurement framework and tools for results measurement? **(internal coherence)**
- (4) Are readiness activities in line with RPSP strategy (2019-21)? **(relevance)**
- (5) Are mechanisms to deliver readiness suited to the objectives of readiness strategy and country expectations? **(internal coherence)**
- (6) Is readiness support by GCF implemented in a coherent manner with rest of GCF’s operations? **(internal coherence)**

(b) Contribution to paradigm shift

- (1) Has GCF been able to form enduring partnerships at the international, national and regional level through its readiness programme? **(effectiveness and sustainability)**
- (2) Has the readiness programme contributed to enhancing scale of climate interventions? **(replication and scalability)**
- (3) Has readiness programme been able to promote innovation and innovative approaches? **(innovation)**

(c) Value addition of GCF readiness:

- (1) What is GCF’s comparative advantage compared to other bilateral and multilateral funds, in the context of readiness support? **(external coherence)**
- (2) Is there complementarity between GCF’s readiness support and similar support provided by other players? **(external coherence)**

(d) Results measurement and oversight mechanisms and of readiness

- (1) Are there suitable mechanisms to provide results measurement and oversight of the GCF readiness programme? **(effectiveness)**
- (2) What are the outputs, results and findings on readiness programmes produced by the results measurement and oversight mechanisms? **(effectiveness)**

(e) Efficiency, results and impacts:

- (1) Has GCF’s readiness support been rendered in a timely manner? **(efficiency)**

- (2) Has readiness support been able to positively support strengthening of institutions and policies and creation of an enabling environment at the national level or sub-national level? (**effectiveness**)
 - (3) Has GCF been able to promote knowledge sharing and learning in the climate finance landscape through its readiness programme? (**effectiveness**)
 - (4) Has GCF readiness support been able to enhance access to climate finance, especially financing from GCF? (**impact**)
 - (5) Are there any unintended and unforeseen results of GCF's readiness programme? (**impact**)
- (e) 3.3. During the inception phase, questions will be further sharpened and elaborated into sub-questions and key criteria. An evaluation matrix will be finalized in the approach paper of this evaluation (see Section IV).
- 3.4. The Independent Evaluation of the RPSP will review trends with respect to the constitution of the Readiness portfolio, changes in the mandate, strategic guidance, operation modalities, process, portfolio type, disbursement rates, processing times and implementation structures and procedures and, most importantly, impacts for country level stakeholders (NDAs, CSOs, PSOs, DAEs) and beneficiaries in the field. External factors such as COVID-19 and other contextual bottlenecks will be also assessed to the extent possible.

IV. METHODS AND TIMELINE

- 4.1. The evaluation specialist/task manager will be supported by an external team and internal IEU team in delivering this evaluation. The external team will be brought on through a procurement process following GCF rules.
- 4.2. The evaluation will use a theory-based approach, using a combination of qualitative and quantitative methods. The evaluation will undertake a literature review, detailed Readiness Programme financial and portfolio analysis, synthesis and/or meta-analysis of IEU evaluations and AE evaluations, conduct online stakeholder surveys and key informant semi-structured interviews and select country case studies to respond to the key evaluation questions. It will take an iterative approach and gather various perspectives, relying on the triangulation of data collected from multiple sources.
- 4.3. The evaluation will include a multi-stakeholder consultation process, including NDAs, Direct Access Entities (DAEs), pipeline DAEs, governments (national and sub-national level), the private sector, civil society, marginalized and vulnerable groups, and agencies doing similar work.
- 4.4. The evaluation will assess GCF support through a system lens. Systems lens will be used in the conceptual framing for understanding the relevance, effectiveness and sustainability of GCF support. To that end the evaluation will consider how RPSP interacts with other systems in a country.
- 4.5. Formal and informal consultation and periodic briefings on emerging findings, and draft reports will be conducted with the Board and GCF Secretariat. The evaluation will also undergo an internal peer review process to review the report prior to completion.
- 4.6. The evaluation methods will include:
 - (a) **A theory of change analysis.** Drawing on the current ToC conceptualized in the Readiness Strategy and RRMF an aggregated theory of change will be developed. The ToC will help map the extent to which planned and actual activities are contributing to the overall vision of the Readiness Programme. It will also examine key pathways and changes during

- implementation and possible learning by the RPSP team. This will take place during the data collection phase of the evaluation timeline.
- (b) **Review of key documents.** The evaluation will review decisions from the GCF Board that are related to the RPSP including those that have implications for the RPSP (but may not be directly related to RPSP), RPSP strategic plan, progress reports, work plans, guidelines, administrative processes, management structures and the results framework for the programme, policy and guidance documents, readiness proposals, board documents and any in-house or external assessments that may have been undertaken relevant to readiness programme(s) within or outside GCF.
 - (c) The team will also review any strategy documents and the findings of the 2018 Independent Evaluation of RPSP. A stakeholder mapping of GCF's Readiness Programme will be undertaken. This will take place during the inception phase of the evaluation timeline.
 - (d) **Portfolio analysis.** Analysis will be undertaken on self-reported results data and financial data from GCF monitoring and reporting systems (including RPSP interim progress reports and completion reports, Annual Performance Report (APRs), Entity Work Programmes (EWPs) and Country Programme (CPs), as well as the data management systems of the Secretariat.
 - (e) **Key informant interviews/focus groups:** Analysis of perceptions of external and internal stakeholders about the Readiness Programme role and results will be undertaken. Key stakeholders include primarily NDA and readiness network participants, selected stakeholders at the GCF Board, Direct Access Entities (DAEs) and pipeline DAEs, representatives of other agencies that are doing similar work, delivery partners and focal points, members of the Readiness Working Group, members of the RPSP team in division of country programming and division of portfolio management among others. Wide consultations may be conducted with private sector and civil society actors at global, regional, and country level.
 - (f) **Online perception survey:** The online perception survey will be primarily directed at NDAs and delivery partners and may also include private sector CSOs and other stakeholders in the readiness network, if situation permits. It will seek to get an overview of the perception of the Readiness and Preparatory Support programme and any perceived changes over the years. Such survey(s) will likely be translated into French and Spanish.
 - (g) **Synthesis of existing evidence:** Evidence on readiness from previous IEU evaluations, as well as evaluations of similar programmes by other agencies will be synthesized. Other reviews, and assessments commissioned by GCF in the area of Readiness will also be considered.
 - (h) **Country studies.** Specific countries will be identified for case studies and specific questions tailored to the country context on readiness that the evaluation team may want to address will be addressed through the case studies. Countries/cases will be chosen to ensure that there is adequate representativeness especially for stage of engagement with RPSP as well as country groups (SIDS, LDCs, Africa, others). Country visits will involve engagements with NDAs, delivery partners (international and national) and potential delivery partners to document experiences related to effectiveness, relevance, coherence, and country ownership.
 - (i) The evaluation will likely use the following filters and criteria for selecting the country case studies.
 - (1) Countries with highest number of grants and highest volume of grants
 - (2) Countries with grants encompassing a diverse range of readiness objectives

- (3) Countries which have been previously visited by IEU in the context of the readiness evaluation in 2018/19
- (4) Countries representing geographical diversity of GCF's portfolio
- (5) Countries representing GCF's priority country groups (SIDS, LDCs and African States)

Other methods will also be deployed based on the need for additional data and analysis.

The evaluation will be presented to the last Executive Board (B.37) in October 2023. This requires that the report be finalized by early September 2023, to comply with the Board and Secretariat's deadlines. A draft report will be shared with the Secretariat by early August 2023 for comments and factual corrections.

4.7. Responsibilities of the Evaluation Team.

The evaluation will be led, owned, and delivered by the IEU. In this context, the external evaluation team (henceforth referred to as evaluation team unless specified otherwise) that is hired for this purpose will be considered an extension of the IEU team and should consider all responsibilities, especially in terms of high quality, confidentiality, and timeliness followed by the IEU team. The final report will be co-authored with the IEU team. Under this TOR, the selected team shall have the following deliverables:

- (a) **Approach paper.** IEU team will prepare the draft approach paper. The selected consultant team will provide comments on the draft AP and also write selected parts of the approach paper, as required. This will include evaluation matrix.
- (b) **Document review.** Undertake a review of numerous GCF policies, Board and Secretariat documents. Review readiness progress reports and completion reports for a sample of readiness grants. The sample is expected to be about 10 per cent of all readiness grants (over 60 grants documents). These reviews are likely to be undertaken in the context of country case studies.
- (c) **Data need identification:** The team will be responsible for working closely with the IEU during data collection and analysis, particularly through engagement with the IEU Datalab, and assure quality and representativeness of data and analyses. The team is expected to identify, in collaboration with the task manager, the possible data that can be extracted from GCF's systems to answer evaluation questions in the approach paper and communicate such requests to task manager and Datalab.
- (d) **Interviews:** The selected evaluation team is expected to come up with an interview protocol for the interviews with different stakeholders. Members of the team are also expected to lead, attend meetings and interviews with all relevant stakeholders including Secretariat as well as in-country stakeholders, peer institutions and board members. The team will also be expected to take notes, code the notes and extract meaningful findings from such interviews for the main report.
- (e) **Stakeholder Survey:** The evaluation team will develop a survey, in consultation with the task manager, and launch it for responses to different stakeholders connected to readiness. The evaluation team will then analyze the results and incorporate the same into the main report.
- (f) **Country case study visits:** IEU is targeting to undertake seven country case studies in the course of this evaluation. The selected team will be expected to recruit relevant local consultant for the mission, organize local meetings and also participate (at least one member) in the mission. The evaluation is expected to be perform data collection in sample countries with preconstructed and tested data collection protocols, perform interviews with key informants and groups of stakeholders, and analyze the data collected. The team is also expected to keep notes from all meetings and do regular virtual meetings with the IEU team.

Based on the interviews and data collected during country missions, the external team will prepare individual country case study reports for review of IEU. Such country case study reports will be drafted in collaboration with IEU and based on IEU comments, they will be revised. The country case study reports will be sent to NDAs for any observations, and they will be finalized by the external team based on NDA comments.

- (g) **Draft report and final report.** Based on the data collected from various sources the evaluation team is expected to prepare the first draft with substantive inputs and iterative feedback from IEU. Based on the comments by IEU reviewers and Secretariat subsequent versions of the report are expected revised. The process of report writing, and revision is expected to entail discussions and drafting of relevant conclusions and recommendations as well. The final report is to be delivered to IEU with relevant annexes, as agreed with the task manager.

All data collected by the selected team will need to be transferred to IEU during the evaluation or at the end of it. All data collected belongs to IEU.

4.8. **Tentative Evaluation Time Frame**

The evaluation timeline is very short, and the evaluation is to be completed over a 10-month period.

4.9. **Inception Period (December 2022 - February 2023):**

During this period, IEU will parse the important questions that will be answered in the evaluation and develop an evaluation matrix. Scoping interviews will be undertaken with relevant GCF Secretariat and external stakeholders.

Also, during this phase, stakeholder analysis will be conducted to identify key stakeholders and IEU will lay out the tentative plan for country visits, and in-depth case studies, while ensuring the representativeness of the sample. The approach paper will present the perspectives from the initial consultations, fine-tune questions of the overall evaluation. The approach paper will also contain some of the findings of the Independent Evaluation of RPS from 2018, and other IEU recent evaluations. An RPS summary report containing a compiled summary of findings from previous evaluations on the readiness programme, updated summary statistics on readiness programme and findings from any reviews undertaken by Secretariat or Independent Units of IEU will be undertaken. The summary report and draft approach paper will be produced by IEU.

- 4.10. **Main evaluation phase (March-June 2023):** The second phase will be the main phase of the evaluation. The following activities will be undertaken: Expert interviews, Secretariat interviews, NDA interviews, delivery partner interviews, interviews with Board members and alternate Board members, and with civil society organization (CSO) groups and private sector representatives, focus group discussions as required, an online perception survey, and field visits (seven countries tentatively planned) and an analysis of the documentation and the readiness portfolio. Findings will be triangulated to ensure that inferences are robust. Documentation and evaluations of similar programmes in other organizations will also be reviewed for the meta-analysis and benchmarking element of this evaluation.

- 4.11. **Evaluation report (July-September 2023):** During the last phase of the evaluation period, a draft of the evaluation will be prepared. The final version of the report will contain conclusions and recommendations. A draft will be circulated to the Office of Executive Director and key divisions pertaining to readiness including regional advisers in Division of Country Programming. The final report of the evaluation will be presented to the Board in B.37, tentatively scheduled for October 2023.

- 4.12. **Finalization of evaluation case studies, select annexes, and communication products (October-December 2023):** Some of the annexes may be finalized after presentation to the board. This includes select country case studies. Communication products will also be finalized with input from the selected team.

Table 3: Timeline for the Independent Evaluation of the Readiness and Preparatory Support Programme

Main Deliverables and Processes	Feb.2023	Mar. 2023	Apr. 2023	May 2023	June-Aug.23	Oct-Dec 2023
Selection/contracting evaluation team	X					
RPSP summary report (by IEU)	X					
Approach paper finalization (by IEU)	X	X				
Stakeholder interviews/ Focus groups		X	X	X		
Documentation review & portfolio analysis		X	X	X		
Online Survey		X	X			
Case studies & site visits		X	X	X	X	
IEU Datalab analysis		X	X			
First draft report					X	
Final independent evaluation report with selected annexes					X	
Final evaluation report with all annexes						X

Table 4: Deliverables for payment

Deliverable	Date (Tentative)	Percentage
Signing of contract	10 February 2023	15%
Drafting of interview protocols. Survey questionnaire design and launch	15 April 2023	10%
Completion of initial draft of the report	28 July 2023	30%
Revised final report with selected annexes	30 September 2023	25%
Finalization of annexes (country case studies) and communication products and services, including dissemination of the evaluation	31 December 2023	20%

V. REQUIREMENTS FOR THE PROJECT TEAM

Project Team and Personnel Capacity

Team Leader

- (1) Strong, proven team leader's capacity to directly, energetically, and creatively lead and organize the process under tight time constraints and manage complex teams and evaluations, with emphasis on complex corporate, portfolio, and performance evaluations. This includes the extensive evaluation experience and capacity, time availability, and willingness of all members that will be proposed as part of the team.
- (2) Team Leader demonstrated excellent communication skills, ability to work with tight deadlines, and history of timely delivery of use-worthy, strategic evaluations.

Team Members

- (1) Demonstrated appropriate team members and arrangements
- (2) The proposed team is appropriately composed, including the expertise and experience of the proposed key team members, and the structure of the team, as reflected in gender balance, ability to work across languages (English, French and Spanish), and academic qualifications.
- (3) Demonstrated ability of key staff to work and analyze quantitative and qualitative data by using well-recognized methods, statistical data, meta-analyses, syntheses, process tracing, theory of change, survey design, field and other interviews, and experience in leading focus groups.

The Bidder must ensure that none of the individual team members have been involved in design of policies and guidelines pertaining to GCF's readiness programme nor should they have taken on any implementation responsibilities in the readiness programme of GCF whether directly with the Secretariat or indirectly with any of the delivery partners and other stakeholders.

Appendix 1. Board Decisions Readiness Programme

B.01-13/10	The Board adopted the modalities for Readiness Programme and decided to explore options for making short-term progress on readiness, including the initiation of work on operationalizing a readiness phase. This included identifying and engaging with existing initiatives and programmes on readiness and preparatory support, to enhance learning and ensure coherence.
B.05/14	The Board decided that the GCF will provide readiness and preparatory support to the following activities: <ul style="list-style-type: none"> • Enable the preparation of country programmes; • Strengthen in-country, GCF-related institutional capacities; and • Enable implementing entities to meet the fiduciary standards and environmental and social safeguards of the GCF.
B.06/11	The Board decided on a detailed work programme on readiness, with four priority activities: <ul style="list-style-type: none"> • Establishing NDA/FPs; • Strategic frameworks, including the preparation of country programmes; • Selection of intermediaries or implementing entities; and • Initial pipelines of programme and project proposals. <p>The Board allocates USD 1 million to the Secretariat to prepare a detailed programme of work on readiness.</p>
B.08/11	The Board reaffirmed that GCF-related readiness and preparatory support is a strategic priority for the GCF to enhance country ownership and access during the early stages of its operationalization and may help countries to meet GCF objectives. <p>Funding for the RPSP will be used to support activities including:</p> <ul style="list-style-type: none"> • Supporting NDAs/FPs; • Developing strategic frameworks for national engagement with the GCF; • Enabling regional, national and sub-national institutions to meet the accreditation standards of the GCF; and • Supporting the development of initial pipelines of programme and project proposals. <p>The Board also decided that 50% of the readiness support be allocated to the particularly vulnerable countries, including SIDS, LDCs and African states, and that each country will be limited to USD 1 million per calendar year in readiness commitment, including up to USD 300,000 to help establish an NDA/FP. The Board allocated USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report.</p>
B.11/04	The Board reaffirmed that the Readiness Programme may support a voluntary country-driven national adaptation planning process.
B.12/32	The Board revised the parameters for NDA or FP funding.
B.13/32	The Board adopted a revised indicative list of activities that the Readiness Programme can support, including: <ul style="list-style-type: none"> • Establishing and strengthening NDA/FPs; • Strategic frameworks, including the preparation of country programmes; • Support for accreditation and accredited DAEs; • Information-sharing, experience exchange and learning; and • Formulation of national adaptation plans and/or other adaptation planning processes. <p>The Board also decided to defer the independent evaluation of the RPSP to 2017.</p>

B.15/04	The Board allocated an additional USD 50 million to the Programme.
B.17/07	The Board decided to invite the Independent Evaluation Unit (IEU) to prepare the terms of reference (ToR) for the independent evaluation of the Readiness Programme.
B.18/09	The Board approved an additional USD 50 million to the Programme, with a request to present a revised work programme for 2018.
B.19/15	The Board took note of the findings on the initial review of the Readiness Programme made by the Secretariat (Dalberg Report) and approved an additional USD 60 million for the execution of the Programme.
B.22/03/04	<p>Independent evaluation of the Readiness and Preparatory Support Programme was presented to the Board</p> <p>An additional amount of USD 122.5 million to be made available for the execution of the Readiness and Preparatory Support Programme.</p> <p>The Secretariat may accept multiple-year readiness requests, allocating up to USD 3 million for three years, while committing no more than USD 1 million per country per year, which is in addition to the national adaptation plans and/or other adaptation planning processes allocation as referred to in paragraph (g) above and in accordance with decision B.13/09, paragraph (f);</p>
B.26/05	<p>Board adopted the Readiness Programme work programme and budget for 2020-2021</p> <p>The Secretariat to report on the implementation of the Readiness and Preparatory Support Programme at the second Board meeting of each year;</p> <p>The Secretariat to ensure full compliance of Board approved integrity policies, standards and decisions, in the Readiness Guidebook, Administrative Instruction (AI) and Standard Operating Procedures (SOP) developed for the Programme, as well as other relevant enhanced SOPs or procedures bearing implications on the Readiness Programme.</p>
B.33/04	<p>Board approved the work plan and allocated an additional 166.94 million for the execution of the Readiness Programme;</p> <p>Requests the Secretariat to present to the Board for its consideration a revised strategy for Readiness and Preparatory Support.</p>

Appendix 2. Objectives and activities of Readiness Programme

<p>Objective 1: Capacity building for climate finance coordination (including for establishing and strengthening National Designated Authorities or Focal Points)</p>	<ul style="list-style-type: none"> • Enabling NDA coordination mechanisms with accredited entities, national designated entities (NDE), focal points for other climate funds and multilateral environmental agreements and other stakeholders to identify national priorities for country programming. • Strengthening institutional capacities so that the NDA or focal point can effectively fulfil its role. • Developing national arrangements for the promotion, consideration and facilitation of funding proposals. • Developing essential mechanisms to engage with the GCF, including no-objection procedures and bilateral agreements on privileges and immunities, and conducting stakeholder consultations regarding their design • Funding for training of NDA or focal point staff members in areas relevant to the objectives of the GCF such as project and programme development, international procurement, accounting, oversight, planning and monitoring and evaluation processes. • Supporting the ongoing engagement of stakeholders at national and sub-national levels, including government, civil society and private sector actors. • Supporting the appropriate oversight of GCF activities at the national level. • Understanding the roles of existing institutions and identifying potential accredited entities. • Conducting an institutional gap analysis of potential applicants against the fiduciary standards, safeguards, and compliance policies of the GCF. • Building the capacity of accredited direct access entities in relation to the GCF activities, in areas such as ESS, the GCF gender policy and action plan, and monitoring, reporting and evaluation. • Strengthening accredited direct access entities institutional capacities through structured trainings, and provide technical support to enable the direct access entity to achieve accreditation upgrades • Strengthening the capacities of sub-national institutions/executing entities.
<p>Objective 2: Strategic frameworks for low-emission investment</p>	<ul style="list-style-type: none"> • Taking stock of existing strategies, policies, and needs assessments, including intended nationally determined contributions, low-emission development strategies, and nationally appropriate mitigation actions, in order to streamline policy and planning processes with regards to climate finance • Undertaking the necessary studies, modeling efforts, and other data-gathering efforts in order to develop ambitious strategies for climate action, including long-term strategies to achieve net-zero emissions • Developing a country programme that identifies strategic priorities for engagement with the GCF, disseminating information and engaging stakeholders in the country programme • Developing and enhancing nationally determined contributions and supporting the improvements to sectoral policies, regulatory frameworks, and investment environments to enable implementation priority actions • Incubating new business models and/or innovative financial mechanisms and schemes to increase low-emission investment • Activities that would crowd in private and capital market financing for the implementation of country programmes; including providing institutional support to enhance the efficiency of the procurement and tendering processes. • Enabling private sector participation, including by supporting the preparation of preliminary studies, tender documents or advisory services for the establishment of public-private partnerships. • Identifying and prioritizing appropriate climate technology solutions and assessing and incorporating the feasibility of selected climate technologies for mitigation and adaption into planning processes

<p>Objective 3: Strengthened adaptation planning for investment</p>	<ul style="list-style-type: none"> • Establishing/improving institutional arrangements to support adaptation planning processes • Designing stakeholder engagement process (or processes) to ensure stakeholders engaged (governments, private sector, associations, civil society, academia and others), including a mechanism for regularly reviewing and updating adaptation plan in place • Conducting climate vulnerability studies and analyzing information on climate change impacts to strengthen adaptation investment rationale • Identifying and prioritizing barriers to addressing climate change vulnerabilities to climate impacts at sector, sub-national, and/or national levels • Identifying adaptation solutions for addressing prioritized barriers to addressing climate vulnerabilities and prioritizing actions at sub-national, national and/or sectoral levels • Improving adaptation knowledge management, information sharing, and communication, including through developing systems gathering, organizing and updating relevant data and information on adaptation • Establishing methods and frameworks for producing and using socio-economic and environmental information for adaptation planning and investment • Integrating adaptation actions/measures into national, sectoral or sub-national development strategies, plans and budgets • Producing national, sectoral or sub-national adaptation strategies and/or plans and strategies for implementation, including adaptation finance strategies • Establishing transparent mechanism to enable sectoral or sub-national actors to access adaptation finance • Developing concept notes for adaptation priority actions • Establishing monitoring and evaluation framework or system for the adaptation planning process and its effectiveness
<p>Objective 4: Paradigm-shifting pipeline development</p>	<ul style="list-style-type: none"> • Identifying programmes and projects that advance national priorities as contained in NDCs, NAPs and low-emission and climate-resilient development strategies and align with the results management framework of the GCF • Developing and applying pipeline performance metrics and associated indicators • De-risking the financial and non-financial (e.g., regulatory, technology, market) risks that inhibit the scaled-up investment in climate finance investments • Developing tools, methods and templates to scale up successful models through programmatic approaches and across geographies, including pilot projects funded by the GEF and/or AF • Applying GCF investment criteria against projects and programmes developed for investment under other climate funds, including the Climate Investment Funds (CIFs), to gauge their suitability for consideration by the GCF • • Developing concept notes for priority sectors for submission to the GCF, including under the SAP, EDA RFP and/or those targeted for PPF assistance
<p>Objective 5: Knowledge sharing and learning</p>	<ul style="list-style-type: none"> • Extracting lessons learned from other countries and applying best practices • Developing and disseminating informational and awareness-raising materials • Collaborating on subnational, national, or regional levels with other recipients or providers of Readiness support to apply innovative and/or long-term sustainable approaches to capacity building and technical assistance • • Developing knowledge products, including in local languages, to disseminate effective approaches to capacity building while informing stakeholders on policies, processes, and plans relevant to climate finance programming in the country



Annex 2A
Requirements for Firms' Proposals - Technical Proposal

The technical proposal shall be submitted in a separate file and shall address all aspects of the Terms of Reference. **NO details of a financial nature whatsoever should be included in this Technical Proposal. Failure to comply with this requirement shall result in disqualification.**

The Technical Proposal shall have all the necessary details in response to the Terms of Reference and the Bidder shall submit the technical proposal in the structure detailed below.



TECH Forms

Form TECH-1: Technical Proposal Submission Form

[Location, Date]

To: [Name and address of Client]

To whom it may concern:

We, the undersigned, offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal, and a Financial.

We are submitting our Proposal in association with: [Insert a list with full name and address of each associated Consultant if submitting as an association]

We hereby declare that all the information and statements made in this Proposal are true and accept that any misinterpretation contained in it may lead to our disqualification.

If negotiations are held during the period of validity of the Proposal, i.e., before the date indicated in Paragraph Reference 2.7 of the RFP, we undertake to negotiate on the basis of the proposed staff, methodology and approach. Our Proposal is binding upon us and subject to the modifications resulting from Contract negotiations.

We undertake, if our Proposal is accepted, to initiate the consulting services related to the assignment.

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorized Signature [In full and initials]: _____

Name and Title of Signatory: ____

Name of Firm: .

Address: _____

Form TECH-2: Firm's Organization and Experience

A - Organization

[Provide here a brief (two pages) description of the background and organization of your firm/entity and each associate for this assignment.]

B - Experience

[Using the format below, provide information on each assignment for which your firm, and each associate for this assignment, was legally contracted either individually as a corporate entity or as one of the major companies within an association, for carrying out consulting services similar to the ones requested under this assignment. Use not more than 20 pages.]

Assignment name:	Approx. value of the contract (in current US\$ or Euro):
Country: Location within country:	Duration of assignment (months):
Name of Client:	Total N° of staff-months of the assignment:
Address:	Approx. value of the services provided by your firm under the contract (in current US\$ or Euro):
Start date (month/year): Completion date (month/year):	N° of professional staff-months provided by associated Consultants:
Name of associated Consultants, if any:	Name of senior professional staff of your firm involved and functions performed (indicate most significant profiles such as Project Director/Coordinator, Team Leader):
Narrative description of Project:	
Description of actual services provided by your staff within the assignment:	

Firm's Name: _____



Form TECH-3: Comments and Suggestions on the Terms of Reference and on Counterpart's Staff and Facilities to be Provided by the GCF

On the Terms of Reference

Present and justify here any modifications or improvement to the Terms of Reference you are proposing to improve performance in carrying out the assignment (such as deleting some activity you consider unnecessary, or adding another, or proposing a different phasing of the activities). Such suggestions should be concise and to the point, and incorporated in your Proposal.]



Form TECH-4:

Description of Approach, Methodology and Work Plan for Performing the Assignment

Technical approach, methodology and work plan are key components of the Technical Proposal. You are suggested to present your Technical Proposal (Not more than 40 pages, inclusive of charts and diagrams) divided into the following three chapters:

- a) Technical Approach and Methodology
 - b) Work Plan
 - c) Organization and Staffing
 - d) Sustainability
- a) Technical Approach and Methodology. In this chapter you should explain your understanding of the objectives of the assignment, approach to the services, methodology for carrying out the activities and obtaining the expected output, and the degree of detail of such output. You should highlight the problems being addressed and their importance and explain the technical approach you would adopt to address them. You should also explain the methodologies you propose to adopt and highlight the compatibility of those methodologies with the proposed approach.
- b) Work Plan. In this chapter you should propose the main activities of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing understanding of the Terms of Reference and ability to translate them into a feasible working plan. A list of the final documents, including reports, drawings, and tables to be delivered as final output, should be included here. The work plan should be consistent with the Work Schedule of Form TECH-8.
- c) Organization and Staffing. In this chapter you should propose the structure and composition of your team. You should list the main disciplines of the assignment, the key expert responsible, and proposed technical and support staff.]
- d) Sustainability: Organization's commitment to sustainability – Bidder to demonstrate its commitment to embed sustainability into its own operations (as defined by social, environmental, and economic considerations). Demonstrate how you plan to integrate sustainability measures in the execution of the contract to provide goods or services.



Form TECH-5: Provide the Team Composition and Task Assignments for this Project

Professional Staffs and other Experts				
Name of Staff	Firm	Area of Expertise	Position Assigned	Task Assigned



Form TECH-6: Curriculum Vitae (CV) for Proposed Professional Staff Members

1. **Proposed Position** [only one candidate shall be nominated for each position]: _____
2. **Name of Firm** [Insert name of firm proposing the staff]: _____

3. **Name of Staff** [Insert full name]: _____
4. **Date of Birth:** _____ **Nationality:** _____
5. **Education** [Indicate college/university and other specialized education of staff member, giving names of institutions, degrees obtained, and dates of obtainment]: _____

6. **Membership of Professional Associations:** _____

7. **Other Training** [Indicate significant training since degrees under 5 - Education were obtained]: _____

8. **Countries of Work Experience:** [List countries where the staff has worked in the last ten years]: _____

9. **Languages** [For each language indicate proficiency: fluent, good, fair, or poor in speaking, reading, and writing]: _____

10. **Employment Record** [Starting with present position, list in reverse order every employment held by staff member since graduation, giving for each employment (see format here below): dates of employment, name of employing organization, positions held.]:

From [Year]: _____ To [Year]: _____

Employer: _____

Positions held: _____



Form TECH-7: Staffing Schedule¹

N°	Name of Staff	Staff input (in the form of a bar chart) ²							Total staff-week input
		1	2	3	4	5	6	7	Total
1									
2									
3									
n									
								Grand Total	

- 1 For Professional Staff, the input shall be indicated individually; for Support Staff, it shall be indicated by category (e.g.: researchers, draftsmen, clerical staff, etc.).
- 2 Weeks are counted from the start of the assignment. For each staff indicate separately staff input.



Form TECH-8 Work Schedule

N°	Activity ¹	Weeks ²						
		1	2	3	4	5	6	7
1								
2								
3								
4								
n								

- 1 Indicate all main activities of the assignment, including the delivery of reports (e.g.: inception, interim, and final reports), and other benchmarks such as Client approvals. For phased assignments, please indicate activities, delivery of reports, and benchmarks separately for each phase.
- 2 The duration of activities shall be indicated in the form of a bar chart.

Annex 2B
Requirements for Firms' Proposals - Financial Proposal

B. Financial Proposal

The Bidder is required to prepare and submit the Financial Proposal in a separate file from the Technical Proposal.

The Financial Proposal shall be inclusive of the taxes where applicable⁹, and the applicable taxes shall be specified.

The Financial Proposal must also have the total consultancy fee summarized and the breakdown covering the lump sum amount for purposes of determining the financial score and contract price. Financial Proposal Standard Forms (FIN Forms) shall be used for the presentation of the Financial Proposal.

IMPORTANT:

The Financial Proposal **MUST** be password protected. The authorized procurement officer will contact the Tenderers that pass the qualifying technical score for the password to open the Financial Proposal. Tenderers should **NOT** send the password to the financial proposal until they are requested to do so by the procurement officer. Financial Proposals that are submitted without password protection may be rejected for non-compliance.

⁹ (a) Under Article 10 of the Headquarters Agreement, the property of the Green Climate Fund ("Fund"), including the property of any offices, subsidiary bodies or facilities established by the Fund, the Fund's operations and transactions, and any property of the Fund in transit to or from the Headquarters, are:

- (i) Exempt from all direct taxes, except those which are, in fact, no more than charges for public utility services;
- (ii) Exempt from all indirect taxes, including any value-added tax and/or other similar tax, and excise duties levied on important purchases of goods and services for official purposes; and
- (iii) Exempt from customs duties, prohibitions and restrictions on imports and exports in respect of articles of any kind imported or exported by the Fund for its official use, except for prohibitions and restrictions on imports or exports relating to health and safety.

(b) under bilateral agreements concluded between the GCF and certain countries, the GCF may be exempt from all taxation and from all customs duties, and from any obligation for the payment, withholding or collection of any tax or duty.



FINANCIAL PROPOSAL Forms

Form FIN-1: Financial Proposal Submission Form

[Location, Date]

To: [Name and address of Client]

To whom it may concern:

We, the undersigned, offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and our Technical Proposal. Our attached Financial Proposal is for the sum of [Insert amount(s) in words and figures¹].

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to the expiration of the validity period of the Proposal.

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorized Signature [In full and initials]: _____

Name and Title of Signatory: _____

Name of Firm: _____

Address: _____

1 Amounts must coincide with the ones indicated under Total Cost of Financial proposal in Form FIN-2.

Form FIN-2: Summary of Costs

A. Total Cost of Financial Proposal

<i>Item</i>	<i>Costs</i>
	<i>USD</i>
Total Costs of Financial Proposal ¹ (One-off tasks)	

B. Break down of Fees and expenses¹⁰ per Cost Component

Description	A. Unit of measure (e.g., month or day)	B. Total Period of Contract (in working days)	C. Daily Staff Rate (in USD)	Total Cost for the Period (B x C) (in USD)
I. Remuneration Costs				
Team Leader/Senior Consultant	<i>Working day</i>			
Expert or Consultant	<i>Working day</i>			
Associate Expert or Consultant	<i>Working day</i>			
Other staffs (if any)	<i>Working day</i>			
Sub-Total =				
II. Other Related Costs (if any)				
Sub-Total =				
TOTAL (Total Cost of Financial Proposal)				

C. Breakdown of Fees and Expenses per Deliverables

SN	Deliverables [list them as referred to in the TOR]	Percentage of Total Price	Price (Lump Sum, All-Inclusive) USD
1	Deliverable 1		
2	Deliverable 2		
3	Deliverable 3		
	TOTAL (Total Cost of Financial Proposal)	100%	

¹⁰ The firm can estimate the travel cost based on the proposed methodological approach. The actual travel costs shall be paid on a cost-reimbursable basis following the reimbursement rules that should be agreed upon by both parties when the contract is signed off. Please also note that the travel cost is not subject to the financial proposal assessment. The financial score will be given based on the proposed amount excluding the travel cost.

Form FIN-3: Breakdown of Remuneration¹ (Lump-Sum)

(Information to be provided in this Form shall only be used to establish payments for possible additional services requested by the GCF)

Name ²	Position ³	Staff-daily Rate

1 – Form FIN-3 shall be filled in for the same Professional and Support Staff listed in Form TECH-7; You can also list other proposed experts for future work/services required by GCF.

2 – Professional Staff shall be indicated individually; Support Staff shall be indicated per category (e.g., technician, draftsmen, clerical staff).

3 – Positions of Professional Staff shall coincide with the proposed experts for the hypothetical project; You can also list other proposed experts for future work/services requested by GCF.

4 – Daily Staff Rates shall be firm and fixed during the duration of the future Contract.

Annex 3 - Evaluation Criteria

1. The proposals will be evaluated in a three-stage procedure, starting with administrative compliance to ensure the proposals includes all necessary required documents and is duly signed by the authorized representative. Evaluation of the technical proposal will follow and will be completed prior to any financial proposal being opened and evaluated. The financial proposal will be considered only if the submissions fulfil the minimum technical requirements.

B. Acceptance of Submissions

2. All proposers are expected to adhere to the requirements for submitting a proposal. Any proposals that fail to comply will be disqualified from further consideration as part of this evaluation. In particular:

- A brief description, including ownership details, date and place of incorporation of the firm, objectives of the firm, partnerships, qualifications, certificates, etc.;
- Full compliance with the formal requirements for submitting a proposal
- Submission of all requested documentation
- **Acceptance of the GCF Model contract** – Where the proposer notes issues (especially General Conditions of Contract), these **must** be raised as part of the technical proposal for consideration during evaluation.

3. The Technical Proposal shall include:

- A brief description of the organizational strengths and qualifications including demonstrated experience supported by references of similar assignments
- Details to demonstrate vast experience in working with relevant multilateral development funds and familiarity with their operations; and
- Demonstration of the firm’s deep understanding of the GCF, mandate/business model and Investment Framework.

C. Evaluation of Technical Proposal

4. A review/evaluation committee shall be established to evaluate each technical proposal. The technical proposal is evaluated individually on the basis of its responsiveness to the technical requirements and will be assessed and scored according to the evaluation criteria below and as per scores in the table.

SN	Evaluation Criteria	Sub-score	Max. Score
1	Overall Capacity and Expertise of Firm/ Organization submitting Proposal		30
1.1	Expertise and experience of the proposed team in undertaking evaluations using quantitative and qualitative methods, particularly in the review and evaluations of strategies and policies based on evidence and ability to build research/evaluation protocols.	10	
1.2	Experience and expertise of the team in evaluations in the context of technical support and capacity building programmes at the corporate level in the context of climate change. Experience in climate readiness and capacity building programmes would be particularly desirable. To that extent demonstrated ability to identify the results of capacity	10	

SN	Evaluation Criteria	Sub-score	Max. Score
	building and policy programmes and capture them through rigorous qualitative and quantitative evidence would be favorably considered.		
1.3	Experience and expertise of the team in multi-country portfolio and corporate evaluations in a multilateral setting and with innovative financial instruments and applications. Ability to pull together results from numerous countries and contexts to produce coherent analysis would be useful.	10	
2	Technical Approach/Methodology and Workplan		30
2.1	The evaluation has a short timeline. The scope, magnitude, urgency, and challenges of the overall task are fully and well understood, are properly addressed in the technical proposal. This includes proposals' suggestions to shorten the evaluation cycle, including organizing field visits.	10	
2.2	The technical proposal, tools, and work plan are well defined, relevant, and correspond to the assignment of this TOR.	15	
2.3	Any innovative methods and methodology other than the ones proposed in the TORs for evaluating the readiness programme.	5	
3	Project Team and Personnel Capacity		40
3.1	<u>Team Leader</u> Strong, proven team leader's capacity to directly, energetically, and creatively lead and organize the process under tight time constraints and manage complex teams and evaluations, with emphasis on complex corporate, portfolio, and performance evaluations. This includes the extensive evaluation experience and capacity, time availability, and willingness of all members that will be proposed as part of the team.	20	
3.2	Team Leader demonstrated excellent communication skills, ability to work with tight deadlines, and history of timely delivery of use-worthy, strategic evaluations.	10	
3.3	<u>Team Members</u> - Demonstrated appropriate team members and arrangements: The proposed team is appropriately composed, including the expertise and experience of the proposed key team members, and the structure of the team, as reflected in gender balance, ability to work across languages (English, French and Spanish), and academic qualifications. Demonstrated ability of key staff to work and analyze quantitative and qualitative data by using well-recognized methods, statistical data, meta-analyses, syntheses, process tracing, theory of change, survey design, field and other interviews, and experience in leading focus groups.	10	
	TOTAL POINTS		100

Technical proposals that score at least 75 points out of 100 will be considered as qualified for the review of the financial proposal. Any proposal less than that will be disqualified from proceeding to the next step.

D. Evaluation of Financial Proposal

The Financial Proposal of all proposers which have attained the minimum score in the technical

evaluation will be evaluated subsequently. The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) of 100.

The formula for determining the financial scores (Sf) of all other Proposals is calculated as following:

$Sf = 100 \times Fm / F$, in which “Sf” is the financial score, “Fm” is the lowest price, and “F” is the price of the proposal under consideration.

E. Consolidated Evaluation

The weights given to the Technical (T) and Financial (P) Proposals are:

$T = 0.70$, and $P = 0.30$

Proposals will be ranked according to their combined technical (St) and financial (Sf) scores using the weights (T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; $T + P = 1$) as following: $S = St \times T\% + Sf \times P\%$.

The Bidder that achieves the highest combined technical and financial score will be invited for contract negotiations or GCF may proceed to contract award.

F. Award of Tender/Contract

The contract award will be made to the responsive proposer that achieves the highest combined technical and financial score, and if necessary, followed by negotiation of an acceptable contract. The GCF reserves the right to conduct negotiations with the proposers regarding the contents of their offer. The contract award will be in effect only after acceptance by selected proposer of the terms and conditions and the technical requirements.

Annex 4 - Company Profile Form

Please respond to all questions.

Company details - vendor's name

Name:

General Information

Primary contact for sales/client services	
Address	
	Postal Code: Country:
Telephone:	Fax:
E-mail:	Web site:
Parent company, if any	
Subsidiaries, Associates, and/or Overseas Rep(s), if any	
Year established	
Registration Number	
Type of organization	Public enterprise () Private company () Organization sponsored (assisted by Government) () Other (please specify): ()
Type of Business	Manufacturer () Retailer () Authorized Agent () Consulting Company () Other (please specify): ()
Summary of main business activities	
No. of employees (by location)	
Staff turnover rate	
In-house working language (s)	
Bank Name: Bank Address: Account Holder: Account Number: IBAN: SWIFT:	

Prior experience with international organizations

List contracts with international organizations in the last three years BRIEFLY list recent contracts that used relevant tools, technologies, and techniques: Attach additional sheets if necessary.
1
2
3



Environmental Policy

Does your company have a written statement of its environmental policy?	
YES () Please attach copy	NO ()

Contract disputes

List any disputes your company has been involved in over the last three years

References

List suitable reference projects and contacts. What options would there be for a site visit to a reference project and/or the vendor’s site?
1
2
3

Partners

If this is a part bid, list relevant recent experience of working with partners. Are there already formal or informal preferred partnership agreements in place?
1
2
3

Conflict of interest

Are there any likely circumstances or contracts in place that may introduce a conflict of interest with the parties to this contract? If so, explain how this will be mitigated
1
2

Certification

I, the undersigned, confirm that the information provided in this annex is correct. In the event of changes, details will be provided.

Name: _____ Title: _____
 Signature: _____ Date: _____



Annex 5 - Acknowledgement Letter

To GCF Procurement Unit,

We, the undersigned, acknowledge receipt of your Request for Proposal (RFP) No. **GCF 2022/037 – Consultancy Services for Independent Evaluation of the Readiness Preparatory Support Programme** dated 13 December 2022, and hereby confirm that we:

INTEND DO NOT INTEND

to submit a proposal to the Secretariat of Green Climate Fund (GCF) by the deadline date of **Friday, 20 January 2023, 18:00 hours Korean Std. Time** and that we:

INTEND DO NOT INTEND

to send one (1) authorized representative¹¹ to observe the public opening procedure on **Monday, 23 January 2023 at 10.00 hours Korean Std. Time**. (Note: attendance to the public opening procedure is optional.)

We acknowledge that this RFP is confidential and proprietary to the GCF and contains privileged information.

Name of Authorized Representative: _____

Signature: _____

Title: _____

Name and Address of Company/firm: _____

Telephone: _____

Facsimile/E-mail: _____

If you do not intend to submit a proposal to the GCF, please indicate the reason:

- We do not have the capacity to submit a proposal at this time.
- We cannot meet the requirements for this RFP.
- We do not think we can make a competitive offer at this time.
- Other (please specify): _____

Kindly return this acknowledgement letter immediately via e-mail to procurement@gcfund.org and copy to hngau@gcfund.org

NOTE: Due to current security arrangements, your authorized representative must present a completed copy of this letter to observe the public opening procedure.

***NOTE: Due to the Covid 19 situation, public opening procedure is held online via MS Teams based on the requests for attendance.**

¹¹ Please provide name, last name, position and email address of the representative to which the virtual meeting invitation will be provided on the day of proposal opening.

Annex 6 - Timeline

The Green Climate Fund shall follow the timeline below for this RFP. Any changes to this timeline shall be posted on the GCF website. Please note that the target dates may be adjusted.

Nr.	Event	Responsible Party	Tentative Date (and time, KST*)
1	Issuance of RFP	GCF	13 December 2022
2	Last day to send completed Acknowledgement Letter of RFP receipt	Bidder	23 December 2022
3	Last date for requests for clarification of the RFP	Bidder	13 January 2023
4	Last date to reply to questions received/ Last date for amendment	GCF	17 January 2023
5	Date by which proposal must be received in South Korea by GCF (Closing Date) **	Bidder	20 January 2023 at 18.00 hours KST*
6	Date of opening of Technical Proposals	GCF	23 January 2023 at 10.00 hours KST

* KST: Korean Standard Time (Seoul Time)

** *Proposal can be submitted before the deadline irrespective whether Acknowledgement Letter was submitted or not; however, the Fund would be grateful that Acknowledgement Letter is submitted.*



Annex 7 - GCF Model Contract

By submitting a proposal to this RFP, the Bidders are considered to have carefully reviewed the GCF Model Contract and must agree with all its terms and conditions.

Where the Bidder has specific issues of concern, those must be raised and indicated in the Technical Proposal clearly for consideration during evaluation. Any request for amendments to the GCF Model Contract and terms and conditions must be accompanied by a detailed and compelling justification for review and consideration by GCF.

It shall be noted that the request of amendments to the GCF Model Contract and terms and conditions may negatively affect the evaluation of the proposal and, in some cases, where such amendments are incompatible with GCF's binding policies and rules, may prejudice the final award.

NB: For this particular contract, the Performance Standards (Clause 9), Insurance (Clause 10), Performance Security (Clause 11), and Deductions Clauses (Clause 12) of the Special Conditions of Contract (SCC) shall not be applicable.

*Note: The Board adopted at the recent meeting a new policy on SEAH (Sexual Exploitation, Sexual Abuse, and Sexual Harassment) and therefore the GCF is required to include new provisions in the General Conditions of Contract. While the specific wording is yet to be formulated, the eventual contract shall need to include such new provisions.