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Reference: RFP 2023/040/hn

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Request for Proposal no. RFP 2023/040

Consultancy Services for Independent Evaluation of the Relevance and Effectiveness of the GCF Investments in the Latin America and Caribbean (LAC) Region

1. Background

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.

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.

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 Independent Evaluation of the Relevance and Effectiveness of the GCF Investments in the Latin America and Caribbean. 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 **Friday, 08 December 2023 at 24.00 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. Shall 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 and copy to 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 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 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 shall present such information in the following manner:

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



- 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.

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 shall 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 and copy to 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

a) Submission via E-mail

Two separate files (Technical and Financial Proposals) shall be attached to the e-mail (at procurement@gcfund.org and copy to hngau@gcfund.org) as per the instructions below.

- The technical file shall contain the technical proposal and be named as follows:

RFP 2023/040 – 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 shall contain the financial proposal and be named as follows:

RFP 2023/040 – FINANCIAL PROPOSAL - (Name of Bidder)



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

RFP 2023/040 – Evaluation of GCF Investments in LAC Region (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 shall 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, Bidders/Tenderers, 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 shall these arise.

Specifically, the bidder must ensure that none of the individual team members have been involved in any stage of design or implementation of GCF's funded activity or readiness programme in the Latin America Region and Caribbean region whether directly with the Secretariat in any capacity or indirectly with any of accredited entities, delivery partners and other stakeholders for GCF specific work. The proposed team members should not be involved in any ongoing work with GCF Secretariat, accredited entities, delivery partners and other stakeholders in the region nor should they take up any such work in the duration of this contract. If the firm has any current or past contracts with the Secretariat or any of the accredited entities or delivery partners in any role, they should demonstrate how they intend to safeguard the independence of the team proposed for this evaluation.



13. Confidentiality

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

We look forward to receiving proposals from interested Firms for this Request for Proposal (RFP) by the deadline mentioned above.

Sincerely yours,

DocuSigned by:

Dragoljub Kelecevic
Procurement Manager

ANNEX 1 – TERMS OF REFERENCE

Consultancy Services for Independent Evaluation of Relevance and Effectiveness of the GCF Investments in the Latin America and Caribbean (LAC) Region

1. AIMS

The governing instrument of Green Climate Fund (GCF) recognizes the special context of African countries, the Least Developed Countries (LDCs), and Small Islands Developing States (SIDS) noted in their special vulnerability to the adverse effects of climate change.² IEU has undertaken evaluation of GCF's approach in each of these group of countries. The latest evaluation on GCF's approach in African States has led to interest for evaluation coverage of other regions. The current evaluation is part of a concerted effort by the Independent Evaluation Unit (IEU) to examine the relevance and effectiveness of GCF strategy and investments in Latin America and the Caribbean.

This document invites firms to submit a proposal to identify one Service Provider to support the Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund's Investments in Latin America and the Caribbean by the IEU of the GCF. The evaluation has been approved by the GCF Board at its 37th meeting, through document GCF/B.37/21. This document includes an overview of objectives, approach, deliverables, and the timeline for the evaluation of the GCF's investments in Latin America and the Caribbean.

2. BACKGROUND ON GCF AND IEU

The GCF is a multilateral fund created to make significant and ambitious contributions to the global efforts to combat 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 aims to 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 climate change, while accounting for their needs and supporting particularly those that are vulnerable to the adverse effects of climate change. The GCF is governed by a Board, composed of an equal number of members from developed and developing countries. It is operated by an independent Secretariat headed by an Executive Director.

The IEU of the GCF is mandated by the GCF Board under paragraph 60 of its governing instrument to inform its decision-making. Specifically, the governing instrument states "*... the Board will establish an operationally independent evaluation unit as part of the core structure of the Fund. The head of the unit will be selected and will report to the Board. The frequency and types of evaluation to be conducted will be specified by the unit in agreement with the Board.*"

The IEU has several objectives:

- a) Informing decision-making by the Board and identifying and disseminating lessons learned, contributing to guiding the GCF and stakeholders as a learning institution, providing strategic guidance;
- b) Conducting periodic independent evaluations of the GCF performance to objectively assess the results of the GCF and the effectiveness and efficiency of its activities;
- c) Providing evaluation reports to the Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC) and the Paris Agreement for purposes of periodic reviews of the Financial Mechanism.³

² Para 52, Page 13

³ FCCC decision 5/CP.19, annex, paragraph 20. The Conference of Parties to the UNFCCC provides the following guidance on the function of the IEU: "The reports of the GCF should include any reports of the independent evaluation unit, including for the purposes of the periodic reviews of the financial mechanism of the Convention".

The IEU has a mandate for both discharging an accountability function and supporting a learning function.⁴ These are central to the GCF being a learning organization as laid out in its Governing Instrument and the Updated TOR of the IEU.⁵ The responsibilities of the IEU are as follows:⁶

- a) Evaluation: The IEU will undertake independent overall, portfolio, country, thematic, programme evaluations that inform the GCF strategic result areas.⁷ In key cases, it will also support and undertake project evaluations. The IEU will use relevant and innovative methods and an independent peer-review mechanism that will provide guidance on independent evaluations. The vision, criteria, and guidelines for these will be laid out in the independent evaluation policy. The IEU is also mandated to independently peer review and attest the quality of the GCF self-evaluation;⁸
- b) Advisory and capacity support: The IEU is required to advise the Board by synthesizing findings and lessons learned from its evaluations. These findings and lessons learned are expected to also inform the Board and the Secretariat, NDAs, implementing entities, observer organizations, as well as stakeholders.⁹ The IEU will engage closely with the independent evaluation units of intermediaries and implementing entities of the GCF, including National Designated Authorities (NDAs) and Accredited Entities (AEs). It will provide support to catalyze learning and build and strengthen the evaluation capacity of NDAs and AEs. It will also provide guidelines and support evaluation-related research that helps produce rigorous evidence in the GCF result areas.
- c) Learning: The IEU will support the GCF in its learning function by ensuring that recommendations from independent evaluations are incorporated into the Secretariat's functioning and processes. This includes recommending possible improvements to the GCF performance indicators and its results framework, after accounting for international experience and the results of the evaluation;¹⁰
- d) Engagement: The IEU will actively participate in relevant evaluation networks to ensure that it is at the frontier of evaluation practice. The IEU will involve its staff and staff from the NDAs and AEs in evaluations wherever feasible and appropriate.¹¹ In addition, the IEU will support knowledge hubs of low-emission and climate-resilient pathways.¹²

3. CONTEXT AND RATIONALE

3.1 The Latin America and Caribbean and Climate Change

Extreme weather and climate shocks are becoming more acute in Latin America and the Caribbean, as the long-term warming trend and sea level rise accelerate. Temperatures over the past 30 years have warmed an average of 0.2 Celsius per decade (and higher in Mexico and the Caribbean) – the highest rate on record. There is a vicious cycle of spiraling impacts on countries and local communities. For instance, prolonged drought led to a drop in hydroelectricity production in large parts of South America, prompting an upsurge in demand for fossil fuels in a region with major untapped potential for renewable energy. Extreme heat combined with dry soils to fuel periods of record wildfires at the height of summer 2022, leading carbon dioxide emissions to spike to the highest levels in 20 years and thereby locking in even higher temperatures. Glacier melt has worsened, threatening ecosystems and future water security for millions of people. There was a near total loss of snowpack in summer 2022 in the central Andean glaciers, with dirty and dark glaciers absorbing more solar radiation which in turn accelerated the melt.¹³

⁴ GCF/B.16/18.

⁵ GCF/B.BM-2021/15, annex I.

⁶ See <https://ieugreenclimate.fund/> for more information on the IEU's mandate, workstreams, and evaluations.

⁷ GCF/B.05/03, annex I.

⁸ Ibid.

⁹ Ibid.

¹⁰ Ibid.

¹¹ Ibid.

¹² Ibid.

¹³ State of Climate in Latin America and Caribbean 2022, World Meteorological Organization: https://library.wmo.int/index.php?lvl=notice_display&id=22309

Latin America and the Caribbean are surrounded by the Pacific and the Atlantic oceans, and the climate is largely influenced by the prevailing sea-surface temperatures and associated large-scale atmosphere-ocean coupling phenomena, such as the El Niño–Southern Oscillation (ENSO). 2022 marked the third consecutive year of La Niña conditions. This was associated with higher air temperatures and precipitation deficits over northern Mexico, a prolonged period of drought conditions over much of south-eastern South America, and increased rainfall in parts of Central America and northern South America and in the Amazon region.¹⁴

3.2 Latin America and Caribbean and GCF

According to the data available with the IEU, 61 active projects (as of July 13, 2023) cover at least one Latin American and Caribbean State, with the majority focusing on mitigation. Most GCF projects in the Latin American and Caribbean countries are medium-sized (between USD 50 to 250 million) and small (less than USD 50 million) and fall in the ESS B/I-2 category. According to this data, 32 out of 33 eligible Latin American and Caribbean countries have an approved project. Altogether the GCF portfolio in the Latin American and Caribbean States is USD 3.2 billion, with USD 6.7 billion in co-financing. Therefore, the Latin American and Caribbean States portfolio constitutes 25 percent of the GCF global portfolio. The RPSP support to Latin American and Caribbean States comprises of 226 grants, with USD 159.33 million in commitments. Of these, 196 grants have disbursed a total of USD 108.21 million.

Table 1: Breakdown of the GCF approved funding proposals in Latin America and Caribbean countries.

CATEGORY		NUMBER OF PROJECTS
Theme	Adaptation	14
	Cross-cutting	24
	Mitigation	23
Division	DMA	43
	PSF	18
ESS	A/I-1	10
	B/I-2	45
	C/I-3	6
Size	Large	17
	Medium	23
	Small	18
	Micro	3
FAA status	FPs covering at least one Latin America and Caribbean states State	61
	FPs with at least one Latin America and Caribbean states State, FAA is neither executed nor effective	6
	FPs with at least one Latin America and Caribbean states State, FAA is executed but not effective	5
	FPs with at least one Latin America and Caribbean states State, FAA is effective	50
	FPs, with at least one Latin America and Caribbean states State, with at least one disbursement	43

Source: GCF iPMS data, cut-off date: July 13, 2023 (B.36)

¹⁴ Ibid

Table 2: Number of projects in the Latin America and Caribbean states for each Accredited Entity

ACCREDITED ENTITY	NUMBER OF PROJECTS
AFD	2
CABEI	4
CAF	5
CCCCC	2
DOE_ATG	2
FAO	8
FMCN	1
FMO	3
GIZ	2
IDB	8
IFAD	2
IUCN	2
MUFG_Bank	3
NEFCO	1
PCA	4
Profonanpe	2
UNDP	7
UNEP	1
World Bank	1
WWF	1

Source: GCF iPMS data, cut-off date: July 13, 2023 (B.36)

3.3 Cross-cutting Issues in climate in Latin America and Caribbean

This evaluation is expected to incorporate social, economic, and political factors, which may impact the effectiveness of the investments in Latin America and Caribbean. Diversity of institutional systems, reliance on natural resources and agriculture, levels of economic development, geographical scope, and other specific (to a region or a country) characteristics must be considered in the evaluation.

3.4 Indigenous Peoples

Indigenous peoples are unique and distinct stakeholders of the GCF. The rights of indigenous peoples are affirmed by international human rights instruments, including binding treaties and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). GCF even released an Indigenous Peoples Policy in March 2018, approved by Board at its 19th session (B.19.11).¹⁵ Indigenous peoples assume special significance in the climate context in Latin America. Indigenous peoples make up about 10% of the population of Latin America. Faced with the global threat of climate change, indigenous peoples acquired a renewed visibility: the contribution they can make to their mitigation and to the conservation of biodiversity is recognized.¹⁶ For the reasons mentioned above indigenous peoples will be an area of special importance to the evaluation. The evaluation will dovetail the efforts of the Independent Evaluation of GCF's Approach to Indigenous Peoples, also scheduled to be undertaken over 2024.

3.5 Gender

The structural nature of gender inequality means that women face persistent barriers in accessing productive resources such as credit, land, water, training, technologies and time. In this context, the impacts of climate change can deepen existing gender inequalities. The poor and the marginalized, among whom

¹⁵ <https://www.greenclimate.fund/sites/default/files/document/ip-policy.pdf>

¹⁶ Los pueblos indígenas de América Latina – Abya Yala y la Agenda 2030 para el Desarrollo Sostenible: <https://repositorio.cepal.org/server/api/core/bitstreams/7a735a11-beec-406d-ba2d-2dc1ee752834/content>

women are overrepresented, usually have the least capacity to withstand even the most moderate climate risks and are the first to experience asset erosion, cycles of poverty and limits on adaptive capacity. Climate change is thus an additional burden that can push them into chronic poverty by directly and severely impacting access to livelihoods.¹⁷ Thus, attention to gender issues in evaluating GCF's approach in Latin America is particularly important.

3.6 Private Sector

Private financial institutions are taking steps to increase adaptation finance through various internal tools and incorporating a sustainability lens into risk mitigation and business origination. The financial sector in the region is establishing voluntary alliances such as sustainability roundtables, green protocols, and sustainable finance councils, where members and practitioners discuss Environmental, Social, and Governance (ESG) trends, establish guidelines, share best practices and cross learning with the aim to increase climate investments. The region also has a prominent private sector programming emphasis with 21 of the 66 projects approved as of B.36 being private sector projects.

4. EVALUATION FRAMEWORK

(1) Objectives

During the B.37 meeting of the GCF Board, the 2024 work plan of the Independent Evaluation Unit (IEU) was approved, which lays out the different independent evaluations to be conducted in 2024.¹⁸ One of the evaluations to be conducted is the Independent Evaluation of the Relevance and Effectiveness of GCF investments in the Latin America and Caribbean countries of the Green Climate Fund. This evaluation serves both functions: learning and accountability.

The evaluation will have the following objectives:

- a.) Assess whether the GCF approaches and investments have promoted the paradigm shift towards low-emission and climate-resilient development pathways in Latin America and the Caribbean region.
- b.) Assess effectiveness and efficiency in reducing the vulnerability of local communities and local livelihoods to the effects of climate change, and whether these impacts are likely to be sustained in Latin America and Caribbean region.
- c.) Identify critical success factors for the relevance and effectiveness of GCF operations in Latin America and the Caribbean region.
- d.) Generate lessons for future operations of GCF in the Latin America and Caribbean region.

The evaluation will be delivered to the last Board session of 2024 and will provide key lessons for the GCF, these key lessons will build upon previous IEU evaluations on the SIDS, LDCs, and the African states. This is the second evaluation focusing on a region of GCF operations after a similar evaluation in Africa.¹⁹

(2) Scope

The evaluation will be led, owned, and delivered by the IEU. IEU evaluation task manager has the supervisory role of the evaluation in all respects and will have final say in all matters pertaining to this evaluation. In this context, the evaluation team 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 evaluation, the team will assess the approach and operations of GCF in Latin America and the Caribbean starting from the inception of GCF given that this is the first evaluation of GCF operations

¹⁷ Women's autonomy and gender equality at the center of climate action in Latin America and Caribbean: <https://repositorio.cepal.org/server/api/core/bitstreams/76aba0a3-2e36-42ea-852f-2ce021115384/content>

¹⁸ In addition to this evaluation, IEU will conduct an Independent Evaluation of the GCF's Approach to Indigenous Peoples, Independent Evaluation of the result area Health, Food and Water Security and an Independent Evaluation of GCF's Approach to Whistleblowers and Witnesses: throughout 2024.

¹⁹ https://ieu.greenclimate.fund/sites/default/files/document/230406-afr-final-report-3rd-ed-top-web-isbn_0.pdf

focusing on the region. To respond to the objectives of this evaluation the evaluation will, inter alia, focus on the following dimensions:

- a.) GCF Secretariat's policies, approaches, tools and capacities deployed in Latin America and Caribbean.
- b.) Contributions of regional and national stakeholders and actors to facilitate access to GCF and enable implementation.
- c.) Operations of other climate funds and development partners in the region and GCF's complementarity with these partners.
- d.) GCF's past, current, and upcoming investments in the region and results.

(3) Evaluation Criteria

The Latin America and Caribbean evaluation considers the evaluation criteria mentioned in the Evaluation Policy for the Green Climate Fund²⁰, and focuses on the following selection of evaluation criteria:

- (a) Relevance, effectiveness, and efficiency of projects and programmes;²¹
- (b) Coherence in climate finance delivery with other multilateral entities;
- (c) Gender equity;
- (d) Country ownership of projects and programmes;²²
- (e) Innovativeness in result areas, to the extent to which interventions may lead to a paradigm shift towards low-emission and climate-resilient development pathways;
- (f) Replication and scalability, to the extent to which the activities can be scaled up in other locations within the country or replicated in other countries; and
- (g) Unexpected and unintended results, both positive and negative.

(4) Evaluation questions

The objectives of the evaluation will be achieved by using the analytical framework as dictated by GCF's evaluation criteria laid out in its evaluation policy.²³ The chapters of the final report may or may not be on the lines of the evaluation criteria but the evaluation questions to be answered will be drawn heavily from the criteria laid out below.

The evaluation will analyze these criteria customized to the evaluation. 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 but other questions may be included in the approach paper:

- **Relevance and coherence of GCF's approach in the region**
 - Have recommendations from previous evaluations been sufficiently mainstreamed into relevant operations in the Latin America and Caribbean region? (**relevance**)
 - Does GCF respond to stated and implied needs of countries in the region? (**relevance**)
 - Are GCF's numerous instruments, modalities and mechanisms deployed in an integrated and optimized manner to meet climate finance needs of countries in Latin America and the Caribbean? (**internal coherence**)

²⁰ GCF/B.BM-2021/07, Annex 1.

²¹ Co-benefits and global environmental co-benefits would be included either within relevance and/or effectiveness, depending on the scope as determined during the Inception Phase of this evaluation.

²² Even though this is not a standard evaluation criterion, it is included among the evaluation criteria that the IEU should use in order to take into account decision B.04/04, that country ownership will be a core principle of the Fund's business model framework.

²³ Evaluation policy for the GCF: <https://ieu.greenclimate.fund/document/evaluation-policy-gcf>

- Does GCF have a common, implicit strategy for its investments in the region? If yes, what is its relevance to the needs of countries in the region? (**relevance**)
- **Efficiency, results and impacts**
 - Has GCF's support to countries in the region been provided in a timely manner? (**efficiency**)
 - Has GCF been able to positively support strengthening of institutions and policies and creation of an enabling environment at the regional, national level or sub-national level? (**effectiveness and sustainability**)
 - Has GCF support been able to enhance access to climate finance? (**impact**)
 - Are there incipient signals of paradigm shift towards low-emission and climate-resilient development pathways? (**effectiveness**)
 - Are there any unintended and unforeseen results of GCF's investments and operations in the region? (**impact**)
- **Implementation of GCF operations**
 - How has the implementation of GCF operations in the region progressed? (**effectiveness**)
 - What are the implementation challenges faced in the course of implementation of GCF operations in the region? (**effectiveness**)
 - What are the critical success factors determining the results of GCF operations in the region? (**effectiveness, impact**)
 - Does the adaptive management of GCF Secretariat account for the realities of implementation in the region? (**effectiveness**)
 - Are the emerging results sustainable in the medium and long term? (**sustainability**)
 - Have innovative approaches been promoted through GCF's investments in Latin America and the Caribbean? (**Innovation**)
 - Do GCF investments function in a complementary manner with investments of other climate finance institutions and development partners? (**external coherence/complementarity**)
 - Have gender and indigenous people's issues been mainstreamed into implementation? (**Gender equity**)

5. METHODS.

Under this TOR, the selected team shall use the following methods in the conduct of the evaluation:

- (1) **A theory of change analysis.** The team is expected to prepare a Theory of Change (ToC) to promote a common understanding of the GCF's operations and expected results in the Latin America and Caribbean region. The ToC will be constructed based on inputs from the GCF Secretariat staff who handle GCF's operations in Latin America and Caribbean region. The theory of change will be revised based on subsequent data collection work and the final theory of change will be included in the final report and will be used for framing the analysis of the evaluation.
- (2) **Review of key documents.** The evaluation will review decisions from the GCF Board and UNFCCC that are relevant to the GCF operations in Latin America and Caribbean. In addition, the team will review evaluations and strategy documents pertaining to Latin America and Caribbean region or any sub-region within the broader region, produced by GCF's comparator climate finance institutions and other development partners. A stakeholder mapping of relevant to GCF's investments in Latin America and the Caribbean will also be undertaken. This will take place during the inception phase of the evaluation timeline.
- (3) **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. Especially, the evaluation intends to focus on a desk review of APRs to identify the implementation challenges in Latin America and Caribbean countries.
- (4) **Key informant interviews/focus groups:** Analysis of perceptions of external and internal stakeholders about the GCF's approach in the region and results will be undertaken. Key stakeholders include primarily NDA, selected stakeholders at the GCF Board, Direct Access Entities

(DAEs) and pipeline DAEs from the region, representatives of other agencies that are doing similar work, delivery partners and focal points, members of the RPSP team in the division of country programming, division of mitigation and adaptation and division of portfolio management among others. Wide consultations will be conducted with private sector and civil society actors at global, regional, and country level. Special attention will be given to interviewing CSOs and groups representing indigenous peoples in the climate space.

- (5) **Online perception survey:** IEU plans to undertake an online perception survey of various stakeholders in Latin America and Caribbean. The online perception survey will be primarily directed at NDAs, AEs, RPSP delivery partners, private sector CSOs, and other stakeholders in the region. It will seek to get an overview of the perception of GCF and its investments and results and any perceived changes over the years. Such survey(s) will likely be translated into Spanish to ensure greater accessibility for stakeholders and better response.
- (6) **Synthesis of existing evidence:** IEU has published 16 evaluations as of the time of writing these TORs.²⁴ Numerous country case studies have been undertaken during these evaluations and country-specific evidence has been generated from these evaluations.²⁵ While these case studies were undertaken in the context of different evaluations the exercise will extract common issues identified in the context of countries in Latin America and the Caribbean. A separate analytical piece may be prepared from such evidence to serve as an input into preparation of the approach paper. Depending on the time of onboarding for the exercise, the selected team may be able to provide inputs into this piece. In addition to evidence from case studies of previous IEU evaluations, evidence from regional and sub-regional evaluations of similar nature in the region by other comparator organizations will also be synthesized. Any relevant reviews and assessments commissioned by GCF relevant to the region will also be considered.
- (7) **Case studies.** Specific countries will be identified by IEU for case studies and specific questions tailored to the country context 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 in the degree and nature of engagement with GCF as well as country groups (SIDS, LDCs). Country visits will involve engagements with NDAs, delivery partners (international and national) and potential delivery partners, accredited entities and pipeline accredited entities to document experiences related to effectiveness, relevance, coherence, and country ownership.

Each country case study visit will last between 5 and 10 working days depending on the size of the portfolio and nature of GCF engagement in the country. **Typically, each country case study mission consists of one IEU staff member and one member of the proposed team.** IEU proposes 5 country case studies to be used in the course of this evaluation and a special study on REDD+ projects in the region. The evaluation will likely use the following filters and criteria for selecting the country case studies.

- Number of projects and pipeline projects, especially single-country projects;
- Number of DAEs and pipeline DAEs;
- Number of RPSP grants and volume of Readiness funding;
- Countries previously not covered as case studies by evaluations;
- Thematic and sectoral spread of GCF funding;
- Presence of REDD+ projects;

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

6. TASKS AND DELIVERABLES

The evaluation team that will work on the LAC evaluation will be comprised of and be under the direction and overall leadership and responsibility of the Head of the IEU. The team will be led and managed by an

²⁴ [https://ieu.greenclimate.fund/evaluations?f\[\]=field_status:394#list-of-evaluations](https://ieu.greenclimate.fund/evaluations?f[]=field_status:394#list-of-evaluations)

²⁵ There are 14 country case studies in Latin America and Caribbean region undertaken since 2018 which are as follows: Antigua and Barbuda, Barbados, Belize, Colombia, Chile, Ecuador, Grenada, Guatemala, Mexico, Panama, Paraguay, Peru, Santa Lucia and Haiti.

IEU task manager and **final decision-making authority on any and all aspects of the evaluation rests with the IEU task manager**. The team will include members of the IEU, including IEU's DataLab staff to support quantitative data analysis. The selected team to be contracted under these TORs will also report to IEU for the purpose of this evaluation.

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 providing inputs into the evaluation matrix. The evaluation matrix will be built based on the criteria-wise questions elaborated earlier in these TORs.
- B.) **Document and portfolio review.** The selected team will undertake a review of numerous GCF policies, Board and Secretariat documents. This will specifically include review of funding proposals, APRs, mid-term evaluations and end-of-project evaluations undertaken by AEs on projects in the region. In addition, desk reviews may also be required for strategies and evaluations relevant to Latin America and Caribbean region, from other organizations.
- C.) **Quantitative 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 the task manager and IEU 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 through qualitative analysis software 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 them into the main report.
- F.) **Country case study visits and case study reports:** IEU is targeting to undertake five (5) country case studies in the course of this evaluation. The selected team (Firm) will be expected to recruit relevant local consultants and translators for the mission, as required, organize local meetings and also participate (at least one member) in the mission. The evaluation team is expected to 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 selected 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.) **Special study of REDD+ in Latin America and Caribbean.** A special study is expected to be undertaken on REDD+ projects in Latin America. As of the time of writing these TORs GCF has financed 8 REDD+ projects of which 7 are in Latin America and the Caribbean region. The special study is expected to look at the REDD+ investments of GCF in the region, the approach taken to REDD+, the progress of such projects and critical success factors therein. The data required to be collected for this study is expected to be collected through interviews with in-country stakeholders, country case studies (REDD+ presence is one of the criteria for selection of country case studies) and a review of relevant project and policy documents. The special study is expected to be no more than 20 pages of analytical content and may be affixed as an annex to the main report or as a chapter in the main report.

- H.) **Report outline discussion note.** Based on the data collected in the course of the evaluation the team is expected to come up with a slide deck or a note which lays out the preliminary, summary outline and content of the report. Such output will serve as a means for discussion for the team to discuss and reach an agreement on the main content of the report.
- I.) **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 to be 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 and at the end of it. All data collected belongs to IEU.

7. EVALUATION STAGES AND TIMELINE

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 along with a synthesis of existing evidence on Latin America and Caribbean countries;
- Stage 2: Information and data collection, data management, initial analyses, field missions (virtual/physical), and benchmarking study;
- Stage 3: Final analyses, country case study reports and factual draft; and
- Stage 4: Final Report, including recommendations, along with key communication products.

Stage 1: Inception, planning, and final Approach Paper (November 2023 - February 2024):

The inception period is to ensure that preparations and planning are undertaken appropriately.

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. A summary report containing a compiled summary of findings from previous evaluations of case studies and findings from any reviews undertaken by Secretariat or Independent Units of IEU will be undertaken. The approach paper will also contain some of the findings of the summary of country case studies in Latin America and the Caribbean from previous evaluations. The summary report may be published as a standalone document, as an annex to the approach paper or final report, depending on the pace of progress and the evaluation's needs. The summary report and draft approach paper will be produced by IEU. The approach paper will present the perspectives from the initial consultations, and fine-tune questions of the overall evaluation.

- Depending on the agreement with the IEU evaluation lead, the team will conduct an **inception mission** to GCF Headquarters in Songdo, the Republic of Korea to meet with the IEU team.²⁶ These meetings will provide the selected team the opportunity to share the understanding of priorities for this evaluation, establish working relations, develop common systems, discuss the division of labor, sample sizes, and selection for qualitative work, support the production of evaluation info brief and generally launch the evaluation process. A series of other meetings will also be arranged with relevant stakeholders at the GCF Secretariat. After the inception meeting, the selected team will start engaging with a broad range of key informants and stakeholders, either face-to-face or by phone/videoconferencing, interviews, FGDs, and formal and informal events in which the selected team participates, with diverse stakeholders, and to acquire a good understanding of stakeholder priorities for the review. This will, in turn, inform the refinement

²⁶ A week-long physical mission will be required when the travel restriction to Korea due to COVID-19 is lifted in early 2022.

of the evaluation matrix set out in the draft approach paper and planning for the next phases of the evaluation process and also help in drafting data collection tools and protocols. Based on the timing of onboarding, the selected team will get an opportunity to draft some parts of the approach paper or provide inputs into the approach paper.

Key outputs at the end of Stage 1 will include:

1. Inception mission/Inception meeting.
2. Initial document review and desk note.
3. Define and pilot data collection tools and protocols.
4. Pilot country mission and a country mission questionnaire.
5. Evaluation matrix finalization.

Stage 2: Data collection and analysis (February – June 2024)

- The second phase will be the main phase of the evaluation. Interviews will be undertaken with Secretariat, NDAs, with AEs, pipeline AEs, executing entities, delivery partner interviews, Board members, civil society organization (CSO) groups and private sector representatives. Focus group discussions, an online perception survey, and an analysis of the documentation and the project and readiness portfolio. Country case studies (five country visits are planned) will also be undertaken in this stage. Special study on REDD+ will also be undertaken in this time period. Findings will be triangulated to ensure that inferences are robust. Documentation and evaluations on Latin America and Caribbean region or any sub-region within the broader region in other organizations will also be reviewed for the meta-analysis and benchmarking element of this evaluation, to the extent that it has not been undertaken in inception stage.

Key outputs in Stage 2 will include:

1. Data analysis report
2. Presentation of the data analysis results (report outline discussion note).
3. Country mission reports that are circulated to countries and finalized.

Stage 3: Analyses and factual draft (July-August 2024)

The third stage of the evaluation comprises the synthesis of data analysis and report writing. The qualitative and quantitative data collected at the data collection stage will be processed and analyzed. IEU will undertake analysis of most of the quantitative data and the selected team will undertake analysis of qualitative data (more on this in deliverable section). The selected team will undertake a **processing of data analysis and synthesis** rooted in a triangulation of all data sources.

Key outputs at the end of Stage 3 will include:

1. The factual report, circulated to the GCF Secretariat and other relevant stakeholders;
2. Presentation of preliminary findings.

Stage 4: Final Reporting (August-December 2024)

During the final stage of the evaluation, the evaluation report and its associated products will be finalized. After receiving comments on the factual report, the team will prepare the **final report** of the evaluation, including the 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 meeting, and additional communication products. The team will be expected to remain available to support these processes and products.

The report is expected to be presented to the last board session of 2024 (which will take place in October 2024). Hence, the main report with select annexes will be required to be finalized in time for such Board session. Volume II of the report, which usually also contains the country case studies is needed to be finalized and published by December 2024.

Key outputs at the end of Stage 4 will include:

1. Final main report, including recommendations, and select annexes of the report;
2. Presentation of evaluation findings and recommendations to relevant stakeholders within the GCF;
3. Support for communication products,²⁷ dissemination of the results from the evaluation.

The proposed timeline table is as follows:

Table 3: Timeline for the Independent Evaluation of the Relevance and Effectiveness of the GCF Investments in Latin America and the Caribbean

MAIN DELIVERABLES AND PROCESSES	DEC 23- FEB. 24	MARCH. 24	APRIL. 24	MAY- JUNE. 24	JULY- AUG. 24	SEPT. 24	OCT- DEC. 24
Selection/contracting evaluation team	X						
Preparation of approach paper	X						
Approach paper finalization (by IEU)	X	X					
Stakeholder interviews/ Focus groups		X	X	X			
Documentation review & portfolio analysis	X	X	X	X			
Online Survey			X	X			
Case studies, special study & site visits		X	X	X	X		
IEU Datalab analysis		X	X	X			
First draft report					X		
Final independent evaluation report with selected annexes						X	
Final evaluation report with all annexes							X

²⁷ All photographs and GIS coordinates and other data will be the property of the IEU, and should be duly submitted to the IEU.

Table 4: Deliverables for Payments²⁸

N	DELIVERABLES	EXPECTED DEADLINES OF THE DELIVERABLES	SUGGESTED PAYMENT (% OF CONTRACTUAL PRICE)
1	Finalization of approach Paper	31 March 2024	20%
2	Zero draft report/factual report, including country mission reports	30 August 2024	35%
3	Final Report with annexes	15 November 2024	20%
4	Communication Products and Services, including dissemination of the evaluation	31 December 2024	25%

Table 5: List of eligible Latin America and Caribbean countries

N	COUNTRY NAME	UN SUB-REGION	LDCs	SIDS
1	Antigua and Barbuda	Caribbean		X
2	Argentina	South America		
3	Bahamas	Caribbean		X
4	Barbados	Caribbean		X
5	Belize	Central America		X
6	Bolivia (Plurinational State of)	South America		
7	Brazil	South America		
8	Chile	South America		
9	Colombia	South America		
10	Costa Rica	Central America		
11	Cuba	Caribbean		X
12	Dominica	Caribbean		X
13	Dominican Republic (the)	Caribbean		X
14	Ecuador	South America		
15	El Salvador	Central America		

²⁸ Payment for mission expenses will be made at the end of all missions.

N	COUNTRY NAME	UN SUB-REGION	LDCs	SIDS
16	Grenada	Caribbean		X
17	Guatemala	Central America		
18	Guyana	South America		X
19	Haiti	Caribbean	X	X
20	Honduras	Central America		
21	Jamaica	Caribbean		X
22	Mexico	Central America		
23	Nicaragua	Central America		
24	Panama	Central America		
25	Paraguay	South America		
26	Peru	South America		
27	Saint Kitts and Nevis	Caribbean		X
28	Saint Lucia	Caribbean		X
29	Saint Vincent and the Grenadines	Caribbean		X
30	Suriname	South America		X
31	Trinidad and Tobago	Caribbean		X
32	Uruguay	South America		
33	Venezuela (Bolivarian Republic of)	South America		



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

[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 2.7 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 ^o 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 ^o 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: _____



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Form TECH-3:

Comments and Suggestions on the Terms of Reference and Counterpart's Staff and Facilities to be provided by the GCF

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 shall 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 4 chapters:

- a) Technical Approach and Methodology
- b) Work Plan
- c) Organisation and Staffing
- d) Sustainability

- a) Technical Approach and Methodology. In this chapter you shall 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 shall highlight the problems being addressed and their importance and explain the technical approach you would adopt to address them. You shall 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 shall 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 shall 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, shall be included here. The work plan shall be consistent with the Work Schedule of Form TECH-8.
- c) Organisation and Staffing. In this chapter you shall propose the structure and composition of your team. You shall 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.

IMPORTANT NOTE:

Bidder must ensure that none of the proposed individual team members have been involved in any stage of design or implementation of GCF's funded activity or readiness programme in the Latin America Region and Caribbean region whether directly with the Secretariat in any capacity or indirectly with any of accredited entities, delivery partners and other stakeholders for GCF specific work. The proposed team members should not be involved in any ongoing work with GCF Secretariat, accredited entities, delivery partners and other stakeholders in the region nor should they take up any such work in the duration of this contract. If the Firm has any current or past contracts with the Secretariat or any of the accredited entities or delivery partners in any role, they should demonstrate how they intend to safeguard the independence of the team proposed for this evaluation.



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

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: _



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<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 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.: 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 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 applicable²⁹, and the applicable taxes shall be specified.

The Financial Proposal must also summarize 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 authorized procurement officer will contact the Bidders that pass the qualifying technical score for the password to open the Financial Proposal. Bidders shall 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.

²⁹ (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,

Authorised Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

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



Form FIN-2: Summary of Costs

(1) Total Cost of Financial Proposal

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

¹Indicate the Remuneration and Other costs related to the assignment in line with Table 2 below.
Travel Costs shall not be included.

(2) Breakdown of Fees and Expenses 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>I. Remuneration Costs</i>				
Team Leader (Senior Consultant)	Work day			
Expert or Consultant	Work day			
Associate Expert or Consultant	Work day			
Other staff (if any)	Work day			
Sub-Total =				
<i>II. Other Costs related to the Assignment (to list below)</i>				
Sub-Total =				
TOTAL (Total Cost of Financial Proposal)				USD

(3) Breakdown of Fees and Expenses per Components below:

Travel Costs ³⁰	Unit of measure	Quantity		Total Cost
Air Tickets	Tickets			
Per Diem	Days			
Others (if any)				
TOTAL				USD

³⁰ The firm shall provide estimate the travel and mission costs based on the proposed methodological approach. The actual mission and travel costs shall be paid on a cost-reimbursable basis following the reimbursement rules that shall be agreed upon by both Parties when the contract is signed off. The mission costs shall include the cost of any translators and local consultants hired by the firm for this assignment. Please also note that the travel costs are not subject to the financial proposal assessment. The financial score will be given based on the proposed amount excluding the travel and mission costs.



Reimbursable Costs (Travel, accommodation, subsistence allowance, etc....)

All additional costs in addition to the quoted consultant daily fees as well as any anticipated cost overruns will have to be discussed with and approved in writing by GCF before incurring the expense.

a) Meals and accommodation for travels approved by GCF

The Firm may choose to either claim from GCF the costs of meals and accommodation reimbursed based on the presentation of the actual receipts documenting those costs or get them reimbursed as GCF Daily Subsistence Allowance (DSA) rates prevailing for the locations to which the travel took place.

If based on the actual receipts, the total reimbursable amount must not exceed the calculated total GCF DSA amount for the given location and duration of the travel.

b) Travel costs, including terminal costs, will be reimbursed based on the actual airfares on economy class, tickets, and receipts.

d) All other additional and approved by GCF costs will be reimbursed based on the presented relevant receipts.

e) Travel Costs will be paid after the conclusion of all the missions required for the assignment and upon submission of an invoice from the Firm.

(4) 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			
	TOTAL (Total Cost of Financial Proposal – Excluding Travel Cost)	100%	USD



Form FIN-3: Breakdown of Remuneration¹ or Price List for Experts

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

Name ²	Position ³ or Title	Daily Staff Rate ⁴

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 2023/040

A. Evaluation and Comparison of Proposals

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

B. Acceptance of Submissions

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:

- (1) A brief description, including ownership details, date and place of incorporation of the firm, objectives of the firm, partnerships, qualifications, certificates, etc.;
- (2) Full compliance with the formal requirements for submitting a proposal.
- (3) Submission of all requested documentation
- (4) 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:

- (1) A brief description of the organisational strengths and qualifications including demonstrated experience supported by references of similar assignments.
- (2) Details to demonstrate vast experience in working with relevant multilateral development funds and familiarity with their operations; and
- (3) Demonstration of the firm's deep understanding of the GCF, mandate/business model, and technical requirements.

C. Evaluation of Technical Proposal

Expertise

A qualified team should have the following attributes to undertake the LAC evaluation successfully:

- (a) Strong in-team expertise and experience in the region, including but not limited to evaluations related to indigenous peoples, the private sector, and gender.
- (b) Strong coordination skills within the team.
- (c) In-depth knowledge of the wider international development intervention in the Latin America and Caribbean region
- (d) Experience with mixed methods, in addition to pure qualitative and quantitative methods, process tracing, meta-analyses, and counterfactual methods.
- (e) In the context of evaluations, demonstrated experience and knowledge of evaluation data collection methods, such as focus-group discussions, semi-structured interviews, and synthesis tools, apart from quantitative capabilities.
- (f) Desirable qualifications include consideration of gender diversity, ability to work in multiple languages, ability to travel (if possible), and responsiveness.



- (g) Be able to commit that they will be able to produce a highly credible, well-written evaluation report in the budget and time requested. The evaluation report will be fully owned by and a product of the IEU.

The assessment of the Firm and its proposed project team will be based on the criteria below.

SN	DESCRIPCRITERIA	SUB-SCORE	SCORE
1	Technical/Experience of the Firm		20
	<p>Expertise and experience of the Firm in undertaking evaluations using qualitative and quantitative methods. Experience in building data collection research/evaluation protocols. Such expertise in the context of Latin America and the Caribbean, especially in the area of climate change is required. Experience in working with innovative financial instruments, indigenous peoples, and civil society engagement in the region is also considered valuable.</p> <p>The Firm shall have a minimum of 5 years' experience in conducting similar services. More points will be given if the Firm has more than 5 years of experience.</p>	10	
	Experience and expertise of the Firm in multi-country, portfolio and regional evaluations/reviews in a multilateral setting, with experience in Latin America and the Caribbean preferable.	10	
2	Methodology and Workplan		40
	The scope, magnitude, and challenges of the overall task are fully and well understood and are properly addressed in the technical proposal. The methodology and work plan correspond closely to the TOR with due emphasis on cross-cutting issues such as Gender and Indigenous peoples. Additional methods or proposals for additional analytical work will be favourably considered.	20	
	The technical proposal, tools, and work plan are well-defined and well-elaborated in a manner consistent with the objectives of the evaluation and the TORs. In addition to the task manager's oversight on the timeline and quality of the delivery of the evaluation, additional suggestions for meeting the timeline and quality expectations of evaluation are welcome.	20	
3	Personnel		40
	Strong, proven consultant team leader's capacity and experience 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. A minimum of 15 years of such substantive experience is required. This includes extensive evaluation experience, experience in producing solid evaluation reports and the capacity to engage in relevant evaluations in a multilateral setting, especially in Latin America and the Caribbean region.	20	
	Demonstrated ability to work with tight deadlines, and history of timely delivery of use-worthy, added value, strategic documents and evaluations. The proposals may elaborate on how the team leader and the personnel have undertaken evaluations in tight timelines in the past.	5	



SN	DESCRIPCRITERIA	SUB-SCORE	SCORE
	<p>Demonstrated appropriate team members and arrangements:</p> <p>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, and experience.</p> <p>Good mix of expertise on evaluating topics such as climate change, development, private sector understanding and indigenous peoples issues in the region. Experts from the region are encouraged.</p> <p>Good mix of staff with demonstrated ability of key staff to work and analyse 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, case studies and experience in leading focus groups.</p> <p>Good mix of different language skills and multilingual staff members, fluency in English and Spanish is mandatory.</p>	15	
	TOTAL		100

Technical proposals that score at least 75 points out of 100 will be considered 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 who 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 follows:

$Sf = 100 \times Fm / F$, 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 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.

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 the 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

(Submit as part of Technical Proposal)

Please respond to all questions.

1.1 Company Details - Vendor's Name

Name:

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)	



Bank Name:	
Bank Address:	
Account Holder:	
Account Number:	
IBAN:	
SWIFT:	

1.3 *Prior experience with international organisations*

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

1.4 *Environmental Policy*

<p>Does your company have a written statement of its environmental policy?</p> <p>YES (<input type="checkbox"/>) Please attach copy NO (<input type="checkbox"/>)</p>
--

1.5 *Contract disputes*

<p>List any disputes your company has been involved in over the last three years</p>

1.6 *References*

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

1.7 *Partners*

<p>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?</p>
1
2
3



1.8 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

1.9 Certification

I, the undersigned, confirm that the information provided in this annexe 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. **2023/040 for Consultancy Services for Independent Evaluation of the Relevance and Effectiveness of the GCF Investments in the Latin America and Caribbean dated 14 November 2023** and hereby confirm that we:

INTEND DO NOT INTEND

to submit a proposal to the Secretariat of the Green Climate Fund (GCF) by the deadline date of **Friday, 08 December 2023 @ 24.00 hours Korean Time.**

INTEND DO NOT INTEND

to send one (1) authorised representative³¹ to observe the public opening procedure on **Monday, 11 December 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 and copy to hngau@gcfund.org

***NOTE: Public opening procedure is held online via MS Teams based on the requests for attendance.**

³¹ 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	17 November 2023
2	Last day to send completed Acknowledgement Letter of RFP receipt	Bidder	30 November 2023
3	Last date for requests for clarifications of RFP	Bidder	1 December 2023
4	Last date for GCF to reply to questions received	GCF	5 December 2023
5	Date by which proposals must be received in South Korea by GCF (Closing Date)	Bidder	08 December 2023 @ 24.00 hours KST
6	Opening & Distribution of Technical Proposals	GCF	11 December 2023 @ 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.