Date: 14th August, 2018
Reference: RFP 2018/S/026

Request for proposals (RFP 2018/S/ 026)

Case Management System for the Green Climate Fund Independent Redress Mechanism

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.

1.2 The Green Climate Fund (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. It is supported by an independent Secretariat, accountable to the Board, having management capabilities to execute day-to-day operations of the GCF, providing administrative, legal and financial expertise.

1.3 The GCF Independent Redress Mechanism Unit (IRM) responds to complaints by people who feel they have been adversely affected by GCF projects or programmes failing to implement GCF operational policies and procedures. This includes allegations of a failure to follow adequate environmental and social safeguards

2. Invitation

2.1 Through this request for proposals ("RFP"), the GCF / IRM is seeking to procure a Case Management System. The scope of service included in Annex 1 provides the details of the assignment and expected deliverables.

2.2 Sealed Proposals must be submitted to the Secretariat no later than **Tuesday 11th September, 2018 at 1700 hrs** Korean Standard time.

The RFP includes the following annexes:

Annex 1	Scope of Service
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 (separate file / attachment)

2.3 The terms set forth in this RFP, including all the annexess 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 Bidders 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 bidder'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 with the reference **RFP2018S026 – Case Management System**. Bidders must not communicate with any other personnel of the GCF regarding this RFP.

2.8 This RFP is issued under the This RFP is issued under the GCF Administrative Guidelines on Procurement. 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. Request for Clarification of RFP Documents

3.1 A prospective bidder 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 Atttachment 6. **If sent via email, the subject line of the email must have the reference number and title of the RFP i.e. RFP2018S026 – Case Management System.** 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 posted on the GCF website. They will also be sent to all prospective bidders that have received the solicitation documents.

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 bidder, modify the RFP documents by amendment. All prospective bidders that have received the RFP documents will be notified in writing of all amendments to the RFP documents. The amendments will also be posted on the GCF website

4.2 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 proposal.

5. Language of Proposals

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

6. Submission of Proposals

6.1 Proposers shall submit their proposal either in hard copy or via email.

Submission in hard copy

6.2 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 proposer's proposals at risk of being rejected. Proposals sent via fax <u>WILL NOT BE ACCEPTED</u>.

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/2018/S/026 – Case Management System for the GCF IRM - (name and address of proposer)

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

DO NOT OPEN– RFP/2018/S/026 – Case Management System for the GCF IRM – 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, 22004,
Republic of Korea

Attention: Procurement Specialist

Submission via email

6.8 Proposals can also be sent via email to the following email address: procurement@gcfund.org

6.9 Where proposals are sent via email, two separate files (technical and financial proposals) should be sent.
The Technical files should be named as follows:

RFP 2018C026 – Case Management System TECHNICAL PROPOSAL (name of proposer)

The financial file should be named as follows:

RFP2018CS026 – Case Management System FINANCIAL PROPOSAL (name of proposer).

The subject line of the email should be as follows:-

RFP/2018/S/026 — Case Management System for the GCF IRM (name of proposer).

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. Financial Proposals that are submitted without password protection shall be rejected for non-compliance.

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

10.1 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.

11. Conflict of Interest

11.1 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.

12. Confidentiality

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

Annex 1: Scope of Service

I. Background of the assignment

The Independent Redress Mechanism (IRM) responds to complaints by people who feel they have been adversely affected by GCF projects or programmes failing to implement GCF operational policies and procedures. This includes allegations of a failure to follow adequate environmental and social safeguards.

The IRM can also accept requests by developing country National Designated Authorities, or focal points, for the GCF Board to reconsider funding proposals which the GCF has rejected.

II. Project Scope

This proposed CMS system will enhance the current ways of working and will augment the capabilities of the IRM to manage cases. The essence is to deliver an integrated case management system for the unit that will enhance its administrative processes and assist them in publishing reports.

The scope of Case Management System is as follows:

- Logging of Complaint / Request
- Updating /Recording of all relevant data
- Tracking status
- Reporting

III. Objectives

The high-level activities in the scope of Case management are

- The determination that a complaint has been found eligible
- IRM Assessment of the Complaint
- Dispute Resolution OR
- Compliance Appraisal, Investigation and response
- Monitoring through Closure
- Reporting

The IRM office is seeking to automate the Case management process through a robust and secure solution. The solution is meant to enhance the organization of data around unit's cases, so that unit's staff can easily monitor several elements of the cases, and also be able to cross-reference information. It shall also be the repository of key documents linked to each case.

IV. Output

Following are the detail of the output required

4.1 Workflow

For Complaints and For Reconsideration Request – Process Map attached in **Appenex 1a**

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4.2 Business Requirements

The requirements have been prioritized using the **MoSCoW** rating system:

- **Must have requirements**, those requirements that are mandatory are indicated by **(M)**
- **Should have requirements**, those that are highly desirable but not mandatory are indicated by **(S)**.
- **Could have requirements**, those that are desirable by the system are indicated by **(C)**.
- **Wont have requirements**, those that will not be delivered by the system are indicated by **(W)**.

4.3 General Functionality

Number	Description	Priority	Comment
4.3.1	Solution must provide capabilities to file/record complaints against GCF projects and track them through their closure	M	
4.3.2	Solution must allow to track complaints on various (40+) parameters (Country/Status/Due Date etc.)	M	
4.3.3	Solution must provide capabilities to Search, Sort, Filter registered cases	M	
4.3.4	Solution must provide capabilities to generate reports including export to various formats	M	
4.3.5	Solution must provide mechanisms to authenticate users (~15) and authorize access to information based on their roles	M	

4.4 Functional Requirements

Number	Description	Priority	Comment
	Recording Information		
4.4.1	The system must be capable of recording complaints and requests through Website online form or through manual entry by IRM team.	M	
4.4.2	A unique case ID should be automatically generated, according to an IRM defined formula	M	
4.4.3	A field should capture if it’s a Complaint or a Request.	M	
4.4.4	According to the Case specification, appropriate fields should be picked up for creating the record. Ideally, it would also allow for users to change these options as may be needed with time (add/delete or rename the titles and the options for answers)	M	List of required fields listed at Annex A
4.4.5	It should allow to attach files containing information about the Record	M	

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4.4.6	It should allow the users to assign the level of confidentiality required on each of the Records	M	
4.4.7	The system must provide facilities for a variation of timescales from the set process flow if required (as set up by the System Administrator) to be associated with the event, including the stage in which the case is in the process, the timelines for each of the stages and the current status.	M	
4.4.8	It should be able to upload attachments in different formats, according to each phase of the process	M	
4.4.9	The system must allow a user to record details of the parties' contact – telephone, email, fax and letter, title, and institution.	M	
4.4.10	Capture Contact information of all relevant people and create groups in a system directory. These groups can be used later to contact relevant parties involved in a case or set of cases	S	
4.4.11	Once the case is received, the relevant project profile should get captured. This has to be either done manually or through flow of project information from IPMS. Complaints can include more than one project. The solution must be able to associate multiple projects with a complaint.	S	
4.4.12	The system must be able to store unique case information, as input by the administration including: the names of the parties; details of legal representation for each party, details of executing entity, Independent Consultants, GCF, Accredited Entity, National Designated Authority and IRM team.	M	
4.4.13	When adding an event there must be an option to set up a prompt(s) to notify the user when an action is due. It should also calculate and display due dates as calculated by the process flow provided, and flag where these are past due, and calculate the duration of each phase.	M	
4.4.14	It must be possible to set up prompts with a 'multiparty' option. A case can have more than one party, when an action is due it must be possible to specify which party has completed the event whilst continuing to track parties that have not completed the event.	M	
4.4.15	The system must allow the user free range narrative to record details of contact, reason for call, matter discussed (e.g. a Notes or Note to File section to record major events/decisions to serve as basis for case history.	M	

	Tracking Information		
4.4.16	It should be able to track status of each Record	M	
4.4.17	The system should provide a facility for querying specific data fields and reporting on them using standard reports and ad-hoc reports configurable by the IRM Team (e.g. Complaints by country, region, GCF division, IRM team member, time of receipt, or specific harm being raised (e.g. resettlement or water pollution), etc and any combination of these. For example, how many complaints from Latin America involving water have been found eligible in year 2017 related to private sector?	M	
4.4.18	It should have capabilities to Search, Sort and Filter	M	
4.4.19	It should be possible to display a list of all events that have been entered for a case.	M	
4.4.20	The system must allow the user to search for previous Cases by (or any combination of these and all other fields): • Party name • Date • Region • Nature of alleged harm • Sector	M	

4.5 Reporting Requirements

The reporting facility is key to the administration of the IRM. The system should have the facility to produce a prescribed and Ad-hoc set of reports as identified below, to support the development of the Business plan and Annual report, and for the purpose of measuring performance and trends.

Number	Description	Priority	Comment
4.5.1	- Cases received in a particular Fiscal-Year (FY) - Total Cases received, number eligible, number ineligible - Eligible Cases by country/region, industry categorization - Total Cases Open/Closed - Report on cases that have overdue deadlines	S	
4.5.4	It should have capabilities to export reports in different formats.	M	

4.5.3	The system must provide a facility to store any completed templates and letters produced. As part of the audit record for the management of a case through the full process, and to allow for any future retrieval of templates produced	M	
4.5.4	The system must provide a facility to produce and store the case summary in an exportable web format.	M	
4.5.5	The system should have a dashboard function that visualizes caseload data for the Head of the IRM, and potentially others. Likely data that needs visualization: # of active cases (complaints & requests), by region, by Compliance vs Problem Solving	M	

4.6 Audit Requirement

The audit trail that will allow the system administrator to interrogate various actions that are performed by users and provide reports for audit purposes as necessary.

Number	**Description**	**Priority**	**Comment**
4.6.1	It should be possible to record every activity that occurs on a case as an event.	M	
4.6.2	It should be possible to display a list of all events that have been entered for a case.	M	
4.6.3	The system must have the facility to record the following dates in relation to any document: 1 Date saved onto the system, 2Date amended 3 Date deleted.	M	
4.6.4	The system must apply version control to all documents.	M	

4.7 Other – Requirements

This section contains the High Level Other- requirements for the system.

Number	Description	Priority	Comment
4.7.1	The system must have appropriate levels of backup and disaster recovery procedures in place to protect the data. The entire data has to be backed up and should be available for use.	M	
4.7.2	The system should follow the GCF Security Guidelines	M	

Number	Description	Priority	Comment
4.7.3	The system must have a minimum Service level	M	
4.7.4	The solution has to be hosted at the service providers end.	M	
4.7.5	Only IRM team will have access to the system (max 20 – 25 users)	S	
4.7.6	Must have a defined Recovery Time Objective and Recovery Point Objective.	M	

4.8 Integration Requirements

We may need to integrate the CMS system with the following systems.

Number	System	Priority	Output/Input
4.8.1	Integrated Portfolio Management System (iPMS)	S	Have a feature to import Project data in xls format or to interface with iPMS to auto populate project information when Project name is entered in the Record
4.8.2	IRM Website	S	Interface with IRM website and CMS to Publish Case History of all cases approved for publishing in CMS system on IRM website or export data in an xls format which can be used to publish data on website.
4.8.2.1	IRM Website	S	Interface with IRM website and CMS to search case by - Case Name - Status – Open/Closed - Country/region

Users

Only IRM Team will have access to the System

User Role	Access Type Needed	Comments
Administrator	- Adding, removing, or updating user account information, resetting passwords, etc. - Define what functions a user can access. - Provide a granular view of what data is being edited, viewed, deleted and added by system users.	
Regular Users	- Create - Read - Update - Print - Export - Generate Reports	

V. Responsibilities

Role in Requirements Planning and Management	**RACI**
IRM Business Users	Accountable for communicating and signing-off on Business Requirements
Project Business analyst	Responsible for capturing Business requirements and associated IT requirements (All requirements, Process documentation, Process map, field details to capture case information, work flows, Access Control data.)
Project Manager	Responsible for Business requirements base lining and change control
Vendor	Accountable and responsible for providing training, training manual and implementing the solution.

Deliverables

6.1.1 Submission of proof of concept from the requirements and functionalities mentioned in this TOR and after interviewing the project manager and users.

6.1.2 Submission of **First version** after configuration and customization from a second round of information collected from reviews of users and project manager.

6.1.3 Submission of the **Second and Final version** of Case Management solution within 2 weeks after 1st version.

6.1.4 Provide training and learning material for **Administrators** and **end-users** to operate the Case Management system effectively at the time of UAT.

6.1.5 Provide support and post implementation for a period of 8 weeks

6.1.6 Provide final knowledge base material for end-users.

6.1.7 Final report on configuration, customization and permission set in the system with a history of changes.

VII. Timelines

The project should be completed within 4 and half month's timeline.

- Submission of proof of concept (2 weeks)
- Submission of First Version (4 weeks)
- Submission of Final Version (2 weeks)
- Training to administrators and end users (1 week)
- Post Implementation & Support (8 weeks)
- Deliver of Knowledge base material (1 week)

VIII. Focal point

ICT PMO Team

Appendix A: List of Fields Required (see files Appendix 1a, 1b and 1c)

Appendix 1a – CMS fields

Appendix 1b – Complain Process Maps

Appendix 1c – Case Management Workflows

NB: The appendices can be downloaded from the GCF Website under the Case Management System RFP. The link is **https://www.greenclimate.fund/who-we-are/procurement**

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 Scope of Service. The Technical Proposal shall have all the necessary details in response to the TOR.

Proposers are requested to submit a Technical Proposal that demonstrates the capability in delivering requested services as indicated in Annex 1

1. To facilitate a faster evaluation and comparative analysis of the proposals, we recommend that the proposals be structured in the following manner:

    a. Technical Proposal Submission Form ***(Form TECH-1)***

    b. Company Profile Form ***(Annex 4)***

    c. **Expertise of Firm/Organization** – This section should provide details regarding

    - a brief description, including ownership details, date and place of incorporation of the firm, objectives of the firm, partnerships, qualifications and certificates, etc. , management structure of the organization, organizational capability/resources, and experience of organization/firm, the list of projects/contracts (both completed and on-going, both domestic and international) which are related or similar in nature to the requirements of the RFP. This should be in the format prescribed in ***FORM TE-1***
    - Statement of Satisfactory Performance of similar services from the firm's Top 3 (three) Clients in terms of Contract Value the past 3 (three) years. Contact details of the mentioned clients must be provided.

    d. **Proposed Solution -** This section should contain sufficient description of the solution proposed.

    e. **Proposed Methodology, and Approach** – This section should demonstrate the Proposer's services by specifying how the requirements shall be addressed, point by point; providing a detailed description of the essential performance characteristics proposed; identifying the works/portions of the work that will be subcontracted inf any; and demonstrating how the proposed methodology meets or exceeds the specifications, while ensuring appropriateness of the approach to the local conditions and the rest of the project operating environment.

    f. **Proposed Project Plan and Deliverables** – This section should include overall project schedule in terms of structure of activities ***(Form TECH-8)*** , phases, milestones, flows, and duration, together with major expected outcomes and deliverables from such project perspectives. As well, define resources by roles or responsibilities to be assigned to appropriate levels of project plan with proposed duration of their engagement ***(FORM TECH-5 and FORM TECH – 7)***

    g. **Management Structure and Key Personnel** – This section should include the comprehensive curriculum vitae (CVs) of key personnel that will be assigned to support the implementation of the proposed methodology, clearly defining the roles and

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responsibilities vis-à-vis the proposed methodology. CVs should establish competence and demonstrate qualifications in areas relevant to the TOR. The CVs should be in the format prescribed in ***FORM TECH-6***

In complying with this section, the Proposer assures and confirms to GCF that the personnel being nominated are available for the Contract on the dates proposed. If any of the key personnel later becomes unavailable, except for unavoidable reasons such as death or medical incapacity, GCF reserves the right to render the proposal nonresponsive. Any substitution of personnel arising from unavoidable reasons shall be made only with the approval of GCF.

h. **Other Information as may be relevant to the Proposal -** The Technical Proposal **shall not** include any financial information. A Technical Proposal containing any form of financial information that could lead to the determination of the price offer may be declared non-compliant.

The bidder must indicate in the Technical proposal acceptance of the GCF Model Contract, Terms and Conditions attached. Where there are counter proposals these must be clearly indicated and explained.

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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: Firm's Background and Experience

A – Firm's Background

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

B - Firm’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 Nº 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):	Nº 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 Scope of Service and on Counterpart Staff and Facilities to be Provided by the Client

On the Scope of Service

[Present and justify here any modifications or improvement to the Scope of Service 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.]

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Form TECH-5: Team Composition and Task Assignments

Professional Staff

Name of Staff	Firm	Area of Expertise	Position Assigned	Task Assigned

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: __________________________

11. Detailed Tasks Assigned	12. Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned
[List all tasks to be performed under this assignment]	[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.] Name of assignment or project: ______________________ Year: ____ Location: ____ Client: ____ Main project features: ______________________________ Positions held: ______________________________________ Activities performed: ________________________________

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 Schedule[1]

	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						

1 For Professional Staff the input should be indicated individually; for Support Staff it should be indicated by category (e.g.: draftsmen, clerical staff, etc.).
2 Months are counted from the start of the assignment. For each staff indicate separately staff input for home and field work.
3 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														
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 and submit the Financial Proposal in an envelope separately sealed from the Technical Proposal and included inside the outer envelope to contain both separately sealed proposals.

The Financial Proposal must provide a detailed cost breakdown and a payment schedule. Provide separate figures for each functional grouping or category including fees and cost-reimbursable expenses.

The Financial Proposal must also have the total cost 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.

The financial component shall include the following, whichever applicable or available:

a. Financial proposal submission form
b. A portfolio of pricing mechanism and policies;
c. Financial methodology that explains the rationale of the financial component and how it offers best value;
d. Potential economies of scale due to linkages with existing operations of the Tenderer;
e. Discount program or scheme that can be applied for GCF;
f. Licensing and Subscription Fee
g. Initial License Charge("ILC"), only if this should be charged additionally or separately from Subscription Fee
h. Subscription Fee per User per Month (or per Year)
i. Lump-sum Subscription Fee per Month (or per Year), if the Subscription Fee were not to be charged by number of users but by Lump-sum basis;
j. Initial Instantiation Charge, if this should be charged additionally or separately from ILC or Subscription Fee;
k. Initial Configuration Fee, if this should be charged additionally or separately from ILC or Subscription Fee;
l. Initial Customization Charge, if this should be charged additionally or separately from ILC, Subscription Fee, or Initial Configuration Fee. When price for this Initial Customization Fee is quoted, add which cases or situations shall constitute "Customization" beyond "Configuration";
m. Training Fee, if this should be charged additionally or separately from ILC or Subscription Fee. As stated in the previous annexes, basic trainings for users and system administrators are expected to be included in ILC or Subscription Fee but if not, please indicate individual price for each type or program of training as well as for each extended, enhanced, or beyond-normal training type or program, together with methods and locations of trainings;
n. Expected Expenses or rates for expenses, if these have to be expected;
o. Applicable taxes; Tenderer may be subject to local taxes (such as value added or sales tax, social charges or income taxes on non-resident Foreign Personnel, duties, fees, levies) under the contract. Tenderer shall include and clearly show all expected taxes in the financial component.
p. Total Contract Amount for the initial year of service

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 figures[1]]. 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 below[2]:

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."

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Form FIN-2: Summary of Costs

A. Total Cost of Financial Proposal

Item	*Costs* *Indicate with Currency*
Total Costs of Financial Proposal [1]	

B. Break down of Costs *(As per description on page 26)*

Description	Unit of measure (e.g. days, month, etc)	Total Period of Engagement	Unit cost / rate	Total Cost for the Period

Form FIN-3: Breakdown of Remuneration[1] (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]
Local Staff		

1 Form FIN-3 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.

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Annex 3

Evaluation Criteria

A. Evaluation and Comparison of Proposals

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

B. Acceptance of Submissions

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

- Full compliance with the formal requirements for submitting a proposal;
- Submission of all requested documentation
- Acceptance of the GCF Model contract – Where the proposer notes issues, these must be raised as part of the technical proposal for consideration during evaluation

2. The Technical Proposal shall include the requirements set out on page 14-15.

C. Evaluation of Technical Proposal

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

Evaluation Criteria

Evaluation Area	**Score Distribution**
a. Ability to Record Information	30
b. Ability to Track Information	20
c. Reporting	20
d. Audit	14
e. GCF Infrastructure Conformity	10
f. Integration	6
Total	**100**

Detailed evaluation criteria for each Evaluation Area are as in the following table.

Evaluation Criteria	
a. Recording Information	
a.1	The system must be capable of recording complaints and requests through Website online form or through manual entry by IRM team.
a.2	A unique case ID should be automatically generated, according to an IRM defined formula
a.3	A field should capture if it's a Complaint or a Request.
a.4	According to the Case specification, appropriate fields should be picked up for creating the record. Ideally, it would also allow for users to change these options as may be needed with time (add/delete or rename the titles and the options for answers)
a.5	It should allow to attach files containing information about the Record
a.6	It should allow the users to assign the level of confidentiality required on each of the Records
a.7	The system must provide facilities for a variation of timescales from the set process flow if required (as set up by the System Administrator) to be associated with the event, including the stage in which the case is in the process, the timelines for each of the stages and the current status.
a.8	It should be able to upload attachments in different formats, according to each phase of the process
a.9	The system must allow a user to record details of the parties' contact – telephone, email, fax and letter, title, and institution.
a.10	Capture Contact information of all relevant people and create groups in a system directory. These groups can be used later to contact relevant parties involved in a case or set of cases
a.11	Once the case is received, the relevant project profile should get captured. This has to be either done manually or through flow of project information from IPMS. Complaints can include more than one project. The solution must be able to associate multiple projects with a complaint.
a.12	The system must be able to store unique case information, as input by the administration including: the names of the parties; details of legal representation for each party, details of executing entity, Independent Consultants, GCF, Accredited Entity, National Designated Authority and IRM team.
a.13	When adding an event there must be an option to set up a prompt(s) to notify the user when an action is due. It should also calculate and display due dates as calculated by the process flow provided, and flag where these are past due, and calculate the duration of each phase.
a.14	It must be possible to set up prompts with a 'multiparty' option. A case can have more than one party, when an action is due it must be possible to specify which party has completed the event whilst continuing to track parties that have not completed the event.
a.15	The system must allow the user free range narrative to record details of contact, reason for call, matter discussed (e.g. a Notes or Note to File section to record major events/decisions to serve as basis for case history.
b. Tracking Information	
b.1	It should be able to track status of each Record
b.2	The system should provide a facility for querying specific data fields and reporting on them using standard reports and ad-hoc reports configurable by the IRM Team (e.g. Complaints by country, region, GCF division, IRM team member, time of receipt, or specific harm being raised (e.g. resettlement or water pollution), etc and any combination of these. For example, how many complaints from Latin America involving water have been found eligible in year 2017 related to private sector?
b.3	It should have capabilities to Search, Sort and Filter
b.4	It should be possible to display a list of all events that have been entered for a case.
b.5	The system must allow the user to search for previous Cases by (or any combination of these and all other fields): • Party name

Evaluation Criteria	
	• Date • Region • Nature of alleged harm • Sector
c. Reporting The reporting facility is key to the administration of the IRM.	
c.1	The system should have the facility to produce a prescribed and Ad-hoc set of reports as identified below, to support the development of the Business plan and Annual report, and for the purpose of measuring performance and trends. Cases received in a particular Fiscal-Year (FY) - Total Cases received, number eligible, number ineligible - Eligible Cases by country/region, industry categorization - Total Cases Open/Closed - Report on cases that have overdue deadlines
c.2	It should have capabilities to export reports in different formats.
c.3	The system must provide a facility to store any completed templates and letters produced. As part of the audit record for the management of a case through the full process, and to allow for any future retrieval of templates produced
c.4	The system must provide a facility to produce and store the case summary in an exportable web format.
c.5	The system should have a dashboard function that visualizes caseload data for the Head of the IRM, and potentially others. Likely data that needs visualization: # of active cases (complaints & requests), by region, by Compliance vs Problem Solving
d. **Audit** The audit trail that will allow the system administrator to interrogate various actions that are performed by users and provide reports for audit purposes as necessary.	
d.1	It should be possible to record every activity that occurs on a case as an event.
d.2	It should be possible to display a list of all events that have been entered for a case.
d.3	The system must have the facility to record the following dates in relation to any document: 1 Date saved onto the system, 2 Date amended 3 Date deleted.
d.4	The system must apply version control to all documents.
e. **GCF Infrastructure Conformity and Service Levels**	
e.1	The system must have appropriate levels of backup and disaster recovery procedures in place to protect the data.
e.2	The system should demonstrate adherence to best practice international standards for information security and data protection.
e.3	The system must have a minimum Service level. The solution should provide usability and operability over 99.9% during its service period.
e.5	The system should provide access for maximum 25 internal power users/authors
e.6	The system shall have a defined Recovery Time Objective and Recovery Point Objective.
e.7	The solution should have sound infrastructure basis as a SaaS solution over Cloud Computing network environment.
e.8	The solution should provide easy exit upon completion of usage period by providing clear paths and related services for migration of the whole data to the next environment GCF will designate.
e.9	The solution should have a support structure and support personnel for user support, technical assistance and technical problem solving that is available during core GCF business hours

Evaluation Criteria	
e.10	The online software service and interface is accessible and permissible for use in any country. The solution provider confirms that its SaaS does not exclude/block users on the basis of their country location or nationality.
	i. Integration
i.1	Solution must provide mechanisms to authenticate users and authorize access to information based on their roles. The solution can be integrated or seamlessly synchronized with GCF's cloud-based SSO SAML authentication scheme.
i.2	The solution can be integrated or seamlessly exchange messages and calendar items with GCF's e-mailing system. (eg. MS Outlook)
i.3	The solution should provide openness in integrating its processes and data with other application systems or infrastructures in the GCF IT environment, including - Have a feature to import GCF Project data or to interface with GCF system to auto populate project information when Project name is entered in the Record - Have ability to interface with IRM website and CMS to Publish Case History of all cases approved for publishing in CMS system on IRM website or export data in a format which can be used to publish data on website.

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

D. Evaluation of Financial Proposal

The financial proposal of all proposers which have attained the minimum score in the technical evaluation will be evaluated subsequently. The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) of 100. The formula for determining the financial scores (Sf) of all other Proposals is calculated as following:

Sf = 100 x Fm/ F, in which "Sf" is the financial score, "Fm" is the lowest price, and "F" is the price of the proposal under consideration.

E. Consolidated evaluation

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

T = 0.70, and P = 0.30

Proposals will be ranked according to their combined technical (St) and financial (Sf) scores using the weights (T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; T + P = 1) as following: S = St x T% + Sf x P%.
The firm achieving the highest combined technical and financial score will be invited for contract negotiations.

F. Award

The Award will be made to the responsive proposer who 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		
Registration Number		
Type of organization	Public enterprise Private company Organization sponsored (assisted by Government) Other (please specify): …..	( ) ( ) ( ) ( )
Type of Business	Manufacturer Retailer Authorized Agent Consulting Company Other (please specify): …..	( ) ( ) ( ) ( ) ( )
Summary of main business activities		
No. of employees (by location)		
Staff turnover rate		
In-house working language (s)		
Bank Name: Bank Address: Account Holder: Account Number: IBAN: SWIFT:		

Prior experience with international organizations

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

Environmental Policy

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

Contract disputes

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

References

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

Partners

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

Conflict of interest

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

Certification

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

Name: ____________________________ Title: ___________________________

Signature: ____________________________ Date: ___________________________

Annex 5
Acknowledgment Letter

Dear Sir/Madam,

We, the undersigned, acknowledge receipt of your Request for Proposal (RFP) No. 2018/S/026 dated 14 August, 2018, 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 11 September, 2018, and that we:

[ ] INTEND [ ] DO NOT INTEND

to send one (1) authorized representative to observe the public opening procedure on 11 September, 2018, 17.30 hrs Korean Time.

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

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	Issuance of RFP	GCF	14 August, 2018
2	Last day to send completed Acknowledgement Letter of RFP receipt	Tenderer	5 September, 2018
3	Last date for requests for clarification of the RFP	Tenderer	28 August, 2018
4	Last date to reply to questions received/ Last date for amendment	GCF	3 September, 2018
5	Date by which proposal must be received in Korea by GCF	Tenderer	11 September, 2018; 17:00 Hrs Korean Time
6	Date of opening of Technical Proposals	GCF	11 September, 2018
7	Notice of successful provider	GCF	21 September July, 2018
8	Contract signing	GCF/Tenderer	25 September, 2018
9	Work start	Tenderer	As specified in the contract.

* KST: Korean Standard Time (Seoul Time)

Annex 7

GCF Model Contract

Bidders must provide in the technical proposal a statement that the Bidder has carefully reviewed the Model Contract and its Appendices and is in agreement with all its terms and conditions. The bidder should also provide missing details in the contract, such as the name and the contact details of a person to whom the notices should be sent and the name and position of a person who would sign a contract with the Commission on behalf of the bidder. Where the bidder has specific issues of concern, those must be raised and indicated in the Technical proposal clearly for consideration during evaluation.

NB: For this particular contract, the Performance Standards, Insurance, Performance Security and Deductions Clauses in the Special Conditions of Contract will not be applicable.

NB: The model contract is attached as a separate document on the GCF website under the RFP 2018/S/016 – Case Management System for the Green Climate Fund; Annex 4 https://www.greenclimate.fund/who-we-are/procurement