

Date: 22 December 2022

Reference: RFP/2022/042/hn

## Request for Proposal no. RFP 2022/042

### Consultancy Services for Independent Evaluation of GCF's Approach to Energy Sector

#### 1. Background

- 1.1. The Green Climate Fund (the "GCF" or "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 will 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

- 2.1. Through this request for proposals (RFP), the Fund is seeking to contract a qualified, reputable and experienced company/corporation/firm (the "Firm") to provide **Consultancy Services for the Independent Evaluation of the Green Climate Fund's Approach to Energy Sector which must be completed by 31 March 2024**. The terms of reference (TOR) included in Annex 1 of this RFP herein provides the details of the assignment and expected deliverables.
- 2.2. Proposals must be submitted to the GCF no later than **Monday, 30 January 2023 at 18.00 hours** Korean standard time (KST).
- 2.3. 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
- 2.4. 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.

- 2.5. 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.
- 2.6. 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.
- 2.7. 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.
- 2.8. 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](mailto:procurement@gcfund.org) and copy to [hngau@gcfund.org](mailto:hngau@gcfund.org). Bidders must not communicate with any other personnel of the GCF regarding this RFP.
- 2.9. This RFP is issued under the GCF Administrative Guidelines on Procurement <sup>1</sup>. 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](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 organisation 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
  - 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.

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<sup>1</sup> Annex II "Corporate Procurement Guidelines on the Use of Consultants"

- 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 e-mail address [procurement@gcfund.org](mailto:procurement@gcfund.org) and copy to [hngau@gcfund.org](mailto:hngau@gcfund.org) by the specified date and time mentioned in Annex 6. **The subject line of the e-mail MUST have the reference number and title of the RFP.** 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 Bidders (including an explanation of the query but without identifying the source of inquiry), shall be posted on the GCF website and communicated via e-mail.

#### **5. Amendments to RFP Documents**

At any time before 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 communicated via e-mail. In order to allow prospective Bidders 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 the 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, the translation shall prevail for interpretation of the proposal. The sole responsibility for translation and the accuracy thereof shall be the Bidder's responsibility.

#### **7. Submission of Proposals**

Format and form of submission of bids: Bidders are requested to send their proposals preferably<sup>2</sup> 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 e-mail to [procurement@gcfund.org](mailto:procurement@gcfund.org) and copied to [hngau@gcfund.org](mailto:hngau@gcfund.org)

##### **a) Submission through the Supplier Portal (SAP Ariba)**

- (i) Open <https://gcf.supplier.ariba.com/>
- (ii) Click Register Now
- (iii) Fill in Company Information, Fill in User account information and details under 'Tell us more about your business.'
- (iv) 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.'

<sup>2</sup> 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)

- (v) Check your e-mail and click the activation link.
- (vi) Fill in additional information required, click Save and Close.
- (vii) Your company information will be submitted to GCF and reviewed and approved.
- (viii) Once you register, please send an e-mail to [procurement@gcfund.org](mailto:procurement@gcfund.org) and copy the responsible procurement staff for this RFP (i.e. For this RFP, it is: [hngau@gcfund.org](mailto:hngau@gcfund.org)) with the RFP number and title as the e-mail 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 e-mail 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 username and password.
- (ix) Review Pre-requisites and Click "I accept the terms of this agreement".
- (x) Open the Technical Section of the RFP section and download the RFP document and technical proposal submission forms
- (xi) Open the Financial Section of the RFP and download the financial bid submission forms
- (xii) When ready to submit your bid, upload the technical proposal 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.
- (xiii) Click 'Submit Entire Response' to submit the bid.

(For detailed instructions on how to access and submit a bid, see the supplier manual. It is recommended that Bidders register on the portal as early as possible.)

b) Submission via E-mail

Two separate files (Technical and Financial Proposals) should be attached to the e-mail as per the instructions below.

- The technical file should contain the technical proposal and be named as follows:  
**RFP 2022/042 – 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 2022/042 – FINANCIAL PROPOSAL - (Name of Bidder)**
- The subject line of the e-mail should be as follows:  
**RFP 2022/042 – Independent Evaluation of GCF's Approach to Energy Sector (Name of Bidder)**

**The Financial Proposal MUST be password protected.** The authorised procurement officer will contact the Bidders that pass the qualifying technical score for the password to open the Financial Proposal. Bidders 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 Bidders 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 authorised representative, via e-mail, advising whether they intend to submit a proposal by the designated closing date/time.

Please notify the Procurement Unit immediately if any part of this RFP is missing or illegible.

## **8. Late Proposals**

Any proposals received by Procurement Unit after the deadline for submission of proposals/Closing Date, prescribed in Annex 6 of this document shall usually 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 Bidders 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. Bidders submitting proposals are welcome to send one (1) representative, with proper authorisation from their company, to observe the opening and recording of proposals received.

## **10. Opening of Financial Proposals**

The GCF shall notify in writing those Bidders 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, vendors, 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 Bidders, 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, Bidders 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 Bidder must ensure that none of the individual team members have been involved in design of policies and guidelines pertaining to GCF's result areas nor been involved in the origination of GCF funded activities in the energy generation and access result area.**

## **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 (RFP 2022/042)

### Consultancy Services for Independent Evaluation of GCF's Approach to the Energy Sector

#### 1. AIMS

In October 2022, the Green Climate Fund (GCF) Board, in decision B.34/06, approved the 2023 Workplan of the Independent Evaluation Unit of the GCF, which includes, among other things, undertaking an independent evaluation of the GCF's approach to the energy sector. This Terms of Reference (TOR) outlines the background, objectives, evaluation questions, methods, approaches, the structure of the evaluation team and responsibilities, and timelines and deliverables.

#### 2. BACKGROUND

The Governing Instrument of the GCF states that the Fund will contribute to achieving the United Nations Framework Convention on Climate Change (UNFCCC) objectives. The GCF promotes a paradigm shift towards low-emission and climate-resilient development pathways in developing countries. As an operating entity of the Financial Mechanism of the UNFCCC, the GCF provides support for climate change mitigation and adaptation projects and programmes in developing countries.

The IEU has a mandate for discharging both an accountability function and supporting a learning function.<sup>3</sup> Both are central to the GCF as a learning organisation and are laid out in its Governing Instrument and its Initial Strategic Plan.<sup>4</sup> The responsibilities of the IEU are<sup>5</sup>:

- (1) Evaluation: The IEU undertakes overall independent portfolio, country, thematic, and programme evaluations that inform GCF strategic result areas.<sup>6</sup> In critical cases, it can also support and undertake project evaluations. The IEU uses relevant and innovative methods and an independent peer-review mechanism that guides independent evaluations. The independent evaluation policy lays out the vision, criteria and guidelines. The IEU is also mandated to conduct an independent peer review and attest to the quality of GCF self-evaluation.<sup>7</sup>
- (2) Advisory and capacity support: The IEU advises the Board by synthesising findings and lessons learned from its evaluations. These findings and lessons inform the Secretariat and other GCF stakeholders.<sup>8</sup> The IEU engages closely with the independent evaluation units of intermediaries and implementing entities of the GCF, including national designated authorities (NDAs) and accredited entities (AEs). It provides support to catalyse learning and build and strengthen NDA and AE evaluation capacity. It will also provide guidelines and support evaluation-related research that helps produce rigorous evidence in GCF result areas.
- (3) Learning: The IEU supports the GCF's learning function by ensuring that independent evaluation recommendations are incorporated into the Secretariat's functions and processes. This includes recommending improvements to the GCF's performance indicators and its initial results framework after accounting for international experience and the evaluation results.<sup>9</sup>
- (4) Engagement: The IEU actively participates in relevant evaluation networks to ensure that it is at the frontier of evaluation practice. The IEU involves its staff members and staff from NDAs and AEs in evaluations wherever feasible and appropriate. Also, the IEU supports knowledge hubs of low-emission and climate-resilient pathways.<sup>10</sup>

The Governing Instrument of the GCF outlines how the Fund is mandated to provide new, additional, adequate, and predictable adaptation support to developing countries. The Board is mandated to use minimum allocation floors to consider the urgent and immediate needs of developing countries,

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<sup>3</sup> Decision GCF B.16/07

<sup>4</sup> Decision GCF/B.06/06 and Document GCF/B.06/18, annex II

<sup>5</sup> Document GCF/B.19/21

<sup>6</sup> Decision GCF/B.05/03, Annex 1

<sup>7</sup> Decisions B.12/12 and B.12/20

<sup>8</sup> Decision B.06/09, Annex III

<sup>9</sup> Decision B.06/09, Annex III

<sup>10</sup> Decision GCF/B.05/03, Annex I



especially Least Developed Countries (LDCs), Small Island Developing States (SIDS) and African States. At the same time, the Board is mandated to achieve an appropriate geographical balance in allocating adaptation resources.

### 3. GCF'S APPROACH TO THE ENERGY SECTOR

Limiting global warming to 1.5 degrees Celsius demands a dramatically different energy sector – one that helps reduce overall greenhouse gas (GHG) emissions by 7.6 per cent globally each year from 2020 to 2030.<sup>11</sup> Large-scale intervention in the energy sector is crucial because the energy sector accounts for 35% of total emissions.<sup>12</sup> The share of renewables in electricity generation increased to almost 30% in 2021, their highest share since the beginning of the Industrial Revolution and up from less than 27% in 2019.<sup>13</sup> However, a strong rebound in emissions is expected in 2021.

Preliminary estimates suggest fossil energy CO2 emissions could grow by 4.8 per cent in 2021 (excluding cement), and global emissions in 2021 are expected to be only slightly lower than the record level of 2019. Thus, gains in renewable energy are being offset by increases in fossil fuel consumption too.<sup>14</sup> According to the International Panel on Climate Change (IPCC), this means that renewable energy must supply 70 to 85 per cent of all electricity by 2050 for the world to meet the goals of the Paris Agreement and limit warming to well below 2°C. Investments in renewable energy also increase energy access to under-served people, create jobs, and bolster economic growth.<sup>15</sup>

In this context, “Energy Generation and Access” form one of the eight (8) main result areas of the GCF under the overall mitigation theme. As of the end of 34 sessions of the GCF Board meeting, there were a total of 209 projects approved. Out of these, 60 projects are known to have energy generation and access (the “Energy Result Area”) as a result area. Within the mitigation theme, the Energy Result Area is the most widely recurring, occurring in 60 projects.

Energy Result Area also has the largest share of committed funding, with USD 4.7 billion of the total commitment by GCF of USD 11.3 billion being towards the projects which address “at least” Energy Result Area in their Funding Proposals (FPs) [1]. Thus, energy accounts for 42% of all committed GCF funding so far. By the end of 2023, at least 58 out of 60 (97%) projects in the Energy Result Area will be under implementation.

**Table 1: Breakdown of the GCF projects that have the Energy “Sector”<sup>16</sup>**

CATEGORY		NUMBER OF PROJECTS	APPROVED GCF FINANCING (MILLIONS USD)	AMOUNT DISBURSED (MILLIONS USD)	%OF THE DISBURSED AMOUNT
Sector	DMA	65	3,945	725	18
	PSF	40	3,629	873	24
ESS Category	Category A	9	905	239	26
	Category B	48	2,670	476	18
	Category C	13	211	70	33
	Intermediation 1	8	1,215	350	29
	Intermediation 2	21	2,360	357	15

<sup>11</sup> UNEP emissions gap report 2019

<sup>12</sup> <https://www.un.org/en/actnow/facts-and-figures>

<sup>13</sup> Global Energy Review 2021, IEA

<sup>14</sup> Emissions Gap Report 2021, UNEP

<sup>15</sup> GCF renewable energy thematic brief: <https://www.greenclimate.fund/sites/default/files/document/gcf-thematic-brief-renewable-energy.pdf>

<sup>16</sup> These 105 energy “sector” projects were tentatively selected based on energy “sector” projects, which include the 60 projects whose results area is Energy access & power generation, plus another 45 projects whose “energy” potential is indicated in the “Investment Criteria” section of their Funding Proposal. To find projects with energy potential, selection was based on IEU DataLab’s “Sustainability Potential” and “Impact Potential” dataset.

CATEGORY		NUMBER OF PROJECTS	APPROVED GCF FINANCING (MILLIONS USD)	AMOUNT DISBURSED (MILLIONS USD)	% OF THE DISBURSED AMOUNT
Project Size	Intermediation 3	6	214	105	49
	Large	32	4,777	897	19
	Medium	36	1,896	413	22
	Small	33	831	244	29
	Micro	4	70	44	63
Entity Type	International	78	6,016	1,393	23
	Regional	13	876	63	7
	National	14	683	141	21
Entity Access Type	IAE	78	6,016	1,393	23
	DAE	27	1,559	204	13
GCF Region	Africa	33	1,653	329	20
	Asia-Pacific	37	2,495	642	26
	Latin America and the Caribbean	17	1,192	134	11
	Mixed Regions	13	2,127	461	22
Priority Groups*	African States	46	3,779	790	21
	LDCs	49	3,672	576	16
	SIDS	26	1,730	441	25
	Others	35	2,361	566	24

\*Priority groups are not mutually exclusive; one project could belong to multiple priority groups in the FP.

GCF invests across transition areas: the built environment; energy and industry; human security, livelihoods and wellbeing; and land-use, forests and ecosystems. Under the energy transition, GCF intends to scale up investment in renewable energy and energy efficiency. To promote renewable energy, GCF focuses on three (3) main areas: energy generation from renewable sources such as wind, solar, geothermal, hydro, and sustainable bioenergy; efficient and reliable energy transmission, distribution, and storage; and promoting access to clean energy in a way that promotes sustainable development and climate resilience while reducing emissions.<sup>17</sup>

In each of these areas, GCF intends to achieve results by<sup>18</sup>:

- (1) Supporting transformational planning and programming. This includes the development of long-term clean energy planning and budgeting that integrates climate externalities and socio-economic co-benefits;

<sup>17</sup> GCF energy generation and access page: <https://www.greenclimate.fund/results/energy-generation-access>

<sup>18</sup> Energy Access and Power Generation, Sectoral Guide 2022: <https://www.greenclimate.fund/sites/default/files/document/gcf-energy-access-power-generation-sectoral-guide-consultation-version-1.pdf>



- (2) Catalysing climate innovation through innovative business models and employing high-impact innovative technologies;
- (3) Mobilising funds at scale through de-risking investments, unlocking local capital; and
- (4) Sharing knowledge of successful innovations and funding mobilisation efforts at scale and developing climate expertise of financial institutions to replicate them. This can include enabling the adoption of best practices in grid capacity, storage and flexibility for higher penetration renewable; increasing the national and sub-national energy service buyers' green procurement capacity; and strengthening the scientific verification of causality between access to electricity and increased climate resilience.

Energy found a reference for the first time in GCF documents in the 4<sup>th</sup> session of the Board held in June 2013. The document titled "Business Model Framework: Objectives, Results and Performance Indicators"<sup>19</sup> laid out potential priority result areas for GCF. Under mitigation, the proposed result areas of direct relevance to energy generation and access included "Providing households with access to low-carbon, modern energy" and "Supporting the development, transfer and deployment at scale of low-carbon power generation".

In the 7<sup>th</sup> session of the Board held in May 2014, as a part of the initial management framework of the Fund, the result areas of "Increased low-emission energy access and power generation" and "Increased energy efficiency in buildings, cities and industries" were adopted by the Board.<sup>20 21</sup>

In May 2022, GCF released the sectoral guide for Energy access and power generation. The guide observed three distinct transformational pathways within the Energy Result Area that can deliver a significant and paradigm-shifting impact, through one or more pathways, during the first replenishment period (2020-2023):

- (1) **Low Emission Power Generation** focuses on generating electricity from geothermal and renewable sources in a sustainable manner and includes geothermal energy, solar and wind energy, hydropower, bioenergy, and ocean energy.
- (2) **Efficient and Reliable Energy Transmission, Distribution, and Storage** focus on investing in grid flexibility, digitalisation, and storage to make power grids more capable of efficiently and reliably operating with higher shares of renewables.
- (3) **Promoting Access to Modern Renewable Energy** focuses on modern renewable energy for cooking, grid connections and off-grid electricity, such as green mini-grids and solar home systems, for access in a way that promotes sustainable development and climate resilience for the societies while reducing emissions.

In the guidelines, GCF proposes to bring about the paradigm shift by doing the following:

- (1) **Transformational planning and programming** through developing long-term sustainable energy planning and budgeting that integrates climate externalities and socio-economic and environmental co-benefits, including building local capacity.
- (2) **Catalysing climate innovation** through innovative business models and employing high-impact innovative technologies, including local technology assembly or manufacturing.
- (3) **Mobilising funds at scale** by improving access to climate finance through de-risking investments and unlocking local capital.
- (4) **Coalitions and knowledge to scale up success** through sharing knowledge of successful innovations, fund mobilisation efforts at scale and developing climate expertise of financial institutions to replicate them, including building local capacity.

<sup>19</sup> B.04/03: <https://www.greenclimate.fund/sites/default/files/document/gcf-b04-03.pdf>

<sup>20</sup> Decision B.07/04

<sup>21</sup> These initial result areas are now operationalized as "Energy access and generation" and "Buildings, cities, industries, and appliances". Please find more details at <https://www.greenclimate.fund/theme/mitigation>

GCF also released the sectoral guide for Energy efficiency in September 2022<sup>22</sup>. GCF has identified the following three energy efficiency (EE) paradigm-shifting pathways for advancing the highest climate impact projects and supporting country needs:

- Scaling-up industrial energy efficiency,
- Enhancing “space” energy efficiency, and
- Catalysing rapid market switch to highest efficiency appliances/equipment.

Both sectoral guides should be considered as GCF’s sector guide in the energy sector, which corresponds to the Energy result area and Buildings, cities, industries and appliances result area.

#### **4. OBJECTIVES AND EVALUATION QUESTIONS**

In October 2022, the GCF Board, in decision B.34/16, approved the 2023 Workplan of the Independent Evaluation Unit (IEU) of the GCF, which includes, among other things, undertaking an independent evaluation of the Green Climate Fund’s approach to the energy sector. The evaluation is expected to serve a learning and accountability function and inform the Board’s decision-making.

##### **4.1. The evaluation will consider several key questions, inter alia:**

###### **(a) Responsiveness/relevance of GCF approach to its mandates:**

- Has the GCF’s approach and investment in the energy sector been responsive to its mandates and energy sector approach under UNFCCC?
- How relevant is the GCF suite of policies and frameworks to its mandates?
- To what extent do GCF’s approach and investment in the energy sector take into account Just Transition principles?

###### **(b) Comparative advantage and value addition of GCF:**

- Does the GCF architecture allow for delivery of its mandate vis-a-vis the energy sector and result area?
- What is GCF’s comparative advantage compared to other multilateral funds in the context of the energy sector?
- How effectively does GCF bring its additionality into energy sector projects (particularly across the different regions and vulnerabilities)?

###### **(c) Policy framework of the GCF and Energy Sector:**

- Is the policy framework of the GCF enabling effective energy sector operations?
- Does the policy and governance framework of GCF provide sufficient guidance on the nature of operations undertaken in the energy sector?
- Does the policy framework provide means to bring about the paradigm shift in the energy sector?
- Are GCF’s relevant result area(s) and sectorial guidance sufficient and effective compared with the sector approaches or classifications at other climate funds and multilateral banks?

###### **(d) Operations and project cycle:**

- What is GCF’s approach to project origination, and is this relevant to the needs of the energy sector in the countries?
- How are GCF-supported programmes used to respond to the mitigation theme mandate of the GCF?
- How relevant and valuable is GCF’s sectoral guidance in the energy sector?
- Is GCF Secretariat well oriented, and does it have the capacity to support energy sector projects throughout their life cycle?
- Has the support provided by the GCF secretariat in the approval and implementation process of energy sector projects (readiness support, project preparation facility,

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<sup>22</sup><https://www.greenclimate.fund/sites/default/files/document/gcf-energy-efficiency-sectoral-guide-consultation-version-1.pdf>

portfolio management support, sector guidance notes, thematic briefs, and secretariat staff support) been suitable and effective?

- To what extent GCF project has complied with its Environment and Social Safeguards?

**(e) Results and Impacts:**

- What is the likelihood of the results of the energy sector projects?
- Have GCF projects in the energy sector been able to bring about changes in the practices and priorities of AEs and other stakeholders in the country?
- To what extent did GCF energy sector-related projects respond to the gender-sensitive and the approach to indigenous people?
- To what extent did GCF energy sector-related projects comply with the GCF Environment and social safeguards? Have energy projects been effective in achieving the climate goals of countries (reduction in emissions, co-benefits, linkages to adaptation, and paradigm shifts)?
- How has GCF's approach and investment in the energy sector considered sustainability and economic/social co-benefits?

4.2. Also, this evaluation will assess the following areas with special focuses:

**(a) GCF's approach to the paradigm shift in energy investment:**

- To what extent has the GCF been able to foster innovation and deploy diverse financial instruments for the energy sector?
- To what extent has the GCF been playing a catalytic role in promoting innovative approaches to crowd in the climate finance in the energy investment to achieve the climate goals?
- To what extent has the GCF been promoting innovative technologies in the energy sector to achieve climate goals?

**(b) Cost-effectiveness of implementation:**

- Is GCF's investment in energy cost-effective compared to those of the private sector and/or other public finance institutions/development agencies?

**(c) Co-benefit and unintended result:**

- Is the co-benefit identified correctly at GCF?
- How has GCF's investment in energy been creating co-benefit in countries or not?
- How has GCF's investment in energy been creating unintended results (ex. adverse environmental effects) or not?

These questions will be further defined and elaborated during the inception phase of the evaluation.

4.3. The independent evaluation will use the criteria established by the GCF Board for the IEU.<sup>23</sup> These include:

- (i) Relevance, effectiveness, efficiency, impact and sustainability of projects and programmes,
- (ii) Coherence in climate finance delivery with other multilateral entities;
- (iii) Gender equity;
- (iv) Country ownership of projects and programmes;
- (v) Innovativeness in result areas (the extent to which interventions may lead to a paradigm shift towards low-emission and climate-resilient development pathways);
- (vi) 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

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<sup>23</sup> See Decision B.06/09.

(vii) Unexpected results, both positive and negative.

The evaluation will analyse these criteria customised to this particular evaluation. Overall, the evaluation will assess the relevance and effectiveness of the approach to the energy sector so far in the GCF and will also inform any future strategy, policy or guidance on the energy sector. In this way, the evaluation will be both summative and formative.

The evaluation is expected to inform the GCF sectoral guidelines in the energy sector in the future. Therefore, the evaluation will provide extensive analyses of the results so far, as well as scenarios for future strategies of the GCF.

Ultimately, the evaluation will contribute to accountability by reviewing evidence on the performance and likelihood of impact of GCF's energy sector approach. The overall assessment will examine what is working, how and for whom while identifying lessons learnt to inform the overall performance of the GCF.

## **5. METHODS AND APPROACHES**

The evaluation will adopt a utilisation-focused approach and framework, with an objective to be beneficial to its intended users in terms of providing learning, informing decision-making and improving performance overall. The IEU, the GCF Board, the Secretariat, other independent units, NDAs/FPs, CSOs/PSOs, AEs, DAEs, and other delivery partners are identified as critical actual and potential users of this evaluation. In line with the overall utilisation-focused framework, the selected team will work closely with relevant stakeholders to ensure the evaluation is appropriately participatory, consultative and engaging. Ensuring that key stakeholder representatives participate in a diversity of ways throughout this evaluation will ensure that the insights and recommendations generated are useful to all and foster appropriation, ownership and buy-in.

This strategic evaluation will draw upon standard evaluation methods. The selected team will deploy several approaches, methods, and tools to focus the review on utilisation and learning, to ensure participation at key steps in the process, and to deliver rigorous and credible findings. Overall, this evaluation will use a theory-based mixed-methods approach and include qualitative and quantitative methods for data collection, dataset building, and analysis.

Critical methods for data gathering may include programme, programme theory analyses, policy and project document analyses, review of the literature (including from comparator organisations and the peer-reviewed literature), synthesis of past evaluation reports (and case studies), portfolio, and sub-portfolio analyses using detailed and comprehensive data collected on projects by the IEU, online survey, semi-structured interviews, focus group discussions, and a series of country case studies through virtual or in-person field visits. In addition, the evaluation may use innovative methods, especially in light of COVID-19 travel restrictions.

An evaluation matrix will be developed during the inception phase and include detailed evaluation questions. Each evaluation question will be answered through a systematic and traceable use of all relevant information sources in a way that maximises the triangulation of evidence and, consequently, the representativeness and credibility of the evidence and recommendations, as well as an indication of where the evaluation did not have sufficient evidence or where the evaluation is not as confident about the evidence.

The evaluation consists of four main parts, which also coincide with the four stages of the work plan. These are as follows:

- Stage 1: Inception, planning and (revised) approach paper/inception report along with an evaluability assessment;
- Stage 2: Data collection, data management and initial analyses
- Stage 3: Analyses and factual draft and evidence tree; and
- Stage 4: Final Report, including recommendations and essential communication products.

### **Stage 1: Inception, planning and final Inception Report**

The inception period will serve the purpose of ensuring that preparations and planning can be undertaken appropriately.

- (1) The Team Leader of the selected team (along with key members) will conduct an **inception mission** to meet with the IEU team and to have inception interviews with the key informants from the GCF, including those at the Secretariat of GCF and the Independent Units. These meetings will provide the Team Leader with the opportunity to define clearly shared priorities for this evaluation, establish working relations, develop standard systems, discuss division of labour, discuss sample sizes and selection for qualitative work, support the production of an evaluation info brief and generally launch the evaluation process. This will, in turn, inform the refinement of the evaluation matrix and more refined planning for the subsequent phases of the evaluation process. This process will also determine the key methods to be used including theory-based hybrid approaches, a discussion around a hypothesised theory of change, and comparators to be used for benchmarking. Finally, this step will help the team develop an understanding of the expectations and processes of the IEU, 'integrate' themselves into the IEU and establish a strong relationship for the remainder of the evaluation.
- (2) A preliminary **document review will be undertaken** early in the assignment to ensure that the selected team is familiar with the document landscape of the GCF as relevant for the review. This review will include Board decisions, reports and discussions, relevant audits and evaluations, funding proposals, concept notes, readiness proposals, Country Programme documents, National Adaptation Plans, Project Preparation Facility documents, portfolio reports and templates, among others. A document guide (i.e., a structured bibliography) will be created to update the bibliography in real-time continually. This preliminary document and portfolio review will serve as an evaluability function, informing the selected team about the documents and data available for this review. It will enable the selected team to better understand the different general programmes within GCF and key energy sector issues in particular. It will also provide initial insights into the strengths and limitations of the existing data and documents. The document review will be further developed and continued during the next phase. A review of the literature from other academic and non-academic papers that showcase the challenges, solutions, and innovations in the energy sector is also expected during this time. Also, this evaluation will review evaluations of the energy sector portfolio and approach from other evaluation offices of climate funds and multilateral organisations. The IEU has found a literature review to be especially useful in developing a clear understanding of the normative principles that inform the evaluation.
- (3) **An evaluation matrix** will form part of the backbone of this evaluation and will be finalised during inception. The evaluation matrix will include a series of sub-questions and indicators. Furthermore, the matrix will include various analytic approaches matched to evaluation questions and data sources. Inception meetings will further inform the matrix, and data collection, as well as through a preliminary document review. This is under preparation at the IEU.
- (4) During inception, the team will undertake the **preparation of data collection and management tools** directly informed by the evaluation matrix. The tools will include document review protocols, field interview protocols, interview protocols adaptable to different categories of stakeholders, meta-analysis and benchmarking tools, an online survey and other guides as appropriate. These and other data collection tools will be piloted, tested and revised for subsequent deployment. It will be essential to develop tools such as tracking systems for the status of interviews and reports from interviews.
- (5) The evaluation will use a **purposive sample to identify countries for field missions** and to identify stakeholders to be interviewed individually and in Focus Group Discussions. For the purposes of sampling, the evaluation will use a pre-defined set of criteria to select case study countries and types of stakeholders to be consulted. During this phase, representatives of the evaluation will undertake a pilot field mission to a country of focus for piloting the evaluation matrix and the data collection approach of the team. This will inform the team's approach to the remaining field missions and refine the proposed methodology and overall work plan. The IEU will prepare the sample.

- (6) Finally, the selected team will contribute to and conclude the **Inception Report/approach paper**, which is an essential tool for the evaluation. Thus, every effort will be made to ensure that it reflects the evaluation's management requirements and methodological needs. The final revised Inception Report/approach paper will include a refined evaluation matrix, which will, in turn, be used to develop data collection tools. The Inception Report/approach paper will also outline the plan for country visits per the proposed sampling approach. Overall, the report will provide a comprehensive roadmap for the evaluation as a whole.

Key outputs at the end of Stage 1 will include:

- (1) Inception mission
- (2) Data collection tools and protocols to apply to country missions and KII interview reports
- (3) Evaluation matrix informed by an evaluability assessment.
- (4) Inception Report/Approach Paper (final).

## Stage 2: Data Collection and Analysis

Immediately following the conclusion of the Inception Phase, the evaluation will move into the second data collection phase. Data will be collected through several qualitative and quantitative methods and complemented by the IEU Datalab. The following data collection may be considered, and additional/innovative methods are welcome.

The second part of the document review will build upon the preliminary document review undertaken during the inception. It will expand the coverage of the documents reviewed and will include grey and scientific literature. Drawing on an assortment of sources, this document review will inform every component of the methodology for this review. These documents include GCF-specific programme documents and process-related documents. This will also contribute to an annotated bibliography of published literature in peer-reviewed journals.

Additionally, relevant external documentation will be used to inform the meta-analysis and benchmarking exercise, including documentation about the approach of comparable organisations in this space. Energy sector evaluations of multilateral funds will be considered.

The selected team will also work to develop, refine and draw upon the IEU DataLab. The data from the DataLab will serve to inform the team's understanding of the overall GCF portfolio, inform country sampling, and, most importantly, support portfolio and sub-portfolio analyses in a tangible way. The IEU DataLab is a powerful tool and cornerstone for high-quality evidence for current and prospective IEU evaluations.

During this phase, the selected team will schedule and **undertake a series of interviews** with key, selected stakeholders who are well-positioned to provide insights into the questions and sub-questions of this assignment. Additional interviews will be undertaken with some external key stakeholders with a good understanding of the GCF or the broader climate finance landscape. In some cases, these interviews will be planned *a priori*, while for others, they will be opportunistic or the result of snowballing, purposive, and data-driven sampling.

Given the circumstance of COVID-19, innovative methods are expected in the undertaking of interviewees. Typically, each interview is attended by a two-member team, including an IEU and an external team participant. The report from each interview will be managed according to the data management established during the Inception Phase.

Building on the first pilot country case study, the team will undertake additional **field missions** in selected countries to collect detailed information to address the questions in the evaluation matrix. It is expected that the evaluation will ensure the triangulation of evidence from the engagement with a diversity of stakeholders in-country with evidence gathered through other methods. The country case studies will serve as stand-alone reports and be included as appendices to the final report. The case studies may be virtual or in-person, depending on the context of COVID-19 and the availability of national consultants. At this point, five to six country case studies, including the pilot one, are expected.

The evaluation will potentially build a normative **theory of change/action** for the energy sector approach of the GCF. This theory of change will be developed through various data sources (literature, interviews, and process reviews). It will then be informed through data collected on field missions and in-depth interviews. Overall, this step will also be used to develop and clarify the **normative standards**

for this evaluation. Such standards will be developed by consultation with the literature and key informants and provide normative guidance against which the GCF approach to the energy sector will be evaluated.

The evaluation will consider an **online survey(s)** to gather perceptual data from stakeholders. It may be expected that different survey instruments are administered for diverse stakeholder groups.

Notably, the evaluation team (the IEU and selected team) will undertake **data analysis** that will include the following but not limited to Funding Proposals, accreditation, Annual Performance Report, Funding Activity Agreements, reports of the Investment Committee, independent Technical Advisory Panel and Secretariat, Accreditation Master Agreements, Concept Notes, CSO comments. Further, the evaluation will analyse data pertinent to GCF funding windows, *viz.*, thematic (adaptation, mitigation, cross-cutting) and modalities (readiness and preparatory support programme, private sector facility, request for proposals). Data will also be disaggregated for direct access entities and international entities. This step will also include analysis of external databases that may become available during the course of the evaluation.

A landscape analysis (assessment of needs/ strategic areas for the GCF) and benchmarking assessment may provide vital information for this strategic evaluation.

The evaluation will include a review and synthesis of information specific to the energy sector included in the **previous IEU evaluations**, and concurrent IEU evaluations will also inform it. Specifically, it is expected that some country mission reports from previous IEU evaluations will yield valuable data to inform this evaluation. Such analysis will provide valuable information for this evaluation and are to be included. The evaluation will also be informed by concurrent IEU evaluations, such as a rapid assessment of GCF's Readiness and Preparatory Support Programme and an evaluation of GCF's Investment Framework.

It is expected that the evaluation will continually provide updates on the progress in several ways to key stakeholders (e.g., conferences, GCF events, etc.) to ensure that the evaluation is socialised within the GCF community and to ensure that the evaluation is operationally and substantially on track.

Key outputs in Stage 2 will include:

- (1) Landscape analysis and benchmarking assessment
- (2) Synthesis of IEU's past evaluations
- (3) Presentation of the data analysis results
- (4) Country mission reports that are circulated to countries and finalised
- (5) Initial evidence tree (questions and data used to answer these)

### Stage 3: Analyses and Factual Draft

The third stage of the evaluation comprises the synthesis of data analysis, report writing and the delivery of a presentation. The evaluation will undertake a **process of data analysis and synthesis** rooted in a triangulation of all data sources. Trends and outliers in the data will be identified concerning programme activities, regional disparities, and others.

**Findings and recommendations** emerging from the evaluation will be drafted considering scenarios of recommendation uptake and potential evolutionary paths for the Fund, guided by the normative standards. In doing so, the evaluation will be situated within the broader institutional and programmatic landscape and planning of the GCF.

Key outputs at the end of Stage 3 will include:

- (1) The factual report that is also circulated to the Secretariat and other relevant stakeholders.
- (2) Presentation of preliminary findings.
- (3) Presentation of the map for structuring, exploring, summarising findings, conclusions and (potential) recommendations for actions

### Stage 4: Final Reporting

The evaluation report and its associated products will be finalised during the final stage of the evaluation. After receiving comments on the factual report, the team will prepare the **final report** of the evaluation to share with IEU. This report will include recommendations.



The communication and dissemination of the evaluation report will include webinar(s), presentation(s) to the GCF Board and other stakeholders, and evaluation briefs. Other products may include side-event during GCF Board meetings, and additional communication products. The team will be expected to remain available to support these processes and products.

The IEU will ensure that the findings, recommendations, and lessons learned from the evaluation are disseminated and shared with a broad audience, including energy practitioners, in a manner that is informative, engaging, and accessible. The stakeholder mapping will be used to guide the dissemination of the report.

The Evaluation team will organise virtual or in-person workshops at different evaluation stages with the Secretariat, the GCF board, and other key stakeholders. Other presentations could be organised globally, such as during relevant conferences and evaluation events. The communication and dissemination of the evaluation report will include webinar(s), presentation(s) to the GCF Board and other stakeholders, and evaluation briefs. Other products may include side-event during GCF Board meetings and additional communication products. The team will be expected to remain available to support these processes and products.

Key outputs at the end of Stage 4 will include:

- (1) Final report, including recommendations, annexes<sup>24</sup> of the report (and fully addressing all comments and suggestions provided in a different round of reviews)
- (2) Presentation of evaluation findings and recommendations to relevant stakeholders within the GCF
- (3) Support for communication products<sup>25</sup> and socialisation of the evaluation.
- (4) Structure of the evaluation team and responsibilities

The evaluation team will include the external team hired through this Request for Proposal (RFP) and the IEU team. Together, the evaluation team will be under the direction and overall leadership and responsibility of the Head of the IEU. The evaluation will be led and managed by IEU senior staff. It will include members of the IEU DataLab, the selected team to be contracted under this RFP, and will also be informed by teams undertaking other concurrent IEU evaluations.

The responsibilities of the selected team will involve finalizing the Inception Report/Approach Paper, including the evaluation matrix, annotated review of documents, data needs, analytical tools (instruments, protocols), and the final report outline; being an active part of the evaluation workshops and meetings; collecting the new data required by the evaluation in the sampled countries as well as with key informants, directly as well via online tools and triangulate and validate the findings, and drafting the zero-draft and intermediate reports that will lead to the final report including the conclusions, recommendations, Executive Summary and all annexes, and the communication products to be detailed in the Inception Report.

The team will be expected to add significant value in terms of the lessons learned and the formative and summative aspects of the evaluation, deriving from the evidence gathered during the evaluation. Managerially, it is expected that key team members will participate in virtual weekly meetings with the IEU, which may increase in frequency close to the finalization of the report.

The IEU will take ownership of the evaluation and hold overall responsibility and accountability for the management and delivery of the evaluation up to and including approval of the final report. It will guide the selected team throughout the implementation of the evaluation up to and including design, data collection, analysis, and drafting. Therefore, the IEU will co-develop and co-write the evaluation questions, methods and reporting.

The IEU will further facilitate access to GCF data. This will include portfolio-level data from the GCF provided by the DataLab, facilitation of interviews with GCF Board members, staff, and other internal stakeholders, facilitation of online survey, access to GCF and IEU documents, and networks with the external stakeholders.

The IEU will also launch introductions with NDA/ Focal Points to launch the country missions. The IEU DataLab will provide support for the analysis of the data described above, while members of the IEU will be active participants in interviews and field missions. The IEU will also lead the review of the

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<sup>25</sup> All photographs, GIS coordinates and other data collected (both quantitative and qualitative) will be the property of the IEU and should be duly submitted to the IEU.

evaluation draft report, including facilitating discussion and management responses. Finally, the IEU will lead communication product preparation and publication/ delivery.

## **6. TEAM EXPERTISE**

The team should have solid expertise and experience in evaluations at the strategic, corporate, and program levels, strategic evaluations, statistical analysis, data extraction and data analysis. In addition:

- (a) In-team solid expertise and experience in climate change evaluations, especially in energy renewables, sustainable bioenergy; efficient and reliable energy transmission, distribution, and storage; and promoting access to clean energy in a way that promotes sustainable development and climate resilience while reducing emissions.
- (b) In addition, strong expertise and experience in the energy sector, innovation, climate finance, private sector and cost-benefit analysis of energy investment in developing countries.
- (c) In-depth experience with mixed methods, in addition to pure qualitative and quantitative methods, strategic evaluations, and counterfactual methods.
- (d) At a minimum, extreme familiarity with tools referring to evaluation data collection methods, such as focus-group discussions, semi-structured interviews, synthesis tools, and quantitative capabilities and ability to engage with geospatial data. The team will be recommended to use the tools previously used by the IEU for qualitative and quantitative data.
- (e) Access to country-based consultants in case of virtual missions to countries.
- (f) The team should be able to propose and undertake innovative data collection methods that take into account practical challenges, including those created by COVID-19
- (g) Desirable qualifications include consideration of gender diversity, ability to work in multiple languages, ability to travel, and responsiveness.
- (h) The team should be able to ensure that they will be able to produce a highly credible, well-written evaluation report within the budget and time requested. The evaluation report will be co-owned by and a product of the IEU.

## **7. TIMELINE AND DELIVERABLES**

This evaluation will involve desk studies and virtual or in-person fieldwork and interviews. For this assignment, it is vital that the contracted team communicates closely with and consults the IEU regularly. The estimated evaluation length is spread from February 2023 to February 2024. The final report needs to be completed by 15 December 2023, with follow-up engagement for the first Board meeting, which is expected in March 2024, where this evaluation will be tabled. The timeline for this evaluation is expected to be as follows:

- February – March 2023: Commencement of assignment and start of the assessment work (the start date is subject to change due to procedural issues).
- March – April 2023: Drafting of the approach paper.
- 30 April 2023: Approach paper finalized.
- May – September 2023: Data gathering and analysis, review, interviews and consultations. Virtual or in-person country missions, depending on COVID-19-related travel and health alerts at that time.
- 15 October 2023: Factual draft report (including finding statements)
- 30 November 2023: Draft final report submitted to IEU (including findings and recommendations) along with country mission reports submitted after reviewing the NDA
- 15 December 2023: Final report submitted to IEU
- November to February 2024: Socialization of methods and results. Inputs into draft communications products such as evaluation briefs.

- February 2024: Submission of the final report to the Board of GCF

The above timeline may be subject to change to accommodate procedural and emerging issues, especially in line with decisions to be made at the GCF Board meetings of 2022 and 2023, and a certain degree of flexibility is expected from the external team. The external team will work closely with the IEU throughout the evaluation cycle, especially in the final drafting stage, which is expected to be iterative.

**Table 2: Assignment Schedule (tentative)**[illegible]

**Table 3: Deliverables and Suggested Payment Schedule**

PHASE	MILESTONE DELIVERABLES	EXPECTED DATE	PAYMENT (% OF CONTRACT PRICE)
Signing of contract	Agreed contract document	28 February 2023	10%
Approach paper	Final Approach paper	30 April 2023	15%
Data collection and analysis	Data collection and analysis	30 August 2023	15%
	Factual report is submitted to the IEU	15 October 2023	20%
Final reporting	Final evaluation report and executive summary Country mission reports	15 December 2023	30%
Socializing, communications and uptake	Inputs into IEU communications and outreach products to showcase the key findings/recommendations of the evaluation  Socialising, reviewing and drafting learning products; engagement in the Board meeting, as appropriate	31 March 2024	10%



## **Annex 2-A**

### **Requirements for Firms' Proposals - Technical Proposal**

The Technical Proposal will be submitted in a separate file and will address all aspects of the Terms of Reference. The Technical Proposal shall have all the necessary details in response to the Terms of Reference and the Bidder shall fill in the technical Forms (TECH Forms) which follow in this annex, and which must be filled in accordingly.

The Technical Proposal **MUST NOT** contain any pricing information. Technical proposals which contain pricing information will be disqualified.



## TECH Forms

### Form TECH-1: Technical Proposal Submission Form

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[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 Proposal.

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, if applicable]

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 2.8 of the RFP Letter, 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,

Authorised Signature [In full and initials]: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

Name of Firm: \_\_\_\_\_

Address: \_\_\_\_\_



## Form TECH-2: Firm's Organization and Experience

### A - Organisation

[Provide here a brief (two pages) description of the background and organisation 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 making relevant examples of assignments in the areas of work identified in the terms of reference in Annex 1]

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 Counterpart's Staff and Facilities to be provided by the GCF**

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### **On the Terms of Reference**

Present and justify any modifications or improvements to the Terms of Reference you are proposing to improve performance in carrying out the assignment (such as deleting some activity you consider unnecessary, adding another, or suggesting 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**

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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) Organisation 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) Organisation 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: Team Composition and Task Assignments

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



## **Form TECH-6: Curriculum Vitae (CV) for Proposed Staff Members/Experts**

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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 specialised 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 organisation, positions held.]: \_\_\_\_\_

From [Year]: \_\_\_\_\_ To [Year]: \_\_\_\_\_

Employer: \_\_\_\_\_

Positions held: \_

<p>11. Detailed Tasks Assigned</p>          <p>[List all tasks to be performed under this assignment]</p>	<p>12. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned</p>   <p>[Among the assignments in which the staff has been involved, indicate the following information for those assignments that best illustrate staff capability to handle the tasks listed under point 11.]</p> <p>Name of assignment or project: __</p> <p>Year: __</p> <p>Location: _____</p> <p>Client: _</p> <p>Main project features: __</p> <p>Positions held: _</p> <p>Activities performed: ____</p>
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13. Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience. I understand that any wilful misstatement described herein may lead to my disqualification or dismissal, if engaged.

[Signature of the staff member or an authorised representative of the staff]

Date: \_\_\_\_

Full Name of the authorised representative: \_\_\_\_\_

Signature Date: Day/Month/Year

### Form TECH-7: Staffing Schedule<sup>1</sup>

14.	Name of Staff	15. 16. Staff input (in the form of a bar chart) <sup>2</sup>							17. Total staff-week input
		1	2	3	4	5	6	7	Total
1									
2									
3									
n									
Grand Total									

1 For Professional Staff the input should be indicated individually; for Support Staff it should be indicated by category (e.g.: 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 <sup>1</sup>	Weeks <sup>2</sup>						
		1	2	3	4	5	6	7
1								
2								
3								
4								
n								

1 Indicate all main activities of the assignment, including delivery of reports (e.g.: inception, interim, and final reports), and other benchmarks such as Client approvals. For phased assignments indicate activities, delivery of reports, and benchmarks separately for each phase.

2 Duration of activities shall be indicated in the form of a bar chart.

## **Annex 2-B**

### **Requirements for Firms' Proposals - Financial Proposal**

#### **Financial Proposal**

The Bidder must prepare and submit the Financial Proposal in a separate file from the Technical Proposal.

The Financial Proposal shall include the taxes where applicable<sup>26</sup>, and the applicable taxes shall be specified.

The Financial Proposal must also summaries the total consultancy fee and the breakdown covering the lump sum amount to determine the financial score and contract price. Financial Proposal Standard Forms (FIN Forms) shall be used to present the Financial Proposal.

#### **IMPORTANT:**

The Financial Proposal **MUST** be password protected. The authorised procurement officer will contact the Bidders that pass the qualifying technical score for the password to open the Financial Proposal. Bidders 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.

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<sup>26</sup> (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**

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[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 figures<sup>1</sup>].

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,

Authorised Signature [In full and initials]: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

Name of Firm: \_\_\_\_\_

Address: \_\_\_\_\_

<sup>1</sup> Amount 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

Item	Costs
	USD
Total Cost of Financial Proposal <sup>1</sup>	

<sup>1</sup>Indicate the total cost, net of local taxes, to be paid by GCF in each currency

### B. Breakdown of Fees and Expenses<sup>27</sup> per Cost Component

Description	A. Unit of measure	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)	Working day			
Expert or Consultant	Working day			
Associate Expert or Consultant	Working day			
Other staffs (if any)	Working day			
Sub-Total =				
I. Other Costs (if any)				
Sub-Total =				
<b>TOTAL (Total Cost of Financial Proposal)</b>				<b>USD</b>

### 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)
1	Deliverable 1		
2	Deliverable 2		
3	Deliverable 3		
N			
	<b>TOTAL (Total Cost of Financial Proposal)</b>	<b>100%</b>	<b>USD</b>

<sup>27</sup> 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 Remuneration<sup>1</sup> or Price List for Experts**

(Information provided in this form will be used to establish cost of future work/services or payments to the Firm for possible future work/services requested by the GCF)

Name <sup>2</sup>	Position <sup>3</sup> or Title	Daily Staff Rate <sup>4</sup>

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 For RFP 2022/042**

#### **A. Evaluation and Comparison of Proposals**

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 authorised 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**

All Bidders 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 Bidder notes issues, these must be raised as part of the technical proposal for consideration during evaluation**

#### **The Technical Proposal shall include:**

- A brief description of the organisational 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 technical requirements.

#### **C. Evaluation of Technical Proposal**

A technical review committee shall be established to evaluate each submitted technical proposal. The technical proposals are evaluated individually on the basis of their responsiveness to the Fund's technical requirements.

**The assessment of the technical proposals will also be based on the evaluation criteria below. Following this, the Bidder's team is welcome to support their proposal with reference to evaluations that are relevant to this assignment.**

#### **Evaluation Criteria**

SN	Description of the Evaluation Criteria	Sub-score	Score
<b>1</b>	<b>Technical Expertise and Experience</b>		<b>30</b>
1.1	Expertise and experience of the proposed team in undertaking evaluations using quantitative methods, particularly in the review and development of strategies based on evidence, demonstrated experience in solid qualitative data collection and analysis	10	
1.2	Experience and expertise of the team in evaluations in the context of climate change, climate finance, and/or in the context of the energy sector with focuses	10	

SN	Description of the Evaluation Criteria	Sub-score	Score
	on innovation, climate finance, the private sector, and cost-benefit analysis of energy investment in developing countries.		
1.3	Experience and expertise of the team in multi-country portfolio evaluations in a multilateral setting.	10	
<b>2</b>	<b>Methodology and Workplan</b>		<b>30</b>
2.1	The scope, magnitude, urgency and challenges of the overall task are fully and well understood, are properly addressed and correspond closely to the present TOR, and this is reflected in the proposed methodology. The methods reflect an understanding of the challenges of climate finance and energy sector. The proposed methods are flexible and innovative to account for COVID-19 related uncertainties.	15	
2.2	The technical tools and work plan are well defined and are relevant and correspond to the assignment of this TOR, including the essential need to perform the task and deliver within short, and intensive time frames. Innovative assessment methods are preferred.	15	
<b>3</b>	<b>Project Team and Personnel</b>		<b>40</b>
3.1	Strong, proven team leader's capacity to lead and organise the evaluation process under time constraints and manage complex teams and evaluations, with emphasis on complex corporate, portfolio and performance evaluations. This includes extensive evaluation experience and capacity, time availability, and willingness of all members that will be proposed as part of the team	10	
3.2	Demonstrated excellent communication skills, ability to work with tight deadlines and history of timely delivery of use-worthy, added value, strategic documents	10	
3.3	Demonstrated appropriate team members and arrangements: (a) The proposed team is appropriately composed, including the expertise and experience of the proposed key team members, and structure of the team, as reflected in gender balance, ability to work across languages, and utilise and tap into networks in various parts of the world (e.g., access to local consultants based in developing countries), and academic qualifications (b) Demonstrated ability of key staff to work and analyse quantitative and qualitative data by using well recognised methods, especially as related to statistical data, theory of change, survey design, field probing and investigation, field and other interviews and lead focus groups while recognising biases, and behavioral science methods	20	
	<b>TOTAL</b>		<b>100</b>

Technical proposals that score at least 75 points out of 100 will be considered as qualified for the review of financial proposal. Any proposal less than that will be disqualified from proceeding to the next step and its financial proposal shall be returned unopened following the award of the contract.

#### **D. Evaluation of Financial Proposal**

The financial proposal of all bidders 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:



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

**E. Consolidated Evaluation**

The weights given to Technical (T) and Financial (P) Proposals are:  $T = 0.70$ , and  $P = 0.30$

Proposals will be ranked according to their combined technical ( $S_t$ ) and financial ( $S_f$ ) 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:  $S = S_t \times T\% + S_f \times P\%$ .

The bidder that achieves the highest combined technical and financial score will be invited for contract negotiations.

**F. Award of Tender/Contract**

The tender award will be made to the responsive bidder who achieves the highest combined technical and financial score, following negotiation of an acceptable contract. The GCF reserves the right to conduct negotiations with the bidder regarding the contents of their offer. The contract award will be in effect only after acceptance by the selected Bidder of the terms and conditions and the technical requirements.

## Annex 4 - Company Profile Form

Please respond to all questions.

### 1.1 Company Details - Vendor's Name

<b>Name:</b>
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### 1.2 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 organisation	Public enterprise ( ) Private company ( ) Organisation sponsored (assisted by Government) ( ) Other (please specify): ..... ( )		
Type of Business	Manufacturer ( ) Retailer ( ) Authorised Agent ( ) Consulting Company ( ) Other (please specify): ..... ( )		
Summary of main business activities			
No. of employees (by location)			
Staff turnover rate			
In-house working language (s)			



1
2

### **1.9 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. 2022/042 for Consultancy Services for Independent Evaluation of GCF's Approach to Energy Sector** dated **22 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 **Monday, 30 January 2023 @ 18:00 hours Korean Time.**

☐ INTEND    ☐ DO NOT INTEND

to send one (1) authorised representative<sup>28</sup> to observe the public opening procedure on **Tuesday, 31 January 2023 at 10.00 hours Korean Time\***. (Note: attendance at 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: \_\_\_\_\_

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](mailto:procurement@gcfund.org) and copy to [hngau@gcfund.org](mailto:hngau@gcfund.org)

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

<sup>28</sup> 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.

<b>Nr.</b>	<b>Event</b>	<b>Responsible Party</b>	<b>Tentative Date (and time, KST*)</b>
1	Issuance of RFP	GCF	22 December 2022
2	Last day to send completed Acknowledgement Letter of RFP receipt	Bidder	13 January 2023
3	Last date for requests for clarifications of RFP	Bidder	20 January 2023
4	Last date for GCF to reply to questions received	GCF	25 January 2023
5	Date by which proposals must be received in South Korea by GCF (Closing Date)	Bidder	30 January 2023 at 18.00 hours KST*
6	Opening & Distribution of Technical Proposals	GCF	31 January 2023 at 10.00 hours KST*

\* KST: Korean Standard Time (Seoul Time)

## 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.