



Date: 22 August 2016
Reference: RFP 2016/015

Request for proposals (RFP 2016/ 015)

Technical advisory services to GCF NDAs/focal points for their country programming and related processes

1. Background

- 1.1 The Green Climate Fund (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 Fund is governed and supervised by a Board and was designated as an operating entity of the financial mechanism of the United Nations Framework Convention on Climate Change (UNFCCC).
- 1.2 In order to support developing countries effectively access and deploy resources from the Green Climate Fund, the Fund has designed and operationalized a Readiness and Preparatory Support Programme (the Readiness Programme). The readiness and preparatory support is a strategic priority for the Fund to enhance country ownership and access during the early stages of its operationalization, and may help countries to meet the Fund's objectives.

2. Invitation

- 2.1 Through this request for proposals ("RFP"), the GCF is seeking to employ a qualified, reputable and experienced Firm or a Consortium of such Firms (hereinafter referred to as the 'Firm', either for an individual Firm or for a Consortium of Firms) to deliver advisory services and relevant associated reports as presented in this RFP. The terms of reference included in Annex I provides a framework for presenting the technical approach in the proposals submitted. However, the Firm or Consortium of Firms are also invited to propose alternative approaches to the approach included in Annex I.
- 2.2 Sealed Proposals must be submitted to the Secretariat no later than 16 September 2016 at 3.00 pm Korean time.
- 2.2 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
- 2.3 The terms set forth in this RFP, including all the annexes listed above, will form part of any contract, should the Secretariat accept your proposal. Any such contract will require compliance with all factual



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

- 2.4 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 proposers/firms.
- 2.5 Proposers may withdraw the proposal after submission provided that written notice of withdrawal is received by the GCF prior to the deadline prescribed for submission of proposals. No proposal may be modified subsequent to the deadline for submission of proposals. No proposal may be withdrawn in the interval between the deadline for submission of proposals and the expiration of the period of proposal validity.
- 2.6 All proposals shall remain valid and open for acceptance for a period of 90 calendar days after the date specified for receipt of proposals. A proposal valid for a shorter period may be rejected. In exceptional circumstances, the GCF may solicit the proposer's consent to an extension of the period of validity. The request and the responses thereto shall be made in writing.
- 2.7 Effective with the release of this solicitation, all communications must be directed only to Procurement Specialist by email at procurement@gcfund.org. Proposers must not communicate with any other personnel of the GCF regarding this RFP.
- 2.8 This RFP is issued under the GCF Administrative Procurement Guidelines¹. Information regarding the guidelines can be found at http://www.greenclimate.fund/documents/20182/24891/Administrative_Guidelines.pdf/b767d68e-f8b7-46d1-a18c-b6541f3dc010?version=1.0
- 2.9 The Guidelines apply for the interpretation of this procurement process.

3. Request for Clarification of RFP Documents

- 3.1 A prospective proposer requiring any clarification of the solicitation documents may notify the GCF in writing at the GCF mailing or to the email address procurement@gcfund.org by the specified date and time mentioned in Annex 6. The GCF will respond in writing to any request for clarification of the solicitation documents that it receives by the due date published on Annex 6. Written copies of the GCF response (including an explanation of the query but without identifying the source of inquiry) will be sent to all prospective proposers that have received the solicitation documents.
- 3.2 If the RFP has been advertised publicly, the results of any clarification exercise (including an explanation of the query but without identifying the source of inquiry) will be posted on the GCF website.

4. Amendments to RFP Documents

- 4.1 At any time prior to the deadline for submission of proposals, the GCF may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective proposer, modify the RFP documents by amendment. All prospective proposers that have received the RFP documents will be

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



notified in writing of all amendments to the RFP documents. For open competitions, all amendments will also be posted on the GCF website in the opportunities section, procurement.

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

5. Language of Proposals

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

6. Submission of Proposals

- 6.1 Proposers shall submit their proposal in hard copy. Technical and financial proposals must be submitted simultaneously in separate sealed envelopes with the RFP reference and the clear description of the proposal (technical or financial) by the date and time stipulated in Annex 6. The two envelopes must be sealed in an outer envelope with the RFP reference and title.
- 6.2 Proposals must be sent **ONLY** to the address detailed below. Proposals sent to other addresses or to individuals will put offerors' proposals at risk of being rejected. Proposals sent via email or fax **WILL NOT BE ACCEPTED**.
- 6.3 Submission in hard copy may be done by post, courier or hand delivered. Both inner envelopes should indicate the name and address of the proposer. The first inner envelope should contain the proposer's technical proposal with copies duly marked "original" and "copy". The second inner envelope should include the financial proposal duly identified as such. If the envelopes are not sealed and marked as instructed, the GCF assumes no responsibility for the misplacement or premature opening of the proposals submitted.
- 6.4 Technical proposals shall be submitted in one (1) original envelope, clearly marked as technical proposal with two (2) additional copies and one (1) soft copy in the form of a CD or USB flash drive.



Technical proposals (original, copies and soft copy) must be sealed in a specially marked envelope/package labelled:

RFP No (RFP/2016/015) – Technical advisory services to GCF NDAs/focal points for their country programming and related processes – TECHNICAL PROPOSAL- (name and address of proposer)

- 6.5 Financial proposals should be submitted in one (1) original envelope on the form prescribed herein. Financial proposals should be sealed separately in a specially marked envelope labelled:

DO NOT OPEN– RFP No (RFP/2016/ 015) – Technical advisory services to GCF NDAs/focal points for their country programming and related processes – FINANCIAL PROPOSAL- (name and address of proposer).

- 6.6 Proposers are strongly recommended to use recycled paper for all printed and photocopied documents related to the submission of this proposal and fulfilment of this contract and shall, whenever practicable, use both sides of the paper.

- 6.7 Hard copies must be delivered to:

Green Climate Fund
11 Floor, G-Tower, 175, Art Center-daero
Yeonsu-gu, Incheon 406-840
Republic of Korea

Attention: Procurement Specialist

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

7. Late proposals

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

8. Opening of Technical Proposals

- 8.1 Technical Proposals will be opened on the date indicated in Annex 6 in the room designated for this purpose at the premises of the Secretariat of the GCF. The purpose of this public opening is to record the names of proposers 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. Proposers submitting proposals are welcome to send one (1) representative, with proper authorization from their company, to observe the opening and recording of proposals received.

9. Opening of Financial Proposals

- 9.1 After the technical evaluation is completed, the GCF shall notify those Proposers whose Proposals did not meet the minimum qualifying technical score that their Financial Proposals will be returned unopened after completing the selection process and Contract signing. GCF shall simultaneously notify



in writing those Proposers that have achieved the minimum qualifying technical score and inform them of the date, time and location for the opening of the Financial Proposals.

- 9.2 At the opening, the names of the Proposers, and their overall technical scores shall be read aloud. The Financial Proposals shall be then opened, and the total prices read aloud and recorded.

10. Creation of Roster List of Service Providers

- 10.1 Proposers that have achieved the minimum qualifying technical score will be included in a Roster list of service providers. The GCF may consider to directly invite all proposers included in the Roster list to present proposals for future needs that fall under the Terms of Reference of this RFP. This Roster list will remain valid for a period of 24 months after the date of opening the Technical Proposals, as presented in Annex 6.

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

- 11.1 The GCF requires that all GCF staff, proposers/bidders, suppliers, service providers and any other person or entity involved in GCF-related activities observe the highest standard of ethics during the procurement and execution of all contracts. The GCF may reject any proposal put forward by proposers, 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

- 12.1 In their proposal, proposers 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.

13. Confidentiality

- 13.1 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

I. Scope and focus of the assignment

- 1.1 The Fund is seeking a qualified, reputable and experienced Firm (or Consortium, as described in item 2.1 of this RFP) to deliver the advisory services and reports presented in these Terms of Reference.

II. Activities to be undertaken by the Firm

- 2.1 Advisory services for National Designated Authorities or focal points (NDA/FPs) of Developing Countries.

Under the guidance of the Secretariat of the GCF, the Firm will advise the group of NDA/FPs of developing countries listed in Annex 13² as they undertake the activities presented below:

- (a) Preparing dynamic Country Programmes³ building on Intended Nationally Determined Contributions (INDCs), low-emission development strategies (LEDS), Nationally Appropriate Mitigation Actions (NAMAs), National Adaptation Plans (NAPs), National Adaptation Programmes of Action (NAPAs), National Communications, among others, as appropriate.
- (b) Setting up a country no-objection procedure, coordination mechanisms and multi-stakeholder engagement processes⁴.
- (c) Mobilizing the private sector and local sources of finance in the context of the Country Programme⁵.
- (d) Leveraging the network of entities accredited to the Fund (hereinafter the “Accredited Entities” or “AEs”) for the implementation of their Country Programmes.

The Firm shall note that the NDA/FPs of the developing countries listed in Annex 13 are undertaking the activities listed in (a) to (d) above. The advisory services requested under this RFP will consist of advising NDA/FPs in the delivery of these activities, including by providing them with tools, methods and associated training when required, and by fostering knowledge exchange.

The advisory services provided will take into consideration the best practices and guidelines provided by the GCF, and also draw on the Firm’s expertise and previous experience. Based on the lessons learned from countries, the Firm shall propose improvements to the GCF tools, best practices and guidelines, wherever applicable.

The Firm shall include in its proposal a detailed description of the services proposed, including a description of the tools and methodologies to be used to address the deliverables requested in these Terms of Reference.

² The GCF may modify this list of countries at any given time; modifications will be informed to proposers in a timely manner.

³ For additional information about Country Programmes, please refer to Annex 7, which presents the initial general guidelines for country programmes as determined by the GCF, and to Annex 8, which provides a template for the presentation of indicative country pipelines.

⁴ Please refer to the initial no objection procedure presented in Annex 9, and to the best-practice options for country coordination and multi-stakeholder engagement presented in Annex 10.

⁵ Annex 11 provides guidance on GCF investment policies, investment strategy and portfolio targets.



2.2 Work sessions and Site visits

The Firm will be required to prepare and deliver initial interactive work sessions with all country NDA/FPs according to the schedule of deliverables provided below. The purpose of the interactive working sessions and site visits is detailed in this schedule of deliverables.

The Firm must budget for up to 10 (ten) of these interactive sessions to take place on site, to allow for better communications with NDA/FPs in countries, based on demand from countries and determined by the GCF. On-site visits will be planned by the firm in consultation with the GCF taking into account the need and the availability of the NDA/FPs. It is expected that the teams assigned to country visits are fluent in an official language of the country, particularly when this language is English, French or Spanish.

The Firm must describe how it will ensure that NDA/FPs of countries that are not visited will receive the same quality of information and support provided to countries that receive an on-site visit. For these countries, the firm may consider partnering with local institutions to facilitate such interactive sessions.

Proposers may present alternative approaches that they consider appropriate to deliver the objectives given above, in lieu of or in addition to the site visits. Whenever alternative approaches are presented, they should be accompanied by explanations that allow the GCF to clearly evaluate their value add and pertinence.

2.3 Analytical Report and Compilation

The Firm will prepare drafts and a final version of an Analytical Report on country and entity programmes. The firm will also prepare a compilation of these documents in a form that is consistent and comparable across countries and entities. The Report will, as a minimum:

- (a) Present a thorough analysis of the information from country programmes, entity work programmes and related documents supplied to the Firm by the GCF;
- (b) A compilation of these documents in a form that is consistent and comparable across countries and entities;
- (c) A summary of lessons learned and best practices identified; and
- (d) A set of recommendations, emerging from the above-mentioned analysis, to improve GCF policies, strategies, tools and guidelines;

The Firm shall take into account that the Report, both drafts and the final version, will be periodically presented to the GCF Board at its meetings to inform the Board in its consideration of the GCF's overall programming.

III. Schedule of Deliverables

Deliverable	Expected Schedule	Expected engagement
Coordination and planning week (with GCF)	<p>Week 1</p> <p>The GCF and the Firm will organize a presentation and work session focusing on:</p> <ul style="list-style-type: none"> • The GCF's business model and programming approach, including country programmes. • The Firm's proposed approach to the assignment. 	<ul style="list-style-type: none"> • Meetings with the GCF, held either at the GCF Headquarters in Songdo (Republic of Korea), or through alternative video-conferencing methods suggested by the Firm.

	<p>The session will inform the Firm’s structuring and planning of the initial capacity building sessions with NDA/FPs.</p>	
<p>Initial NDA/FP capacity building sessions (including site visits as requested by the NDAs/focal points and approved by GCF)</p>	<p>Week 2 to Week 8</p> <p>The Firm must prepare and deliver initial interactive work sessions/site-visits with country NDA/FPs. These work sessions must, as a minimum:</p> <ul style="list-style-type: none"> • Train and increase NDA/FPs’ understanding about the objectives of the GCF and the solutions made available to them by the GCF. This will include at least: <ul style="list-style-type: none"> ○ capacity support for NDAs/FPs & direct access entities, ○ programming support for NDAs/FPs, ○ project preparation support for accredited entities, ○ project/programme funding, and ○ request for funding proposals issued by the GCF . • Train the NDA/FP on related tools, methods and best practices that may be considered. • Allow the Firm to understand specific needs and challenges of NDA/FPs related to their engagement with the GCF. • Allow the Firm to begin identifying lessons and best practices that may be considered to improve and update GCF tools and guidelines. 	<ul style="list-style-type: none"> • Preparation of the structure work sessions and site-visits • Work sessions and site visits to countries <p>Site visits: 5 person-days + travel time (per country)</p> <p>Other countries: 5 person-days</p> <ul style="list-style-type: none"> • Preparation and presentation of work-session/site-visit reports to the GCF. Reports should be prepared in English and translated to the official language of the visited country.
<p>Ongoing alignment and Advisory Services</p>	<p>Ongoing support: Oct/2016 – Mar/2018</p> <p>The Firm shall maintain an ongoing interaction with the GCF. This will allow the Firm to (i) receive required guidance from the GCF and to (ii) provide guidance and support that will enable the GCF to:</p> <ul style="list-style-type: none"> • Address NDA/FP requests related to the implementation and use of solutions presented by the Firm, including those presented during the work-sessions and site-visits. • Act on opportunities identified by the Firm to explore synergies and knowledge-sharing among NDA/FPs. • Continuously improve and update GCF tools and guidelines, including but not limited to tools and metrics that analyse how are country programmes aligned with countries’ formal climate action plans. 	<ul style="list-style-type: none"> • Ongoing support to the GCF: 26 person-days/month, for the duration of the contract as presented in these Terms of Reference

Analytical Report and Compilation	Week 3: Annotated outline The Firm must present an annotated outline of the structure of the Analytical Report that it will present to the GCF, including a draft of the minimum elements described in this RFP, where the information is available.	<ul style="list-style-type: none"> Write-up of Annotated Outline submitted electronically
	04/11/2016: 1st Compilation and Draft Analytical Report presenting preliminary analysis, lessons and recommendations.	<ul style="list-style-type: none"> 1st draft submitted electronically and presented to the Secretariat virtually
	31/01/2017: 2nd Draft Analytical Report presenting a complete analysis and compilation.	<ul style="list-style-type: none"> 2nd draft submitted electronically and presented to the Secretariat virtually (may include presentation to the GCF Board)
	31/07/2017: 3rd Draft Analytical Report presenting a revised complete analysis and compilation.	<ul style="list-style-type: none"> 3rd draft draft submitted electronically and presented to the Secretariat virtually (may include presentation to the GCF Board)
	15/02/2018: Final Analytical Report and Compilation	<ul style="list-style-type: none"> Final Report and Compilation draft submitted electronically and presented to the Secretariat virtually (may include presentation to the GCF Board)

IV. Confidentiality

All details of this assignment, candidates Firms, selection processes, discussions, interviews etc. must be kept entirely confidential. The Firms are expected to understand the sensitive nature of this assignment and act accordingly.

V. Duration of the consultancy

This consultancy is expected to take up to a maximum of 18 (eighteen) months starting from the date of signature of the contract by both parties, subject to adjustments as required.



Annex 2

Requirements for Firms' Proposals

Technical Proposal

The technical proposal will be submitted in a separately sealed envelope and will address all aspects of the Terms of Reference. The Technical Proposal shall have all the necessary details in response to the TOR and shall the consultants shall fill in the technical Forms (TECH Forms) which follow in this annex and which must be filled in accordingly.



TECH Forms

Form TECH-1: Technical Proposal Submission Form

[Location, Date]

To: [Name and address of Client]

Dear Sirs:

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

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

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

If negotiations are held during the period of validity of the Proposal, i.e., before the date indicated in Paragraph Reference 2.6 of the RFP, we undertake to negotiate on the basis of the proposed staff, methodology and approach. Our Proposal is binding upon us and subject to the modifications resulting from Contract negotiations.

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

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

We remain,

Yours sincerely,

Authorized Signature [In full and initials]: _____

Name and Title of Signatory: _____

Name of Firm: _____

Address: _____



Form TECH-2: Consultant's Organization and Experience

A - Consultant's Organization

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



B - Consultant's Experience

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

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

Firm's Name: _____



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

On the Terms of Reference

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



Form TECH-4: Description of Approach, Methodology and Work Plan for Performing the Assignment

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

- a) Technical Approach and Methodology,*
- b) Work Plan, and*
- c) Organization and Staffing,*

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 TOR and ability to translate them into a feasible working plan. A list of the final documents, including reports, drawings, and tables to be delivered as final output, should be included here. The work plan should be consistent with the Work Schedule of Form TECH-8.

c) Organization and Staffing. In this chapter you should propose the structure and composition of your team. You should list the main disciplines of the assignment, the key expert responsible, and proposed technical and support staff.]



GREEN
CLIMATE
FUND

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

1. **Proposed Position** *[only one candidate shall be nominated for each position]:* _____

2. **Name of Firm** *[Insert name of firm proposing the staff]:* _____

3. **Name of Staff** *[Insert full name]:* _____

4. **Date of Birth:** _____ **Nationality:** _____

5. **Education** *[Indicate college/university and other specialized education of staff member, giving names of institutions, degrees obtained, and dates of obtainment]:* _____

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

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

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

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

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

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

Employer: _____

Positions held: _____



GREEN
CLIMATE
FUND

<p>11. Detailed Tasks Assigned</p> <p><i>[List all tasks to be performed under this assignment]</i></p>	<p>12. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned</p> <p><i>[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.]</i></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>
--	--

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.

_____ Date: _____
[Signature of staff member or authorized representative of the staff] *Day/Month/Year*

Full name of authorized representative: _____



Form TECH-7: Staffing Schedule¹

	Name of Staff	Staff input (in the form of a bar chart) ²													Total staff-month input			
		1	2	3	4	5	6	7	8	9	10	11	12	n	Home	Field ³	Total	
Foreign																		
1		[Home]																
		[Field]																
2																		
3																		
n																		
													Subtotal					
Local																		
1		[Home]																
		[Field]																
2																		
n																		
													Subtotal					
													Total					

- For Professional Staff the input should be indicated individually; for Support Staff it should be indicated by category (e.g.: draftsmen, clerical staff, etc.).
- Months are counted from the start of the assignment. For each staff indicate separately staff input for home and field work.
- Field work means work carried out at a place other than the Consultant's home office.

 Full time input
 Part time input



Form TECH-8 Work Schedule

N°	Activity ¹	Weeks ²												
		1	2	3	4	5	6	7	8	9	10	11	12	n
1														
2														
3														
4														
5														
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.



Financial Proposal

The Proposer is required to prepare the Financial Proposal in an envelope separately sealed from the Technical Proposal and included inside the outer envelope containing the RFP proposal.

The Financial Proposal must provide a detailed cost breakdown and a payment schedule preferably linked to the schedule of deliverables presented in Annex 1. Provide separate figures for each functional grouping or category including fees and cost-reimbursable expenses. The Financial Section shall provide details of unit /daily fee rate per proposed team member and total consultancy fees based on the time proposed for performance of the services. Any estimates for cost-reimbursable expenses, should be listed separately and capped.

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



FIN Forms

Form FIN-1: Financial Proposal Submission Form

[Location, Date]

To: [Name and address of Client]

Dear Sirs:

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]. This amount is exclusive of the local taxes.

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal, i.e. before the date indicated in Paragraph 2.6 of this RFP.

Commissions and gratuities paid or to be paid by us to agents relating to this Proposal and Contract execution, if we are awarded the Contract, are listed below²:

Name and Address of Agents	Amount and Currency	Purpose of Commission or Gratuity
_____	_____	_____
_____	_____	_____
_____	_____	_____

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

We remain,

Yours sincerely,

Authorized Signature [In full and initials]: _____

Name and Title of Signatory: _____

Name of Firm: _____

Address: _____

1 Amounts must coincide with the ones indicated under Total Cost of Financial proposal in Form FIN-2.
2 If applicable, replace this paragraph with: "No commissions or gratuities have been or are to paid by us to agents relating to this Proposal and Contract execution."



GREEN
CLIMATE
FUND

Form FIN-2: Summary of Costs

<i>Item</i>	<i>Costs</i>
	<i>Indicate with Currency</i>
Total Costs of Financial Proposal ¹	

1 Indicate the total costs, net of local taxes, to be paid by the Client in each currency.



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

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

Name	Position ³	Staff-daily Rate
Foreign Staff		
		[Home]
		[Field]

- 1 Form FIN-4 shall be filled in for the same Professional and Support Staff listed in Form TECH-7.
- 2 Professional Staff should be indicated individually; Support Staff should be indicated per category (e.g.: draftsmen, clerical staff).
- 3 Positions of the Professional Staff shall coincide with the ones indicated in Form TECH-5.
- 4 Indicate separately staff-month rate and currency for home and field work.

Annex 3 Evaluation Criteria

A. Evaluation and Comparison of Proposals

2. The proposals will be evaluated in a three stage procedure, with evaluation of the technical proposal being completed prior to any financial proposal being opened and evaluated. The financial proposal will be considered only for submissions that fulfil the minimum technical requirements.

B. Acceptance of Submissions

3. 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:
 - Full compliance with the formal requirements for submitting a proposal;
 - Submission of all requested documentation
4. The Technical Proposal shall include information to demonstrate the current soundness of the firm's financial position of the submitting organization:
 - Organizational: a brief description, including ownership details, date and place of incorporation of the firm, objectives of the firm, partnerships, qualifications and certificates, etc.
 - Statement of Satisfactory Performance of similar services from the firm's Top 3 (three) Clients in terms of Contract Value in the past 3 (three) years.
 - Environmental responsibility in place. To show this a copy of the environmental policy will be attached to the proposal.
 - Listing of proposed personnel, experience and qualifications.
 - Comments on the TOR and how the firm will address the requirement.

C. Evaluation of Technical Proposal

5. A reviewing committee shall be established to evaluate each technical proposal. The committee will comprise of evaluation and technical specialists. The technical proposal is evaluated individually on the basis of its responsiveness to the technical requirements and will be assessed and scored according to the evaluation criteria listed below.
 - Understanding of the assignment and quality of proposed approach **(30 points)**.
 - Familiarity with the Green Climate Fund readiness activities as well as the UNFCCC processes **(5 points)**.
 - Proven experience delivering similar services in the countries listed in Annex 13. It is expected that this experience will include programme evaluation and improvement, capacity development, quality assurance, training workshops, reporting and monitoring **(15 points)**.
 - Proven expertise in the subject of climate change and in providing advisory services in such areas as country climate change programming (e.g. INDCs, NAMAs, NAPs, NAPAs, LEDs) and related project development, regulatory and economic and financial analysis. **(10 points)**



**GREEN
CLIMATE
FUND**

- **Staffing (30 points):**
Proposers must present a list of proposed consultants and staff, including their CVs, and areas of expertise they will oversee under the proposal.

As a minimum, the Firm must assign a team composed of one Team Leader and of Senior Consultants and Consultants. The Team Leader will be the focal point for communications between the GCF and the Firm. It is recommended that Senior Consultants and Consultants be assigned to deliver the activities requested in this RFP, based on their experience with the countries and/or regions involved.

Where other dedicated teams are identified, the Firm must present team composition and the description of the different roles and functions, identifying the team leader(s).

Expected qualifications of the team assigned:

- (a) **Lead Consultant / Team Leader:**
 - At least a Master's degree or its equivalent in economics, sciences, public policy, or related disciplines;
 - At least 10 years of experience working on climate change mitigation or adaptation;
 - Familiarity with the GCF and UNFCCC processes;
 - Good knowledge of international, regional and national landscapes on climate change in developing countries;
 - Excellent written and verbal communication skills in English.
- (b) **Senior Consultants:**
 - At least a Master's degree or its equivalent in economics, sciences, public policy, or related disciplines;
 - At least 5 years of experience working on climate change mitigation or adaptation;
 - Familiarity with the GCF and UNFCCC processes;
 - Good knowledge of the regional and national landscape on climate change in developing countries s/he is assigned to work with;
 - Excellent written and verbal communication skills in English.
- (c) **Consultants:**
 - Degree in economics, sciences, public policy, or related disciplines;
 - At least 3 years of experience working on climate change mitigation or adaptation;
 - Good knowledge of the regional or national landscape on climate change in developing countries s/he is assigned to work with;
 - Excellent written and verbal communication skills in English.
- **Local partnerships (10 points):**
It is encouraged that Proposers partner with local organizations that possess technical and advisory capacity to contribute significantly to the development of the services required in these TOR. When such partnerships are proposed, the following general information shall be provided about the local partner organizations:
 - **Organizational:** a brief description, including ownership details, date and place of incorporation of the firm, objectives of the firm, partnerships, qualifications and certificates, etc.
 - **Statement of Satisfactory Performance** of similar services from the firm's top clients in terms of contract value in the past 3 (three) years.
 - **Environmental responsibility** in place, with a copy of the environmental policy.



- Listing of proposed personnel, experience and qualifications.

	Evaluation Criteria (for Technical Proposal)	Max. Sub-score	Score
1	Quality of Proposed Work Plan and Approach	-	/30
1.1	To what degree does the proposer understand the tasks requested in these TOR? Is the scope of tasks well defined and does it correspond to the TOR?	9	
1.2	Have the important aspects of the tasks been addressed in sufficient detail?	9	
1.3	Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation of the project?	12	
2	Familiarity with GCF and UNFCCC processes		/5
2.1	Professional experience of the Proposer with GCF-related processes	3	
2.2	Professional experience of the Proposer with UNFCCC-related processes	2	
3	Experience delivering similar services in participating countries	-	/15
3.1	Have the experiences of the proposer in each country been presented in sufficient detail?	5	
3.2	Are these experiences similar to the services requested in the TOR?	10	
4	Expertise in the subject of climate change and advisory services	-	/10
4.1	Proven track record of successfully delivering similar services	5	
4.2	Proven experience working with international public, private and multilateral organizations, particularly in the context of sustainable development, climate finance and international development assistance	5	
5	Assigned Teams	-	/30
5.1	Suitability of the proposed team structure for the Project	8	/8
5.2	Lead Consultant / Team Leader	-	/9
	Years of experience in general	3	
	Professional Experience relevant to the mission	3	
	Other professional qualifications as specified in this annex	3	
5.3	Senior Consultants	-	/8
	Years of experience in general	3	
	Professional Experience relevant to the mission	3	
	Other professional qualifications as specified in this annex	2	
5.4	Junior Consultants	-	/5
	Professional Experience relevant to the mission	3	
	Other professional qualifications as specified in this annex	2	
6	Local partnerships		/10
	Is the presentation of the local partner and of their role and responsibilities in the planned implementation of tasks clear?	3	
	Is the role expected from the local partner logical and realistic, and will it contribute significantly for the efficient implementation of the project?	7	
	Total	-	/100

Technical proposals that score at least 75 points out of 100 will be considered as qualified for the review of financial proposal and for the roster list of service providers as described in item 10 of this RFP. Any proposal scoring 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.



**GREEN
CLIMATE
FUND**

D. Evaluation of Financial Proposal

6. The financial proposal of all proposers which have attained the minimum score in the technical evaluation will be evaluated subsequently.
7. The lowest evaluated Financial Proposal (F_m) is given the maximum financial score (S_f) of 100. The formula for determining the financial scores (S_f) 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

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

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

Proposals will be ranked according to their combined technical (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 firm achieving the highest combined technical and financial score will be invited for contract negotiations.

F. Award

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



**Annex 4
Company Profile Form**

Please respond to all questions.

Company details - vendor's name

Name:

General Information

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



GREEN
CLIMATE
FUND

Name: _____

Title: _____

Signature: _____

Date: _____



**Annex 5
Acknowledgment Letter**

Dear Sir/Madam,

We, the undersigned, acknowledge receipt of your Request for Proposal (RFP) No. 2016/015 dated 12 August 2016, 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 16 September 2016, and that we:

INTEND DO NOT INTEND

to send one (1) authorized representative to observe the public opening procedure on 19 September 2016, 15:00 Hrs.

We acknowledge that this RFP is confidential and proprietary to the secretariat, and contains privileged information. Upon request, we will return this RFP or any part thereof, and all copies thereof, to the secretariat.

Name of Authorized Representative: _____

Signature: _____

Title: _____

Name and Address of Vendor: _____

Telephone: _____

Facsimile: _____

If you do not intend to submit a proposal to the secretariat, 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

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

**Annex 6
Timeline**

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

	Event	Responsible Party	Date (and time, KST*)
1	Posting of RFP	GCF	19 August 2016; 19.00 Hrs
2	Last day to send completed Acknowledgement Letter of RFP receipt	Tenderer	31 August 2016
3	Last date for requests for clarification of the RFP	Tenderer	5 September 2016
4	Last date to reply to questions received/ Last date for amendment	GCF	7 September 2016
5	Date by which proposal must be received in Korea by GCF	Tenderer	16 September 2016; 15:00 Hrs
6	Date of opening of Technical Proposals	GCF	19 September 2016
7	Notice of successful provider	GCF	31 September 2016
8	Contract signing	GCF/Tenderer	5 October 2016
9	Work start	Tenderer	As specified in the contract.

* KST: Korean Standard Time (Seoul Time)

Annex 7

Initial general guidelines for country programmes (Annex XVII to GCF/B.08/36)

The development of country programmes will engage stakeholders including governments, sub-national institutions, civil society, and the private sector. The process will be led by the National Designated Authority (NDA) or focal point, taking a gender-sensitive approach. The country programme may include some of the following elements:

1. Development and climate context including:
 - (a) Existing climate change-related strategies, policies, Nationally Appropriate Mitigation Actions, National Adaptation Plans, Technology Needs Assessments and National Adaptation Programmes of Action;
 - (b) Key data on climate change, referencing national communications, biennial update reports, and other relevant sources of information; and
 - (c) National development strategies, economic trajectories, macro-economic circumstances and poverty reduction strategies.
2. Roles and contributions of key stakeholders including:
 - (a) Public Institutions at national and sub-national levels;
 - (b) Financial institutions;
 - (c) Potential sub-national, national, regional and implementing entities and intermediaries;
 - (d) Private sector, including micro, small and medium enterprises;
 - (e) Civil society and community-based organisations;
 - (f) Intended beneficiaries of funded activities; and
 - (g) International actors.
3. Programming priorities including:
 - (a) Priority areas in mitigation;
 - (b) Priority areas in adaptation;
 - (c) Integrated approach;
 - (d) Financing Needs; and
 - (e) Timeline.
4. Alignment with the Fund's objectives
5. Complementarity with existing readiness
6. Monitoring and Evaluation

Annex 8 Indicative Country Pipeline Template

Guidelines

The exercises below seek to identify the country's priority projects for the GCF pipeline in both the near term and the long term, in line with national priorities in the climate field and with GCF's investment criteria, in order to enable the development of a full country programme. The country programme is intended to guide further structured dialogues with Accredited Entities, the Secretariat and other stakeholders in order to ensure progress towards full country owned project/programme development. For the near term present the projects/programmes (next 12 months) which have reached a certain maturity in terms of concept development, Entity engagement and designing implementation arrangements. For the long term projects (after 12 months) fill in the information that is currently available and where there are identified gaps use the Action Plan/Next Steps section to outline how they can best be addressed.

Section A – Initial thoughts

What role do you envisage for the GCF in supporting your country's national climate plans, such as submitted INDCs, mitigation and adaptation plans, NAMAs, NAPAs, NAPs, and in driving forward a paradigm shift in the climate sector? (Please limit description to 150 words)

Section B – Country Programming and pipeline development – Near Term

Please use this section to capture project/programme concepts (in the format provided) which you are prioritizing for the GCF pipeline within the next 12 months. Refer to how the projects/programmes are in line with country priorities, what Accredited Entities are involved and at which stage, making sure that sufficient information is gathered to be the basis for further discussions with all stakeholders to progress towards full country owned project/programme development. Provide at least one example.

Near Term Projects			
Title	Project 1:		
Brief description of project/programme <i>(Please limit description to 100 words if possible)</i>	<i>Refer to how the project links to national policies, its main objectives and mention whether it is a pilot project or scaling up of previous initiatives.</i>		
Accredited Entity <i>What is the identified Entity for this project/programme?</i>			
Results Areas Which of the following targeted results areas does the proposed project/programme address? <i>(click all that apply)</i>	<table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <u>Reduced emissions from:</u> <input type="checkbox"/> Energy access and power generation <input type="checkbox"/> Low emission transport <input type="checkbox"/> Buildings, cities, industries and appliances <input type="checkbox"/> Forestry and land use </td> <td style="width: 50%; vertical-align: top;"> <u>Increased resilience of:</u> <input type="checkbox"/> Most vulnerable people and communities <input type="checkbox"/> Health & well-being, & food and water security <input type="checkbox"/> Infrastructure and built environment <input type="checkbox"/> Ecosystems and ecosystem services </td> </tr> </table>	<u>Reduced emissions from:</u> <input type="checkbox"/> Energy access and power generation <input type="checkbox"/> Low emission transport <input type="checkbox"/> Buildings, cities, industries and appliances <input type="checkbox"/> Forestry and land use	<u>Increased resilience of:</u> <input type="checkbox"/> Most vulnerable people and communities <input type="checkbox"/> Health & well-being, & food and water security <input type="checkbox"/> Infrastructure and built environment <input type="checkbox"/> Ecosystems and ecosystem services
<u>Reduced emissions from:</u> <input type="checkbox"/> Energy access and power generation <input type="checkbox"/> Low emission transport <input type="checkbox"/> Buildings, cities, industries and appliances <input type="checkbox"/> Forestry and land use	<u>Increased resilience of:</u> <input type="checkbox"/> Most vulnerable people and communities <input type="checkbox"/> Health & well-being, & food and water security <input type="checkbox"/> Infrastructure and built environment <input type="checkbox"/> Ecosystems and ecosystem services		
GCF involvement	<i>Why should the GCF support this project? Refer to how it is country owned, what its envisaged climate impact is and how this can generate a paradigm shift in the country.</i>		
Timeframe <i>(What is the expected date for submission to GCF)</i>			
Implementation arrangement	<i>Which institutions or executing partners would manage and deliver the project?</i>		
Financial arrangements			
	Amount		
i. GCF Financing	Financial instrument (grant, loan etc.)		
ii. Co-financing from AE			
iii. Other institutions			
Total project financing/cost			
Project Development Status			
Concept note / Funding Proposal	CN <input type="checkbox"/> FP <input type="checkbox"/> In process <input type="checkbox"/>		
Feasibility Studies	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>		
Logical Framework	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>		



Procurement Plan	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>		
Environmental and Social Impact Assessment	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>		
Gender Assessment and analysis	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>		
Risk Assessment	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>		
Stakeholder Consultation	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>		
Action Plan / Next steps <i>Please provide 2-3 bullet points on the identified next steps. Clearly outline support needed for project development from GCF and other stakeholders</i>	Action	Designated actors	Timeframe
Other comments <i>Provide any other relevant information regarding the project/programme</i>			

Near Term Projects				
Title	Project 2:			
Brief description of project/programme <i>(Please limit description to 100 words if possible)</i>	<i>Refer to how the project links to national policies, its main objectives and mention whether it is a pilot project or scaling up of previous initiatives.</i>			
Accredited Entity <i>What is the identified Entity for this project/programme?</i>				
Results Areas Which of the following targeted results areas does the proposed project/programme address? <i>(click all that apply)</i>	<u>Reduced emissions from:</u> <input type="checkbox"/> Energy access and power generation <input type="checkbox"/> Low emission transport <input type="checkbox"/> Buildings, cities, industries and appliances <input type="checkbox"/> Forestry and land use		<u>Increased resilience of:</u> <input type="checkbox"/> Most vulnerable people and communities <input type="checkbox"/> Health & well-being, & food and water security <input type="checkbox"/> Infrastructure and built environment <input type="checkbox"/> Ecosystems and ecosystem services	
GCF involvement	<i>Why should the GCF support this project? Refer to how it is country owned, what its envisaged climate impact is and how this can generate a paradigm shift in the country.</i>			
Timeframe <i>(What is the expected date for submission to GCF)</i>				
Implementation arrangement	<i>Which institutions or executing partners would manage and deliver the project?</i>			
Financial arrangements	Amount	Financial instrument (grant, loan etc.)	Amount	Financial instrument (grant, loan, etc.)
i. GCF Financing				
ii. Co-financing from AE				
iii. Other institutions				
Total project financing/cost				
Project Development Status				
Concept note / Funding Proposal	CN <input type="checkbox"/> FP <input type="checkbox"/> In process <input type="checkbox"/>			
Feasibility Studies	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>			
Logical Framework	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>			
Procurement Plan	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>			
Environmental and Social Impact Assessment	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>			
Gender Assessment and analysis	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>			



**GREEN
CLIMATE
FUND**

Risk Assessment	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>		
Stakeholder Consultation	YES <input type="checkbox"/> NO <input type="checkbox"/> In process <input type="checkbox"/>		
Action Plan / Next steps <i>Please provide 2-3 bullet points on the identified next steps. Clearly outline support needed for project development from GCF and other stakeholders</i>	Action	Designated actors	Timeframe
Other comments <i>Provide any other relevant information regarding the project/programme</i>			

Section C – Country Programming and pipeline development – Longer Term

Please use this table to present a short introduction to the main projects/programmes you currently include in your pipeline for GCF funding in the longer term (i.e. after 12 months).



Annex 9

Initial no-objection procedure

Purpose

1. The purpose of the no-objection procedure is to ensure consistency with national climate strategies and plans and country-driven approaches, and to provide for effective direct and indirect public and private sector financing by the Fund. A no-objection is a condition for approval of all funding proposals submitted to the Fund.
2. The no-objection should be provided to the Secretariat in conjunction with any submission of a funding proposal seeking Fund funding.
3. In the case of applications for accreditation by sub-national, national and regional implementing entities and intermediaries, the national designated authority (NDA) or focal point will facilitate the communication of applications of implementing entities and intermediaries for accreditation to the Fund.

Communication of no-objection to funding proposals

4. Before communicating its no-objection, each country will decide on its own nationally appropriate process for ascertaining no-objection to funding proposals according to the country's capacities and existing processes and institutions.
5. To enhance transparency and consistency with paragraph 46 of the Governing Instrument, each proposal by an intermediary or implementing entity will provide a full description of how the country ownership was conducted and, if not satisfactory, the Board may reject it.
6. The NDA or focal point will communicate its no-objection to the Secretariat in conjunction with every submission for approval of a funding proposal by an intermediary or implementing entity. The no-objection letter will be signed by the official representative of the NDA or focal point registered with the Secretariat.
7. The Secretariat will formally acknowledge the receipt of the no-objection letter to the NDA or focal point and respective implementing entity or intermediary.
8. In cases of submissions of proposals for funding that are not accompanied by a no-objection letter, the Secretariat will inform the NDA or focal point that the funding proposal will not be processed for Board consideration unless the NDA or focal point provides its no-objection. The NDA or focal point shall provide its no-objection within 30 days after receiving this information. After the passage of 30 days, the proposal will be suspended and the Secretariat will notify the IE/intermediary.
9. Communication of no-objection by the NDA or focal point in line with the provisions of this procedure will imply that:
 - (a) The government has no-objection to the funding proposal;
 - (b) The submitted funding proposal is in conformity with the country's national priorities, strategies and plans, and that consistency was pursued; and
 - (c) The submitted funding proposal is in conformity with relevant national laws and regulations, in accordance with the Fund's environmental and social safeguards.



10. In order to enhance transparency, all no-objection communications will be made publicly available on the Fund's website. National designated authorities and focal points are also encouraged to make publicly available their communications of no-objection shortly after being issued, where possible and as applicable.

11. In the case of funding proposals relating to a programme, the no-objection will apply to all projects or activities to be implemented within the approved framework.

Dissemination of the no-objection procedure

12. National designated authorities and focal points are encouraged to disseminate this procedure in their countries as appropriate and through their own websites and communication channels, especially in local languages.

Review of the no-objection procedure

13. This no-objection procedure may be revised on the basis of evolving needs and experience gained in its implementation.



Annex 10

Initial best-practice options for country coordination and multi-stakeholder engagement

1. The Fund will have a broad scope, funding both mitigation and adaptation activities through multiple access modalities, including through the private sector and other innovative financial instruments. Consequently, on an operational level, it will involve various sectors at multiple levels of governance.
2. It is recommended that countries consider the following criteria for conducting country coordination and multi-stakeholder engagement at the level of national priorities and strategies, or in the development of funding proposals, as appropriate.

Country strategic framework

3. National climate change strategies, plans and priorities will be the strategic framework provided in a country's country programme, and would therefore be a basis for the preparation and implementation of funding proposals. Recipient countries may therefore define their strategic framework on the basis of existing national climate change plans and strategies, including nationally appropriate mitigation actions (NAMAs), national adaptation plans (NAPs) and national adaptation programmes of action (NAPAs), or choose to develop a Fund-specific strategic framework drawing on existing relevant national plans and strategies. The Fund may provide assistance for the identification of these national strategic frameworks in the context of the Fund's work programme on readiness and preparatory support.
4. In order to ensure systematization of country coordination and multi-stakeholder engagement, countries could be encouraged to design a consultative process through which national climate change priorities and strategies can be defined.
5. A consultative process should aim to be an ongoing process rather than a discrete activity only occurring once without the possibility of follow up, continuous update and regular assessment of progress.
6. These consultative processes should be inclusive and seek to engage all relevant actors within the government, the private sector, academia, civil society and other relevant stakeholder groups or sectors.
7. Criteria and options for country coordination through consultative processes may include:
 - (a) Use of existing regular country meetings or national planning/dialogue exercises, including in the context of other sources of funding for climate change activities, the sharing of lessons learned and collection of inputs and views;
 - (b) Establishment, when possible and national circumstances allow, of a dedicated country coordination mechanism for the country's identification of its strategic framework in the context of the Fund;
 - (c) Integration into other relevant national consultations processes or programming exercises that may enable synergies and the exchange of complementary information; and
 - (d) Building on the country's prior experience in coordinating cross-sectoral initiatives and investments and engaging with other sources of finance.

Development of funding proposals



8. Country coordination and multi-stakeholder engagement are critical for the effective preparation of funding proposals, as well as ongoing monitoring and evaluation after approval. This process should be well aligned with relevant provisions of the Fund's environmental and social safeguards, which require, among other things, that all projects/programmes will be designed and implemented to be consistent with the Fund's requirements for stakeholder engagement and disclosure.
9. The Fund's environmental and social safeguards also require that funding proposals for projects/programmes will also need to have an environmental and social management system (ESMS) that establishes a process of stakeholder engagement and disclosure.
10. Guidance in the application and use of the Fund's environmental and social safeguards, which includes the matters mentioned above, will be made available in the context of the guiding framework for the Fund's accreditation process.
11. Country coordination mechanisms are also important in supporting the ongoing monitoring and evaluation of the Fund's projects and programmes, thus allowing for a process for evaluation at various stages of the project cycle.
12. Through collaboration with intermediaries and implementing entities, country coordination and multi-stakeholder engagement processes may facilitate forums, meetings, or workshops to review progress against results frameworks, discuss best practices and challenges, identify opportunities for enhancing coherence, and integrate lessons learned into relevant plans and priorities



Annex 11

Initial investment framework (Annex XIV to GCF.B.07/11)

1. The Fund's initial investment framework consists of the following components:
 - (a) Investment policies;
 - (b) Investment strategy and portfolio targets; and
 - (c) Investment guidelines.

Investment policies

2. The Fund's initial set of investment policies covers all grants, concessional loans and other financial instruments extended by the Fund. They are as follows:
 - (a) The Fund will finance projects and programmes that demonstrate the maximum potential for a paradigm shift towards low-carbon and climate-resilient sustainable development, in accordance with the Fund's initial results management framework, its initial result areas, as laid out in decision B.05/03, and subsequent decisions on additional result areas for adaptation, and consistent with a country-driven approach;
 - (b) Funding received and extended by the Fund will be accounted for in grant-equivalent terms based on a standard methodology, to be developed by the Fund based on best international practices to provide an accurate comparison of funding amounts between financial instruments;
 - (c) The Fund will provide the minimum concessional funding (i.e. a grant-equivalent subsidy element) necessary to make a project or programme viable. Concessional funding is understood as funding with below-market terms and conditions. Consistent with the Governing Instrument, the minimum amount of concessional funding needed can be up to and including the full cost of the project or programme;⁶
 - (d) Financing provided by the Fund to intermediaries may be used by the latter to blend with their own financial resources in order to increase the level of concessionality of the financing they extend to projects and programmes;
 - (e) The Fund will not "crowd out" potential financing from other public and private sources; and
 - (f) Only revenue-generating activities that are intrinsically sound from a financial point of view will be supported through loans by the Fund.

Investment strategy and portfolio targets

3. The Fund's investment strategy includes portfolio targets and investment guidelines. Table 1 and table 2 represent the initial decisions. The strategy will be further developed from the initial parameters and guidelines for allocation of resources as laid out in decision B.06/06 and the initial result areas as defined in decision B.05/03 and subsequent decisions on additional result areas for adaptation.

⁶ Governing Instrument, paragraph 35.



Table 1: Initial portfolio targets

Initial allocation parameters	Initial portfolio targets
Balance between mitigation and adaptation	50/50 (over time)
Adaptation allocation for vulnerable countries (including the least developed countries (LDCs), small island developing States (SIDS) and African States)	Floor of fifty per cent of adaptation allocation
Geographic balance	Reasonable and fair allocation across a broad range of countries
Engagement with the private sector	Maximize fund-wide engagement with the private sector, including through significant allocation to the PSF
Readiness and preparatory support	Sufficient support for readiness and preparatory activities associated with the above

Investment guidelines

4. The Fund’s initial investment guidelines will be activity-based and will be composed of the 6 criteria and 24 coverage areas shown in table 2:

Table 2: Initial criteria for assessing programme/project proposals

Criterion	Definition	Coverage area
Impact potential	Potential of the programme/project to contribute to the achievement of the Fund’s objectives and result areas	<ul style="list-style-type: none"> • Mitigation impact • Adaptation impact
Paradigm shift potential	Degree to which the proposed activity can catalyse impact beyond a one-off project or programme investment	<ul style="list-style-type: none"> • Potential for scaling-up and replication and its overall contribution to global low-carbon development pathways, consistent with a temperature increase of less than 2 degrees • Potential for knowledge and learning • Contribution to the creation of an enabling environment • Contribution to the regulatory framework and policies • Overall contribution to climate-resilient development pathways consistent with a country’s climate change adaptation strategies and plans
Sustainable development potential	Wider benefits and priorities	<ul style="list-style-type: none"> • Environmental co-benefits • Social co-benefits • Economic co-benefits • Gender-sensitive development impact
Needs of the recipient	Vulnerability and financing needs of the beneficiary country and population	<ul style="list-style-type: none"> • Vulnerability of the country • Vulnerable groups and gender aspects

Criterion	Definition	Coverage area
		<ul style="list-style-type: none"> • Economic and social development level of the country and the affected population • Absence of alternative sources of financing • Need for strengthening institutions and implementation capacity
Country ownership	Beneficiary country ownership of and capacity to implement a funded project or programme (policies, climate strategies and institutions)	<ul style="list-style-type: none"> • Existence of a national climate strategy • Coherence with existing policies • Capacity of implementing entities, intermediaries or executing entities to deliver • Engagement with civil society organizations and other relevant stakeholders
Efficiency and effectiveness	Economic and, if appropriate, financial soundness of the programme/project	<ul style="list-style-type: none"> • Cost-effectiveness and efficiency regarding financial and non-financial aspects • Amount of co-financing • Programme/project financial viability and other financial indicators • Industry best practices

Annex 13 Participating Countries

List of participating countries and addition indicative information⁷.

	Country (delivery partner)	Selected Outputs	Expected Date of Conclusion
1	Antigua and Barbuda (Ministry of Health and Environment)	<ul style="list-style-type: none"> • Internal processes for project management, reporting and participatory project identification improved. • Knowledge management, communication and public awareness improved. • Country programme developed. 	May 2017
2	Bolivia (Ministry of Development Planning)	<ul style="list-style-type: none"> • Strengthening of the NDA capacity on knowledge management, procedures and systems regarding GCF operations. • Country Programme prepared. 	October 2017
3	Chile	<ul style="list-style-type: none"> • Develop a National Action Plan of Climate Change with different mitigation/adaptation measures for the short and long terms based on the national plans and other national bodies (involving stakeholders such as other ministries, public agencies, civil society, academia and the private sector). • Organize inter-ministerial coordination processes for GCF related activities. 	August 2017
4	Cook Islands (Ministry of Finance and Economic Management)	<ul style="list-style-type: none"> • Online materials on the nomination of direct access entities and a no-objection procedure developed. • Assessment of the country's priorities in line with the principles of the GCF, identified through stakeholder consultations 	March 2017
5	Democratic Republic of Congo (Centre de Suivi Ecologique)	<ul style="list-style-type: none"> • Coordination process among stakeholders improved. • Country programme prepared. 	April 2018
6	Djibouti (Centre de Suivi Ecologique)	<ul style="list-style-type: none"> • Country programme developed. • Stakeholder engagement processes developed. 	February 2017
7	El Salvador (Ministry for Development Cooperation)	<ul style="list-style-type: none"> • Country programme developed and endorsed by country coordination mechanism. • NDA-led stakeholder engagement process undertaken. • A no-objection procedure developed. 	August 2017
8	Ethiopia (Ministry of Finance and Economic Cooperation)	<ul style="list-style-type: none"> • Coordination process among stakeholders established. • Training provided to NDA on the operations of the GCF. • Communication plan prepared. • Country programme prepared. 	December 2017

⁷ The information presented in this table about the 21 listed countries is indicative and should not be construed as exhaustive. For detailed and updated information, proposers are invited to read the approved proposals, inception reports and grant agreements of each country available on the GCF website: <http://www.greenclimate.fund/partners/countries/fine-print>.

9	Gabon (CDC Gabon)	<ul style="list-style-type: none"> • Identification and effective involvement of stakeholders in an established process of consultation. • Construction of effective circuit for climate finance, including national institutions and support of international entities if needed. • Established conditions for the generation of a flow of projects, including detection of some pilot projects. 	September 2017
10	Guyana (Caribbean Community Climate Change Centre)	<ul style="list-style-type: none"> • Nationally appropriate process for ascertaining no-objections to funding proposals defined and elaborated. • Country Strategic Framework to the GCF developed and elaborated. 	August 2017
11	Kenya (Kenya National Treasury)	<ul style="list-style-type: none"> • Processes established to support timely communication of no objection letters to the GCF; • Strong stakeholder engagement including the private sector and CSOs. • Established processes that can support a well-coordinated implementation of GCF funded projects, programs and activities. 	December 2017
12	Mauritius (Ministry of Finance and Economic Development)	<ul style="list-style-type: none"> • An assessment report of the capacity, capabilities and needs of the NDA. • A National Awareness raising programme. • A Country Programme including programme/project concepts and in-country mechanism for submission of funding proposals inter alia; • Recommendation on an appropriate coordination mechanism and MRV Framework. 	August 2017
13	Micronesia (Federated States of) (Secretariat of the Pacific Community)	<ul style="list-style-type: none"> • Coordination process among stakeholders improved. • Country programme prepared. • NDA-led stakeholder engagement process undertaken. 	April 2018
14	Mali (Sahel Eco)	<ul style="list-style-type: none"> • Country programme prepared. • NDA capacity for project prioritization improved. 	June 2018
15	Philippines (Climate Change Commission)	<ul style="list-style-type: none"> • Improved procedure for regular multi-stakeholder consultation. • System/procedure for the issuance of no-objection letter formulated to ensure that funding requests are consistent with national priorities. • Strategic Framework (Country Program) developed. 	February 2018
16	Rwanda (Environment and Climate Change Fund)	<ul style="list-style-type: none"> • Country programme prepared. • Process for supporting coordination across stakeholders established. • A no-objection procedure established. 	December 2016
17	Senegal (Centre de Suivi Ecologique)	<ul style="list-style-type: none"> • Strategic framework for engagement of private sector, civil society, government and local government stakeholders on priorities for engagement with the fund established. 	August 2017

		<ul style="list-style-type: none"> Country's mitigation and adaptation priorities in accordance with its strategic policy documents identified, and a country programme is developed. 	
18	Togo (Centre de Suivi Ecologique)	<ul style="list-style-type: none"> Strategic framework for engagement with the GCF is determined. Country programme developed through stakeholder engagement process; and A no-objection procedure established 	August 2017
19	Tunisia (The Sahara and Sahel Observatory)	<ul style="list-style-type: none"> Development, through a stakeholder engagement process, of a country programme considering programming priorities and programme/project concepts. 	June 2018
20	United Republic of Tanzania (UNDP)	<ul style="list-style-type: none"> Effective system for engaging stakeholders (governments, sub-national institutions, civil society, and the private sector) established. Strong and coherent national coordination mechanism developed. 	August 2017
21	Zambia (Ministry of Finance)	<ul style="list-style-type: none"> Country programme developed. NDA capacity to assess projects or programmes for GCF financing improved 	May 2018