
Date: 10 May, 2018

Reference: RFP 2018/C/012

Request for proposals (RFP 2018/C/012)

Provision of consultancy services to support IEU's Learning Oriented Real-time Impact Assessment (LORTA) window using theory-based impact evaluation techniques.

1. Background

- 1.1 The Green Climate Fund (the Fund) was established with the purpose of making a significant and ambitious contribution to global goals set by the international community to combat climate change. In the context of sustainable development, the Fund promotes a paradigm shift towards low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas emissions and to adapt to the impacts of climate change. The Fund's headquarters are located in Songdo, Incheon City, Republic of Korea.
- 1.2 The GCF is 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 a Secretariat, accountable to the Board, having management responsibilities to execute day-to-day operations of the GCF, providing administrative, legal and financial expertise. It is also supported by the Independent Evaluation Unit (IEU), which reports directly to the GCF Board and is charged with informing the decision making of the GCF Board and providing strategic guidance. The IEU/GCF is also charged with undertaking independent evaluations of the Fund's performance with the aim of providing an objective assessment of the Fund's results and its performance and the effectiveness and efficiency of its activities. In this regard, the IEU is charged with providing evaluations to the Conference of Parties (COP) to the UNFCCC for purposes of periodic review of the financial mechanism of the Convention.

2. Context: IEU's Learning Oriented Real-time Impact Assessment (LORTA) Program

- 2.1 Two of the IEU's most important objectives are: a) to measure and evaluate the GCF's results to enhance learning within the GCF, and b) to inform the GCF's performance and results and gauge her role in catalyzing a paradigm shift and achieving impacts at scale.
- 2.2 IEU's LORTA program will ensure this in several ways. Firstly, it will embed real-time impact evaluations and measurement into funded projects/programs that will provide GCF program managers high-quality data on the quality of implementation and likelihood of impact, while helping them to manage their program. Secondly, it will build capacity within projects to design high-quality datasets relevant to overall impact measurement while ensuring that attributable causal change of GCF investments is rigorously informed. Thirdly, it will employ state-of-the-art theory-based counterfactuals methods to measure the causal change attributable to GCF investments.
- 2.3 IEU's LORTA program will use international best practices in theory-based impact evaluations to build learning and measurement into GCF projects and programing. With this window, it is intended that funded projects and programs will learn best practices and incorporate these into their own designs and initiatives.

3. Invitation

- 3.1 Through this request for proposals ("RFP"), the IEU/GCF is seeking to contract a qualified, reputable and experienced Firm / Organization to manage a LORTA program that will support real-time

measurement and learning within the GCF through theory-based impact evaluations that use experimental/quasi-experimental methods. Legally registered firms and organizations are eligible to apply for this RFP. If your firm/organization does not have all the expertise for the assignment, there is no objection to your firm/organization associating with other firms or independent experts to allow for a full and competitive team to be proposed. If this is the case, the applicant firm/organization should submit letters of agreement signed by authorized representatives of intended parties including individual experts indicating (i) who signs the contract with GCF (ii) who is responsible for the receipt of the payments; and (iii) statement that none of the consortium members will hold GCF liable for any dispute among the members. Should all parties not be fully identified, it is possible for the applicant firm to bring on additional parties/experts as sub-contractors. However, it must be clear that all risks and indemnities will be borne by the signing organization or firm. If a bid is successful, there will only be one signatory organization/firm and the signatory party will be responsible for ensuring that all team members are remunerated and managed appropriately. For the purposes of this RFP, IEU/GCF and GCF are one legal entity and the terms are used inter-changeably.

- 3.2 This evaluation program is part of a multi-year program however all deliverables required for this RFP will be delivered in 2018. This high-profile measurement and evaluation program will produce a interim report that will be shared with the GCF Board in October 2018. The terms of reference included in Appendix 1 provide details of the assignment and expected deliverables.
- 3.3 Sealed proposals must be submitted to the IEU/GCF no later than Monday 18th June, 2018 at 5.00 pm Korean time.
- 3.4 The RFP includes the following appendices:
- | | |
|------------|---------------------------|
| Appendix 1 | Terms of Reference |
| Appendix 2 | Proposal Submission Forms |
| Appendix 3 | Evaluation Criteria |
| Appendix 4 | Company Profile Form |
| Appendix 5 | Acknowledgement Letter |
| Appendix 6 | Timeline |
| Appendix 7 | Model Contract |
- 3.5 The terms set forth in this RFP, including all the appendices listed above, will form part of any contract, should the IEU/GCF 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 IEU/GCF in the context of any negotiations entered.
- 3.6 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.
- 3.7 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.
- 3.8 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 that is 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.
- 3.9 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.

3.10 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

4. Request for Clarification of RFP Documents

4.1 A prospective proposer requiring any clarification of the solicitation documents may notify the GCF in writing at the GCF mailing address or to the email address procurement@gcfund.org by the specified date and time mentioned in Appendix 6. The GCF will respond in writing to any request for clarification of the solicitation documents that it receives by the due date published in Appendix 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. The response will also be posted on the GCF website and the IEU website.

5. Amendments to RFP Documents

5.1 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 notified in writing of all amendments to the RFP documents. The amendments will also be published on the GCF and IEU website

5.2 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.

6. Language of Proposals

6.1 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 submitted 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 its costs and the accuracy thereof shall be the responsibility of the proposer.

7. Submission of Proposals

7.1 Proposers shall submit their proposal in hard and/or soft copy. For hard copy proposals, 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 Appendix 6. The two envelopes must be sealed in an outer envelope with the RFP reference and title.

7.2 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 **WILL NOT BE ACCEPTED.**

7.3 If submissions are done in hard copy, then these 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.

- 7.4 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/2018/C/012) – Provision of consultancy services to undertake a learning-oriented real-time impact assessment (LORTA) – TECHNICAL PROPOSAL- (name and address of proposer)

- 7.5 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 No (RFP/2018/C/012) – Provision of consultancy services to undertake a learning-oriented real-time impact assessment (LORTA) – FINANCIAL PROPOSAL (name and address of proposer).

- 7.6 Proposers are strongly recommended to submit their bids using 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.

- 7.7 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**

- 7.8 **If submissions are done via email and in soft copy**, two separate files (technical and financial proposals) should be sent via email. Proposals can also be sent via email to the following email address: procurement@gcfund.org

- 7.9 The Technical files should be named as follows:

RFP No (RFP/2018/C/012) –LORTA - TECHNICAL PROPOSAL- (name and address of proposer)

- 7.10 The financial file should be named as follows:

DO NOT OPEN– RFP No (RFP/2018/C/012)–LORTA - FINANCIAL PROPOSAL (name and address of proposer).

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

RFP/2018/C/012 - Provision of consultancy services to support IEU's Learning Oriented Real-time Impact Assessment (name of proposer)

- 7.12 Financial Proposals **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.

- 7.13 All prospective proposers are kindly requested to return the completed Acknowledgement Letter of RFP receipt (Appendix 5) by the date indicated in Appendix 6, duly signed by an

authorized representative, via email, advising whether 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. However please note that an Acknowledgement Letter is not a mandatory requirement for submitting a proposal in response to this RFP.

8. Late proposals

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

9. Opening Technical Proposals

- 9.1 Technical Proposals will be opened on the date indicated in Appendix 6 in a room designated for this purpose at the premises of the IEU/GCF 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.

10. Opening Financial Proposals

- 10.1 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.
- 10.2 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.

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.

Appendix 1: Terms of Reference for IEU’s Learning Oriented Real-time Impact Assessment (LORTA) window to support real-time learning and measurement within the GCF using theory-based impact evaluation techniques

I. Aim

1. At the B.19 Meeting in March 2018, the Board approved IEU’s LORTA program as part of its overall approval of the IEU’s 2018 Work Plan and Budget and three-year Rolling Work Plan.¹ With the implementation of LORTA, it is expected that funded GCF activities will learn best practices that ensure that state of the art approaches for measuring results and informing effectiveness and efficiency are incorporated into GCF projects and programs.
2. This document lays out the terms of reference for the implementation of LORTA. This includes
 - (a) Section II: Background
 - (b) Section III: Criteria for the selection of GCF activities for LORTA
 - (c) Section IV: Overview of LORTA’s key stages
 - (d) Section V: Tasks, responsibilities and key deliverables
 - (e) Section VI: Eligibility (required qualifications)
 - (h) Section VII: Desired qualifications
 - (i) Section VIII: Timeline and outputs of LORTA

II. Background

1. The use of theory-based counterfactual approaches that help to measure attributable causal change of climate change actions is relatively new. These approaches help to build in designs ex ante that can help measure the change caused by investments that can be in turn be attributed to them. It also help in dealing with several confounders such as selection and placement biases, which if not addressed can undermine the causal validity. In its pilot phase (as envisioned for this RFP), LORTA will select 4-6 GCF funded projects that will benefit from formative work and IEU advisory work on designing and implementing theory-based counterfactual designs. It is envisaged that subject to funding, this will be a pilot program that will last for a two-to-four-year period.
2. LORTA will engage closely with Nationally Designated Authorities (NDAs), Accredited Entities (AEs), implementing agencies, GCF project managers and project stakeholders during the initial four-to-six-month planning of evaluation and measurement methods. It will undertake engagement work, formative evaluations, design surveys for piloting, advise projects on good implementation monitoring and measurement including protocols as well as design theory-based counterfactual approaches that help projects to inform and measure attributable change. Over the life time of the project, the aim will be to implement and collect data from primary and secondary data sources and undertake theory-based impact assessments and measurements while informing project management on how to fine-tune and design evaluations and choose data collection tools.
3. LORTA will help measure the attributable causal change in 4-6 GCF funded projects by embedding theory-based counterfactual approaches that can be experimental or quasi-experimental. By embedding these approaches into funded activities alongside high quality data collection and measurement systems that are required for good theory-based impact evaluations, LORTA will provide GCF program managers data on the quality of implementation and the likelihood of impact measured through attributable change, while

¹ Decision B.19/07

helping them to learn from real-time measurement to better manage their program.

4. LORTA will deliver real-time learning and measurements for projects and will be a critical building block for evaluations and for measuring and communicating the causal change made by GCF's portfolio. GCF's real-time learning and measurement will be strengthened and its focus on engagement and learning will ensure that GCF's learning culture is solidified.
5. LORTA has the potential to be an innovative step for the climate change space, where program impact otherwise takes a long time to be realized.
6. By creating a window for real-time learning and measurement, LORTA will provide an opportunity to program managers, AE staff and GCF to learn and to communicate its successes in evidence-based and rigorous ways.

7. Summary of outputs for LORTA by stage:

No.	Stage	Activities	Outputs	Project Stage/How Long
1	Inception and engagement	<ul style="list-style-type: none"> ✓ Identification of research teams ✓ Engagement with project team, AE, end beneficiaries and GCF staff ✓ Formative work in the field and analyses ✓ Inception report writing 	<ol style="list-style-type: none"> 1. List of research teams 2. Impact evaluable GCF projects identified and engaged with. 3. Matchmaking clinic held in Songdo. 4. Impact assessment design document 5. Theory of change informed by field work for the impact assessment and formative work 6. Capacity building workshop(s) for the implementing team, AE and NDA and associated GCF staff. 7. Inception report with field informed theory of change, formative and feasibility evaluation, engagement plan; implementation tracking and real-time measurement system design; pre-analyses plans; sample size calculations, impact evaluation design and timeline; budget and timeline for the theory-based impact evaluation. 	<p><i>Stage:</i> in 2018</p> <p><i>How long:</i> It will take about 6 months to complete.</p>
2.	Main impact assessment stage	<ul style="list-style-type: none"> ✓ Survey pilots and implementation measurement and tracking system rolled out. ✓ Baseline data is collected ✓ Qualitative and quantitative data is continuously collected to inform the six-monthly real-time learning 	<ol style="list-style-type: none"> 1. Pilots for survey and implementation tracking and measurement are rolled out effectively. 2. Baseline data collection completed. 3. Baseline report shared with IEU 4. Six monthly real-time implementation measurement and learning reports (RoMLER) shared with IEU 5. Midline report on implementation, key measurement and learning on implementation and implementation fidelity 	<p><i>Stage:</i></p> <ul style="list-style-type: none"> • Baseline data collected within one year of project starting. Implementation tracking system is put together within one year of project starting. • Baseline report is shared within one year of the project starting. • Real time learning reports are shared every six months. • Midline report is shared half way-

No.	Stage	Activities	Outputs	Project Stage/How Long
		reports. ✓ End line data is collected.	shared. 6. End line data collection is completed. 7. Impact assessment draft is shared with IEU	through the project timeline. • Impact assessment report is shared at the end of the project. How long: The baseline data and design sub-stage will take at least a year. The subsequent sub-stages will last as long as the project lasts.
3.	Final stage	✓ End line and baseline data analysis along with qualitative data analysis ✓ Impact assessments concluded ✓ Engagement with diverse stakeholders to share the results and incorporate feedback as required.	1. Impact assessment is finalized. 2. Communication briefs, learning briefs, seminars and other relevant shared events are held.	<i>Stage:</i> End of project. <i>How long:</i> Six months after project completion.

III. Criteria for selection of GCF activities for LORTA

1. As laid out in Section II, there will be three phases in LORTA. The whole process will be managed by the IEU, but the main work will be undertaken by a firm/organization contracted to undertake this work.
 2. At this point the choice of funded activities will be informed by several strategic criteria:
 - **Inform innovation or a GCF flagship program:** A program/project will be eligible for LORTA if it is either considered an innovative program for which evidence of success is sparse, or, if it is a 'flagship' program for GCF. The extent to which a GCF funded activity is innovative and new in the climate change space. These are areas where previous robust evidence on implementation effectiveness, efficiency and impact is sparse or non-existent. LORTA will help to build robust evidence of effectiveness, efficiency and sustainability in these areas.
 - **Requires substantial resources and/or will be scaled up:** The extent to which a GCF funded activity is critical for the overall climate and development objectives of the country and plans for scaling up. LORTA will inform GCF's scaling-up objectives.
 - **Representativeness of portfolio:** There will be an attempt to ensure that both adaptation and mitigation programs are covered through LORTA and that both private and public sectors programs are covered.
- Build capacity:** The extent to which there is capacity amongst program staff in the implementing agency and the AE to actualize and deliver designs and collect and analyze data.

3. LORTA will follow some general guiding principles

- **Government ownership:** Theory based counterfactual approaches to measure causal change can provide one avenue to build institutional capacity and a culture of managing-by-results. Thus, the impact assessment will be as widely owned within government as possible. For this there will need to be an agreement among key actors on a dissemination plan to maximize use of results for policy and program development.
- **Relevance and applicability:** For an assessment to be relevant, it must be designed to respond to the policy and programmatic questions that are of importance. Clarifying early what it is that will be learned and designing the assessment to that end will go some way to ensure that the recommendations of the evaluation will feed into program and policy making processes. During this process it is vital to also think about unintended consequences and qualitative and interdisciplinary perspectives are key to understanding this.
- **Flexibility and adaptability:** The LORTA impact assessment will be tailored to the specific project and adapted to the specific institutional context. The program/project design will be flexible to secure our ability to learn and measure in a structured and credible manner, prepare impact assessment ready measurement systems that help to track implementation fidelity, feed evaluation results back into the project and change the project mid-course to improve project end results.
- **Horizon matters:** The time it takes to achieve results is an important consideration for timing the evaluation. Conversely, the timing of the evaluation will determine what outcomes should be focused on. Early evaluations should focus on outcomes that are quick to show change. For long-term outcomes, evaluations may need to span beyond project cycle. Thus, with LORTA we will think through how things are expected to change over time and focus on what is within the time horizon for the evaluation.

4. The final learning-oriented impact assessment report will have the following attributes: It will measure the overall change (outcome or impact) that the funded project made to a key result area of the GCF. These will be informed by robust impact assessment designs that will use theory based experimental or quasi-experimental approaches counterfactuals and will in all cases, measure attributable causal change for an important result of the project. It will measure how much change was caused by the GCF investment, for whom, how, why and how much it cost. It will also address the distribution of gains and losses (heterogeneity) and measure any unintended positive or negative consequences. It will be informed by good formative study and demonstrate strong (and publication quality) technical and analytical work. There will be sound identification strategy that use adequately powered sample sizes to measure changes in key outcome or impact measures that are relevant to the project/funded activity and to GCF result areas. Designs will and should be able to account for common threats to causal validity such as program placement bias, confounding, sample selection bias, performance bias, spillover bias, contamination bias as well biases in data collection and reporting. Please note that ‘impact evaluation’ referred to in this document is used interchangeably with ‘impact assessment’ and is meant to refer to measurement of attributable causal change that use experimental or quasi-experimental methods to understand and measure this change. Experimental designs involve random allocation or assignment of an intervention. Quasi-experimental designs employ statistical techniques to address selection bias when the intervention is not randomly assigned. These can include instrumental variables estimation, regression discontinuity design, difference in difference and other statistical matching techniques. Impact assessments should also incorporate cost calculations for researchers and enable cost-related indicators to be computed while tracking implementation fidelity.

It will include a summary of the learning generated over the lifespan of the project and shared with IEU/GCF. It will include a section detailing the implementation tracking and measurement system set up for real time learning by the GCF.

The final report will also include a theory of change, will employ and detail mixed methods for data collection and analyses, sample size calculations and an overall engagement plan, as well as key learnings from the engagement. It will employ several information collection methods: a quantitative household survey for casual impact and operation performance and quantitative community surveys (to understand issues such as supply side constraints as well as higher level impact); qualitative focus group discussion with end beneficiaries, member of the community, program managers and others: some in-depth interviews; an organizational review as well as cost analysis.

IV. Tasks, responsibilities and deliverables

1. The evaluation team will report directly to the evaluation coordinator or any person delegated by the Head of the Independent Evaluation Unit and provide progress reports to the evaluation coordinator, or anyone delegated by the Head of the Independent Evaluation Unit and Head of the Independent Evaluation Unit, as required under the tasks and responsibilities of the evaluation team.
2. The contracted firm will be responsible for the following components for each of LORTA's three key contractual stages:

2.1 Inception and engagement stage: The LORTA program will involve working collaboratively with GCF staff to identify 4-6 GCF funded projects and work closely with program managers, Program Management Unit (PMU) and AEs to ensure there is engagement. IEU will contract an independent firm to ensure that this engagement is undertaken.

- i. The first task of the firm will be to identify research teams that will engage with the selected GCF funded projects. The firm will lead the search for appropriate teams that will be able to conduct the work required. IEU will work closely with the firm in the selection, including providing names of potential researchers, and will be part of the final selection of teams. However, all contracting of teams will be done by the selected firm. The selected firm will also demonstrate ability to engage closely with qualified researchers in GCF project areas who will then collaborate with the firm during different parts of delivering LORTA. The choice of teams will also be informed by the selection of GCF projects that will be selected to participate in this pilot stage of LORTA.
- ii. The selected firm will ensure that project stakeholders (including implementing agencies on the ground) are involved, informed and engaged with, during the initial planning activities for impact assessment design, data collection and analyses. As indicated above, country ownership will not materialize unless the key stakeholders are actively involved from the genesis of the evaluation process. During this stage, there will be an initial formative evaluation undertaken by the external researcher teams/firm that engages with the project. The contracted team will also do sensitization and capacity building workshops to increase understanding amongst different project related stakeholders.
- iii. During this stage the sub-contracted researcher teams will analyze the program/project and lay out some possibilities for theory based counterfactual impact

assessment designs. The overall aim of these impact assessments is to measure attributable causal change. In all cases formative evaluations will be required that will in turn require context analyses, examining feasibility of appropriate counterfactuals, assessing the availability of administrative and secondary data sources and building a theory of change for the project. We anticipate field work where the contracted researcher teams will engage and assess the context in the field and speak with stakeholders, including end-users and beneficiaries. Once the formative work and engagement is carried out, the **main output** of this inception stage will be an impact assessment design (that measures attributable causal change), rationale for these and their relevance including potential application challenges, an outline of an implementation monitoring and measurement framework that has been socialized with the project team and accepted, sample size calculations, pre-analyses plans, timeline and budget as well as an engagement plan for the coming years. This will also include a theory of change that has been validated in the field. We anticipate this stage will last between 4-6 months and to be completed in 2018 with a final report submitted to the GCF Board in October.

2.2. Main impact assessment stage: Once the first stage has been completed, GCF will select which projects will move on to the second stage. Selection will be based on the quality of designs, fit with GCF priorities and available funding. During the second stage, the contracted firm/sub-contracted external research teams will roll out final surveys, the implementation monitoring and measurement system (which will also contain qualitative and quantitative measurement systems) and the impact assessment design. Designs and data collections will have been fine-tuned by this time as well as the data collection instruments. The contracted firm will employ these surveys and the implementation tracking and measurement system and will monitor that the partner organizations are implementing the impact assessment designs as planned. Since this part will require constant engagement in the field, the contracted team will need to work closely with in-country partners.

- i. Depending on the outcomes foreseen for the funded activity, we expect that this stage will last 2-4 years. During this stage, **the main outputs** will be a finalized impact assessment design and a full-fledged implementation tracking and measurement system. Six-monthly RoMLER will be shared with the IEU and the accredited entity. Learning reports will be supplemented by seminars and visits to GCF head quarter.

2.3 Final stage: During the final stage, the contracted firm will produce the learning-oriented impact assessment report. The impact assessment report will have attributes as laid out in III.4.

V. Eligibility (required qualifications): Selected firms/teams should

- Be able to sign GCF contract agreements
- Have extensive experience with undertaking theory based impact evaluations (i.e. evaluations that measure causal attributable change using experimental and/or quasi-experimental designs and mixed methods for data collection) in multiple and complex stakeholder contexts (project management unit, country implementing teams and a lead evaluation office.)
- Should have access to an extensive network of impact evaluators who can be brought on as design, and analyses and other leads.
- Should have sufficient capacity within the organization to work on 4-6 theory based impact evaluations simultaneously.
- Should have published extensively in impact evaluations preferably in peer reviewed journals.

- Should be open to working with other researchers suggested by the IEU.
- Should have a history of developing and advising teams on implementation measurement and building monitoring and tracking systems used for impact evaluations.
- Should have extensive experience in managing multiple impact evaluations in developing country contexts and should have experience with troubleshooting inevitable challenges at different levels for designing, implementing, analyzing and communicating theory based impact evaluations
- Should have good engagement skills and be able to speak to a diversity of stakeholders including national GCF stakeholders and international program managers who have little understanding of impact evaluations.
- Should be able to deliver capacity building and sensitization impact evaluation workshops to ensure that program teams are especially clear about implications and needs of impact evaluations and also understand their power.
- Should have excellent statistical and econometric ability within the team and should be able to work with complex datasets and combine secondary and primary datasets.
- Should have excellent writing and presentation abilities within the organization that are able to present to high level officials.
- Should be able to work with developing country stakeholders and should have excellent previous experience in working in developing country and some humanitarian contexts.

VI. Desired qualifications

- Experience in the climate change sector especially familiarity with mitigation and adaptation topics as well as forestry issues including REDD+
- Experience in working with UN type organizations.
- Working in different languages.

VII. Timeline and key outputs of LORTA (inception stage)

After the inception stage, in 2018, the selected team should provide the following outputs to the IEU:

1. Funded activity specific inception reports with all elements as laid out in IV.2.1
2. By October 2018, an interim syntheses report, that consolidates the learning, the recommendations and the next steps for LORTA including the key steps and budget for the main inception report for all the selected GCF funded activities selected for LORTA. The final syntheses report will need to be ready soon after and will be published on the IEU website.
3. Potentially deliver a presentation to GCF stakeholders and entities on the key findings and recommendations.

Appendix 2
PROPOSAL SUBMISSION
FORMS

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 Proposal.

We are submitting our Proposal in association with: [Insert a list with full name and address of each associated Consultant if submitting as an association. Please also insert name of proposed sub-contracting firm.]

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 relevance, background and organization of your firm/team and each proposed associate for this assignment.]

B - Consultant's Experience

[Using the format below, provide information on each assignment for which your firm/organization, 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 number 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):	Number 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 20 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. In the methodology section for example, the criteria are laid out. To indicate the process that you will follow, kindly lay out the key elements of the evaluation matrix, the questions that you would ask for each question, the methods used to answer these questions and also the timeline. Please also indicate a proposed outline of a qualitative interview questionnaire for the survey part, as well as key agencies and people that will be contacted for benchmarking. A protocol for field work is also desirable.

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.]

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: _____

Form TECH-7: Staffing Schedule¹

	Name of Staff	Staff input (in the form of a bar chart) ²							Total staff-week input		
		1	2	3	4	5	6	7	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 Weeks 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 preferably linked to the schedule of deliverables presented in Appendix I. 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.

The contract will be lump-sum based and use a fixed daily fee for the duration of the project. Lump sum payments will be made to the contractors, according to the pre-agreed daily rate, based on the number of agreed days required to complete discrete tasks. The number of days required for different tasks will vary.

FIN Forms
Form FIN-1: Financial Proposal
Submission Form

[Location, Date]

To: [Name and address of Client]

Dear Sir/Madam:

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 be paid by us to agents relating to this Proposal and Contract execution.”

Form FIN-2: Summary of Costs

A. Total Cost of Financial Proposal

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

B. Break down of Fees and expenses per Cost Component

Description	Unit of measure (e.g. days, month, etc)	Total Period of Engagement	Unit cost / rate	Total Cost for the Period
I. Remuneration Costs				
Staff 1				
Staff 2				
.....				
II. Travel Costs				
III. Other Related Costs (Please specify)				

C. Breakdown of Fees and Expenses per Deliverables

SN	Deliverables <i>[list them as referred to in the TOR]</i>	Percentage of Total Price	Price (Lump Sum, All Inclusive)
1	Deliverable 1		
2	Deliverable 2		
3		
	Total	100%	USD

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 ²	Position ³	Staff-daily Rate ⁴
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.

Appendix 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 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
3. Interested firms / organizations should submit their proposals to include the following documentation, specifying the fields of key competencies that match their skills:
 - A Technical proposal highlighting the following:
 - A brief description, including ownership details, date and place of incorporation of the firm, objectives of the firm, partnerships, qualifications, certificates, etc.
 - statement of interest highlighting areas of previous similar delivered high-quality theory based impact evaluations with preferably an emphasis on building measurement systems;
 - An overall statement demonstrating how the team meets the required qualifications as laid out in the eligibility section IV, Annex I, and at least two publications to demonstrate the fulfilment of eligibility criteria;
 - The team composition and task assignments as prescribed in Form TECH 5
 - Personal CVs of all team members that highlight, among other things, eligibility criteria and desirable qualifications with an emphasis on previous similar evaluations and their dates and scope as prescribed in Form TECH 6.
 - The staffing schedule (Form TECH 7) and Work Schedule (FORM Tech 8)
 - Evidence of sector expertise and evaluation expertise;
 - Contact details (email and telephone number) for at least three professional references;
 - Details to demonstrate vast experience in working with relevant multilateral development funds and familiarity with their operations;

- Demonstration of the firm’s deep understanding of the GCF, mandate and business model;
 - Track record on institutional audits, designing functional systems and organizational structure of international entities.
- Financial proposal supported by a breakdown of costs (please see FIN FORMS 1, 2 and 3)
4. The GCF may also request a phone conversation as well as request additional supporting materials as part of the technical evaluation.

C. Evaluation of Technical Proposal

5. A reviewing 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 score scores in the table.

EVALUATION CRITERIA

	Criteria	Sub-score	Score
1	Technical		40
	Expertise of firm in theory based impact evaluations and measurement systems	10	
	Minimum five years of evaluation experience with designing and implementing theory based impact evaluations and undertaking complex econometric analyses	10	
	Prior experience in qualitative and quantitative evaluation methods, and setting up measurement systems for organizations in complex development settings	10	
	Good publication record in the theory based impact evaluation arena and writing peer reviewed publication worthy papers.	10	
2	Methodology and Workplan		30
	The task is well understood, properly addressed and corresponds to the TOR	10	
	The proposed technical proposal, methodology and work plan are well defined, relevant and corresponding to the assignment under this TOR.	10	
	Clear, efficient and realistic work plan corresponding to the needs/specifics stipulated in the TOR	10	
3	Personnel		30
	Team leader's extensive theory based counterfactual based impact evaluation experience at least 5 years and team members' extensive evaluation experience at least 5 years each	10	
	Proven experience (at least one member of the team) in developing countries and in setting up learning mechanisms in projects	5	

Capacity to deliver good capacity building workshops in the technical areas of theory based impact evaluations including experimental and quasi-experimental techniques. Some familiarity with	5	
Participation in a minimum of five evaluations amongst team members and technical and team leadership in at least two of these.	5	
TOTAL		100

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

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

E. Consolidated evaluation

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

T = 0.70, and P = 0.30

Proposals will be ranked according to their combined technical (St) and financial (Sf) scores using the weights (T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; T

+ P = 1) as following: $S = St \times T\% + Sf \times P\%$.

The 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.

Appendix 4: Company Profile Form

Please respond to all questions.

Company details - vendor's name

Name:

General Information

Primary contact for sales/client services	
Address	
Business Registration No.	
	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:	

Prior experience with international organizations

<i>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.</i>
1
2
3

Environmental Policy

Does your company have a written statement of its environmental policy?

YE () Please attach copy

NO ()

Contract disputes

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

References

<i>List suitable reference projects and contacts.</i>

<i>What options would there be for a site visit to a reference project and/or the vendor's site?</i>
--

1

2

3

Partners

<i>If this is a part bid, list relevant recent experience of working with partners.</i>

<i>Are there already formal or informal preferred partnership agreements in place?</i>
--

1

2

3

Conflict of interest

<i>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</i>
--

1

2

Certification

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

Name: _____

Title: _____

Signature: _____

Date: _____

Appendix 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	10 May, 2018
2	Last day to send completed Acknowledgement Letter of RFP Receipt (this is not compulsory but desirable)	Tenderer	12 June, 2018
3	Last date for requests for clarification of the RFP	Tenderer	31 May 2018
4	Last date to reply to questions received/ Last date for amendment	GCF	5 June 2018
5	Date by which proposal must be received in Korea by GCF	Tenderer	18 June 2018 1700 hrs Korean Time
6	Date of opening of Technical Proposals	GCF	18 June 2018
7	Notice of successful proposer	GCF	22 June 2018
8	Contract signing	GCF/Tenderer	1 July 2018
9	Work start	Tenderer	1 July 2018

* KST: Korean Standard Time (Seoul Time)

Appendix 7

GCF Model Contract

Bidders must provide in the technical proposal a statement that the Bidder has carefully reviewed the Model Contract and its Annexes and agrees 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 will 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 will not be applicable.

Template – September 2016/V.01

Contract No. _____

**Consulting Service Contract
for
[nature of services]**

by and between

**Green Climate Fund, 12th floor, G-Tower, 175 Art Center-daero, Yeonsu-gu, Incheon,
22004 Republic of Korea**

and

[CONTRACTOR, address]

referred to hereafter individually as a Party and collectively as the Parties