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Date: 29 January, 2019

Reference: RFP 2019/S/003

## **Request for proposals (RFP 2019/S/003)**

### **Provision of consultancy services to undertake the independent assessment of GCF's Environmental and Social Safeguards**

#### **1. Background**

- 1.1 The Green Climate Fund (the Fund) was established with the purpose of making a significant and ambitious contribution to the global efforts towards attaining the goals set by the international community to combat climate change. In the context of sustainable development, the Fund will promote a paradigm shift towards low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas emissions and to adapt to the impacts of climate change. The Fund's headquarters are located in Songdo, Incheon City, Republic of Korea.
- 1.2 The GCF was designated as an operating entity of the financial mechanism of the United Nations Framework Convention on Climate Change ("UNFCCC"). It is governed and supervised by a Board that has responsibility for funding decisions pursuant to the Governing Instrument for the Green Climate Fund. It is supported by a Secretariat, accountable to the Board, having management capabilities 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 the effectiveness and efficiency of its activities.

#### **2. Invitation**

- 2.1 Through this request for proposals ("RFP"), the IEU/GCF is seeking to contract a qualified, reputable and experienced Firm / Organization to undertake the independent assessment of GCF's Environmental and Social Safeguards (ESS). 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 enable that a full and competitive team is proposed. If this is the case, the applicant firm/organization must submit letters of agreement signed by authorized representatives of all 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. Furthermore, 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 or firm and the signatory firm or organization 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.
- 2.2 The assessment of the GCF's environmental and social safeguards (ESS), including the Environmental and Social management system (ESMS) will evaluate the extent to which past and current social and environmental safeguards, the ESMS and the policy have been useful and have helped mitigate key risks for the Fund with a special focus on LDCs, African countries and SIDS. The assessment will determine which current safeguards can be strengthened and examine their

implementation in GCF-funded projects and projects under implementation. It will assess how environmental and social considerations may be used and mainstreamed in the best possible manner to help inform the GCF's work in this space.

- 2.3 This assessment is required to be undertaken during the first eight months of 2019. This high-profile assessment will produce a final report that will be shared with the GCF Board in September 2019. The terms of reference included in Appendix 1 provide details of the assignment and expected deliverables.
- 2.3 Sealed proposals must be submitted to the IEU/GCF no later than **Tuesday 19 February 2019 at 5.00 pm** Korean time (KST).
- 2.4 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            |
- 2.5 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 into it.
- 2.6 The IEU/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.
- 2.7 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.
- 2.8 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 valid for a shorter period may be rejected. In exceptional circumstances, the GCF may solicit the proposer's consent to an extension of the period of validity. The request and the responses thereto shall be made in writing.
- 2.9 Effective with the release of this solicitation, all communications must be directed only to Procurement Specialist by email at [procurement@gcfund.org](mailto:procurement@gcfund.org). Proposers must not communicate with any other personnel of the GCF regarding this RFP.
- 2.10 This RFP is issued under the GCF Administrative Procurement Guidelines. Information regarding the guidelines can be found at:  
[http://www.greenclimate.fund/documents/20182/574763/GCF\\_policy\\_-\\_Administrative\\_Guidelines\\_on\\_Procurement.pdf/b767d68e-f8b7-46d1-a18c-b6541f3dc010](http://www.greenclimate.fund/documents/20182/574763/GCF_policy_-_Administrative_Guidelines_on_Procurement.pdf/b767d68e-f8b7-46d1-a18c-b6541f3dc010)

### **3 Request for Clarification of RFP Documents**

- 3.1 A prospective proposer requiring any clarification of the solicitation documents may notify the GCF in writing at the GCF mailing or to the email address [procurement@gcfund.org](mailto: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 on 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.

#### **4. Amendments to RFP Documents**

- 4.1 At any time prior to the deadline for submission of proposals, the GCF may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective proposer, modify the RFP documents by amendment. All prospective proposers that have received the RFP documents will be notified in writing of all amendments to the RFP documents. The amendments will also be published on the GCF website
- 4.2 In order to allow prospective proposers reasonable time in which to take the amendment into account in preparing their proposals, the GCF may, at its sole discretion, extend the deadline for the submission of proposal.

#### **5. Language of Proposals**

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

#### **6 Submission of Proposals**

- 6.1 Proposers shall submit their proposal in hard and/or soft copy. Technical and financial proposals must be submitted simultaneously in separate sealed envelopes with the RFP reference and the clear description of the proposal (technical or financial) by the date and time stipulated in Appendix 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 **WILL NOT BE ACCEPTED.**
- 6.3 Submission in hard copy may be done by post, courier or hand delivered. Both inner envelopes should indicate the name and address of the proposer. The first inner envelope should contain the proposer's technical proposal with copies duly marked "original" and "copy". The second inner envelope should include the financial proposal duly identified as such. If the envelopes are not sealed and marked as instructed, the GCF assumes no responsibility for the misplacement or premature opening of the proposals submitted.
- 6.4 Technical proposals shall be submitted in one (1) original envelope, clearly marked as technical proposal with two (2) additional copies and one (1) soft copy in the form of a CD or USB flash drive. Technical proposals (original, copies and soft copy) must be sealed in a specially marked envelope/package labelled:

**RFP No (RFP/2019/S/003) – Provision of consultancy services to undertake the independent assessment of GCF's Environmental and Social Safeguards – TECHNICAL PROPOSAL-** (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 No (RFP/2019/S/003) – Provision of consultancy services to undertake the independent assessment of GCF’s Environmental and Social Safeguards – 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

Proposals can also be sent via email to the following email address:  
[procurement@gcfund.org](mailto:procurement@gcfund.org)

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

**RFP No (RFP/2019/S/003) – Provision of consultancy services to undertake the independent assessment of GCF’s Environmental and Social Safeguards – TECHNICAL PROPOSAL- (name and address of proposer)**

The financial file should be named as follows:

**DO NOT OPEN– RFP No (RFP/2019/S/003) – Provision of consultancy services to undertake the independent assessment of GCF’s Environmental and Social Safeguards – FINANCIAL PROPOSAL (name and address 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 (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.

## **7. Late proposals**

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

## **8. Opening of Technical Proposals**

8.1 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.

## **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. Please indicate if any team member is currently working or expected to work in 2019 for the GCF Secretariat.

## **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.

## **Appendix 1: Terms of Reference**

### **Terms of Reference of the Independent Assessment of the GCF's Environmental and Social Safeguards**

#### **TERMS OF REFERENCE**

Provision of consultancy services for the “Assessment of the Green Climate Fund’s Environmental and Social Safeguards” by the Independent Evaluation Unit of the Green Climate Fund

Contents:

- I. Aims
- II. Background
- III. Rational and Context
- IV. Objectives
- V. Scope of Work
- VI. Evaluation Questions and Methods
- VII. Structure of the evaluation team and responsibilities
- VIII. Timeline and Deliverables
- IX. Expertise
- X. Application Process
- XI. Advisory Committee

## I. Aims

The assessment has been approved by the GCF Board at its 21<sup>st</sup> meeting through Decision B.21/11. This document includes an overview of objectives, approach, deliverables and timeline for the assessment of Environmental and Social Safeguards (ESS), including the Environmental and Social Management System (ESMS) of the GCF.

## II. Background

The GCF is a multilateral fund created to make significant and ambitious contributions to the global efforts to combat climate change. The GCF contributes to achieving the objectives of the United Nations Framework Convention on Climate Change (UNFCCC) and the Paris Agreement. In the context of sustainable development, the GCF aims to promote a paradigm shift towards low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas emissions and to adapt to climate change, while accounting for their needs and supporting particularly those that are vulnerable to the adverse effects of climate change. The GCF is governed by a Board, composed of an equal number of members from developed and developing countries. It is operated by an independent Secretariat headed by an Executive Director.

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

The IEU has several **objectives**:

- a) Informing decision-making by the Board and identifying and disseminating lessons learned, contributing to guiding the GCF and stakeholders as a learning institution, providing strategic guidance;
- b) Conducting periodic independent evaluations of the GCF performance to objectively assess the results of the GCF and the effectiveness and efficiency of its activities;
- c) Providing evaluation reports to the Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC) and the Paris Agreement for purposes of periodic reviews of the Financial Mechanism.<sup>1</sup>

The IEU has a mandate for both discharging an accountability function and supporting a learning function.<sup>2</sup> These are central to the GCF being a learning organization as laid out in its Governing Instrument and its initial strategic plan.<sup>3</sup> The **responsibilities of the IEU** are as follows:

- a) Evaluation: The IEU will undertake independent overall, portfolio, country, thematic, programme evaluations that inform the GCF strategic result areas.<sup>4</sup> In key cases, it will also

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<sup>1</sup> FCCC decision 5/CP.19, annex, paragraph 20. The Conference of Parties to the UNFCCC provides the following guidance on the function of the IEU: “The reports of the GCF should include any reports of the independent evaluation unit, including for the purposes of the periodic reviews of the financial mechanism of the Convention”.

<sup>2</sup> GCF/B.16/18.

<sup>3</sup> GCF/B.12/20, annex I.

<sup>4</sup> GCF/B.05/03, annex I.

support and undertake project evaluations. The IEU will use relevant and innovative methods and an independent peer-review mechanism that will provide guidance on independent evaluations. The vision, criteria and guidelines for these will be laid out in the independent evaluation policy. The IEU is also mandated to independently peer review and attest the quality of the GCF self-evaluation;<sup>5</sup>

- b) Advisory and capacity support: The IEU is required to advise the Board by synthesizing findings and lessons learned from its evaluations. These findings and lessons learned are expected to also inform the Executive Director of the Secretariat and other GCF stakeholders.<sup>6</sup> The IEU will engage closely with the independent evaluation units of intermediaries and implementing entities of the GCF, including National Designated Authorities (NDAs) and Accredited Entities (AEs). It will provide support to catalyse learning and build and strengthen the NDAs and AEs evaluation capacity. It will also provide guidelines and support evaluation-related research that helps produce rigorous evidence in the GCF result areas;
- c) Learning: The IEU will support the GCF in its learning function by ensuring that recommendations from independent evaluations are incorporated into the Secretariat's functioning and processes. This includes recommending possible improvements to the GCF performance indicators and its initial results framework, after accounting for international experience and the results of the evaluation;<sup>7</sup>
- d) Engagement: The IEU will actively participate in relevant evaluation networks to ensure that it is at the frontier of evaluation practice. The IEU will involve its own staff and staff from the NDAs and AEs in evaluations wherever feasible and appropriate.<sup>8</sup> In addition, the IEU will support knowledge hubs of low-emission and climate-resilient pathways.<sup>9</sup>

### III. Rationale and Context

In carrying out the Fund's mandate of promoting a paradigm shift towards low-emission and climate-resilient development pathways, the GCF will effectively and equitably manage environmental and social risks and impacts, and improve outcomes of all the GCF-financed activities. The Governing Instrument for the Green Climate Fund stipulates on the Environmental and Social Safeguards (ESS) that:

*“The Board will agree on and adopt best practice environmental and social safeguards, which shall be applied to all programmes and projects financed using the resources of the Fund.”*<sup>10</sup>

The Governing Instrument notes furthermore that:

*“The Fund will support the strengthening of capacities in recipient countries, where needed, to enable them to meet the Fund's environmental and social safeguards, based on modalities that shall be developed by the Board.”*<sup>11</sup>

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<sup>5</sup> GCF/B.12/12; GCF/B.12/20.

<sup>6</sup> GCF/B.06/09, annex III.

<sup>7</sup> GCF/B.06/09, annex III.

<sup>8</sup> Ibid.

<sup>9</sup> GCF/B.05/03, annex I.

<sup>10</sup> FCCC/CP/2011/9/Add/, Decision 3/CP.17/ Annex (2), 65.

<sup>11</sup> FCCC/CP/2011/9/Add/, Decision 3/CP.17/ Annex (2), 66.

The Board requested the Secretariat to develop an Environmental and Social Management System (ESMS) for the GCF.<sup>12</sup> An ESMS is a set of management processes and procedures that allow the GCF to identify, analyse, avoid, control, and minimize the potential adverse environmental and social impacts of its activities, maximize environmental and social benefits, and improve the environmental and social performance of the GCF and its activities consistently over time. The Board further identifies the key elements of the ESMS, including the Environmental and Social Policy, the interim Environmental and Social Safeguards (ESS) standards, and management processes and procedures, including organizational capacity and functions.<sup>13</sup>

An ESMS is defined as an overarching framework for achieving improvements in environmental and social outcomes while addressing any unintended adverse impacts of the GCF-financed activities. The ESMS provides an opportunity for the GCF to incorporate environmental and social considerations into its decision-making and operations in ways that it identifies opportunities to “do good” by improving environmental and social outcomes, going beyond the safeguard measures of “do no harm”.<sup>14</sup> An ESMS allows the GCF to integrate environmental and social considerations in a systematic, coherent and transparent manner, and at three entry points:

- (a) At the facilities and operations level, through the environmental and social management practices of the GCF, by avoiding and minimizing any adverse environmental impacts from its own activities and operations while promoting environmental and social sustainability, and ensuring institutional capacity and stakeholder involvement, among other things;
- (b) At the activities level, through environmental and social due diligence and risk assessment, and through a management framework tailored to the nature and scale of the activities and the magnitude of environmental and social risks and impacts; and
- (c) At the policy level, by establishing the policies and process for integrating sustainability considerations into the strategies and decisions.

The structure of the proposed ESMS has the following elements consistent with the decision B.07/02, para (n):

- a) An environmental and social policy that sets out the objectives, scope, principles, roles and responsibilities and general requirements to effectively manage environmental and social risks and impacts and improve outcomes. The policy presents the commitments of the GCF and articulates the principles to which the GCF will hold itself accountable;
- b) ESS standards which require that all potential environmental and social risks and impacts from the GCF-financed activities are identified, assessed and addressed through appropriately scaled management measures that avoid, where avoidance is not possible, minimize and mitigate residual impacts, and where such impacts cannot be avoided and mitigated, remedied, restored, or provided with adequate and equitable compensation;

The consideration of environmental and social safeguards plays an important role in the accreditation of entities. The Board agreed on a so-called fit-for-purpose accreditation approach that matches the nature, scale and risks of proposed activities to the application of the initial fiduciary standards and

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<sup>12</sup> GCF/B.07/02, (n).

<sup>13</sup> GCF/B.07/02, annex VI.

<sup>14</sup> GCF/B.19/06, 10.

interim Environmental and Social Safeguards.<sup>15</sup> While the fit-for-purpose accreditation approach is employed, the Board decided “*to aim to complete the process of developing the Fund’s own Environmental and Social Safeguards (ESS), which will build on evolving best practices, within a period of three years after the Fund becomes operational, and with inclusive multi-stakeholder participation.*”<sup>16</sup> The operationalization has not been defined further.

Based on the GCF’s Board documentation, the consideration and establishment of environmental and social safeguards are based on the following **main guiding principles. The ESMS links with existing frameworks and policies**<sup>17</sup>: In order to establish an effective and operational ESMS, the system “*must be able to harness GCF resources and existing policies*”<sup>18</sup>. The ESMS will be linked and implemented according to existing relevant policies and practices of the GCF, highlighted and further explained below.

1. **The ESS link to the Accreditation Framework:** Based on the initial guiding framework for the GCF accreditation process<sup>19</sup> and through the fit-for-purpose approach<sup>20</sup>, as mentioned above, the accreditation process considers the capacity, competency and track record of entities in applying their own environmental and social safeguards, and the consistency with the GCF’s interim ESS standards and other standards used, such as the IFC Performance Standards. According to the decision text, the accreditation process will review entities to determine if they have the capacity to implement the Fund’s interim ESS standards.<sup>21</sup> The applicant entity also needs to be able to evaluate the executing entities’ capacity and commitment to implement the Fund’s ESS standards.<sup>22</sup>
2. **The ESS link to the GCF’s Gender Policy and Action Plan:** The GCF Gender Policy and Action Plan, including the Gender Toolkit produced by the Secretariat, present the commitment of the GCF to efficiently contribute to gender equality and ultimately produce sustainable climate change results, outcomes and impacts.<sup>23</sup> Given this structure, the gender policy and action plan build a complement to the requirements laid out by the GCF interim ESS standards, particularly by enhancing equitable access to development benefits, gender responsiveness, and inclusiveness (social inclusion). The policy and action plan are applied in conjunction with the ESMS.
3. **The ESS link to the GCF’s Indigenous People’s Policy (IPP):** The IPP supports the GCF in incorporating considerations related to indigenous peoples into its decision-making while working towards the goals of climate change mitigation and adaptation.<sup>24</sup> This policy allows the Fund to examine, control, eliminate and reduce the adverse impacts of its activities on indigenous peoples in a consistent way and to improve outcomes over time, and is directly related to the PS 7 of the IFC Performance Standards.

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<sup>15</sup> GCF/B.07/02, (j).

<sup>16</sup> GCF/B.07/02, (d).

<sup>17</sup> GCF/B.19/06, 16.

<sup>18</sup> Ibid.

<sup>19</sup> GCF/B.07/02, annex I.

<sup>20</sup> GCF/B.08/03, annex II.

<sup>21</sup> GCF/B.07/11.

<sup>22</sup> This process is described further in GCF/B.07/11, annex I.

<sup>23</sup> GCF/B.09/11, annexes XIII and XIV.

<sup>24</sup> GCF/B.15/01.

4. **The ESS link to the GCF’s Risk Management Framework:** The Risk Management Framework looks at private and public sector risks, the risk registers and appetite statements for the GCF Funding Proposals. In particular, the risk register acknowledges the ESS interim standards in mitigating risks, in particular in reference to compliance failure.
5. **The ESS are considered for the Simplified Approval Process:** The Simplified Approval Process (SAP) for activities proposed for the GCF funding entails full consideration of the ESMS, particularly the ESS standards, ensuring that the appropriate environmental and social requirements are met by activities eligible under such approval process.<sup>25</sup>
6. **The ESS are considered by the Independent Redress Mechanism:** Established under the Governing Instrument of the GCF, the IRM addresses grievances and complaints by communities and people. Such grievance on adverse impacts that result or may result from the GCF activities and the omission to follow operational policies and procedures, including the ESS standards, can be filed through the IRM.

#### IV. Objectives

During the twenty-first meeting of the GCF Board, the 2019 work plan of the Independent Evaluation Unit (IEU) was approved, which lays out the different independent evaluations to be conducted in 2019. One of the evaluations to be conducted by the Independent Evaluation Unit will be the independent assessment of the Environmental and Social Safeguards (ESS) of the Green Climate Fund.<sup>26</sup>

Furthermore, the GCF’s Environmental and Social Policy states that the ESMS should be linked to the GCF evaluation process and the Independent Evaluation Unit. It indicates that “*evaluations may be undertaken on the effectiveness of implementing the GCF ESS standards.*”<sup>27</sup>

The ESS assessment seeks to provide the Board, Secretariat, Management and all other stakeholders with information on how well the current ESS framework and ESM system serve to:

- a) Prevent, mitigate and manage potential adverse environmental and social impacts of GCF activities, programmes and projects; and
- b) Improve the environmental and social performance of the Fund and its portfolio over time; and
- c) What the results have been in respect to the design and implementation of GCF projects.

#### Evaluation Criteria

The ESS assessment considers the evaluation criteria mentioned in the TOR of the IEU, and focuses on the following selection of evaluation criteria:

- (a) Coherence,
- (b) Relevance,
- (c) Effectiveness,

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<sup>25</sup> GCF/B.18/06, annex X

<sup>26</sup> GCF/B.21/13, 5 (c).

<sup>27</sup> GCF/B.19/06, 16 (k).

- (d) Efficiency,
- (e) Country ownership and recipients' needs
- (f) Sustainability

## V. Scope of Works

Under this TOR, the selected firm shall carry out the following mandates (please refer to Timeline for the details):

- a. Deliver an Approach Paper: The firm will deliver a detailed Approach Paper (in line with the formatting guidelines provided by the IEU), that outlines, among others, the main report and the annexes, and explains the methodology, the tools, instruments, protocols, and the expected process that the assessment will have to follow within a detailed and time-intensive delivery timeline.
- b. Attend key meetings, conduct online surveys and webinars, perform data collection in sample countries and with key informants and Analyze the data collected
- c. Submit the finalized Approach Paper: Once initial consultations, initial ground work including country visits have been undertaken, and comments will have been received from the IEU, the firm will present the finalized approach paper.
- e. Submit country reports: based on the consultations and feedback received during or related to country visits, the team will submit country reports and country case studies after the country missions have been completed (finalization date of the data set).
- f. Submit interim (learning) products: Specific studies will summarize methods and findings from different parts or stages of the assessment and be methods-specific. These products will help inform the various drafts of the report. Interim products may also be made public along the road. The firm will produce these interim products, as agreed upon with the IEU, during the implementation phase.
- g. Submit final report: The firm shall draft the zero-draft of factual report, including all annexes and appendices as stipulated in the approach paper, and then submit the complete final report with key findings and actionable recommendations, including those that reflect key strategic and learning messages and inputs from IEU.

## VI. Evaluation Questions and Methods

To the address the evaluation criteria laid out in the section IV Objective, the evaluation team, consisting of the consultants of the selected firm and IEU, will look at the GCF's Environment and Social Safeguards from five perspectives:

- a) **The GCF structure:** The ESS framework, policies and standards employed by the GCF vis-à-vis other policies, and ESS policies used in the wider climate change landscape.
- b) **The process and operationalisation of the GCF,** based on the accreditation process, capacity, readiness and preparatory programmes to establish country ownership, and link made at the country level, including in respect to the National Designated Authorities (NDAs).
- c) **The process of GCF funding proposals,** both approved and in the pipeline, in particular on design, development and approval of the GCF Funding Proposals.

- d) **Activities under implementation:** The process and progress of the GCF-funded activities, projects and programmes under implementation.
- e) **Likely results and impacts of the GCF's investments:** likely results in references to activities, projects and programmes under implementation.

Given the IEU's evaluation criteria, the different perspectives focus on a particular subset of evaluation criteria:

*Table 1 Evaluation question vs. evaluation criteria*

	COHERENCE	RELEVANCE	EFFECTIVENESS	EFFICIENCY	COUNTRY OWNERSHIP,	SUSTAINABILITY
How coherent and relevant are the GCF's ESS to other GCF policies and frameworks, notably the IF, Risk MF, compliance policy, gender policy, RMF, MAF?	X	X				
How efficient and effective have the GCF's ESS/ESMS been in preventing/managing/mitigating adverse environmental/social impacts and in improving environmental and social benefits of GCF operations in building capacities of the NDAs and AEs?			X	X	X	X
How efficient and effective have the GCF's ESS/ESMS been in preventing/managing/mitigating adverse environmental/social impacts and in improving environmental/social benefits in the GCF project development and approval?			X	X	X	
How efficient and effective have the GCF's ESS/ESMS been in preventing/managing/mitigating adverse environmental/social impacts and in improving environmental/social benefits during the implementation of GCF projects?	X		X	X		X

Derived from the main objective of this assessment, it will address the following set of four main evaluation questions and subsequent sub-questions.

1. How coherent and relevant is the GCF's ESS to other GCF policies and frameworks, notably the IF, Risk MF, Compliance Policy, Gender Policy, RMF and MAF?
  - a. To what extent is the current the GCF's ESS policy and action plan relevant to and coherent with ESS policies applied in the international climate change landscape (OECD, UNFCCC/COP, GEF, AF, CIF, WB)?
  - b. To what extent does the current ESS policy represent the extent of what should be covered in an ESS policy? Where does the current GCF ESS policy reflect the IFC Performance Standards?
  - c. To what extent have the GCF's organizational structure and processes facilitated the effective and efficient implementation of safeguard policies (ESS, IP and gender)?
  - d. To what extent has the implementation of the ESS been affected by other GCF policies, frameworks and guidelines?

- e. Are the responsibilities for all stakeholders on the ESS and ESMS clearly defined (by the GCF Secretariat) and communicated (to stakeholders)?
2. How efficient and effective have the GCF's ESS/ESMS been in preventing/managing/mitigating adverse environmental/social impacts and in improving environmental and social benefits of GCF operations in building capacities of the NDAs and AEs?
  - a. How effectively have the ESS/ESMS been applied prior, during and after the accreditation of entities/ accreditation process?
  - b. How effectively have the ESS been applied during national stakeholder consultations convened by the NDA?
  - c. To what extent do the GCF Implementing Entities (IEs)/Executing Entities (EEs) and Accredited Entities (AEs) demonstrate the capacity to effectively enforce safeguards?
  - d. What support, in the form of Readiness Preparatory Support Programme and PPF grants, has been provided to NDAs to help increase capacity to apply ESS, and get us ready for ESS?
  - e. To what extent do national strategies, NAPs and country programmes reflect ES safeguards and align with the GCF's ESS?
3. How efficient and effective have the GCF's ESS/ESMS been in preventing/managing/mitigating adverse environmental/social impacts and in improving environmental/social benefits in the GCF project development and approval? (from concept notes, funding proposals and SAP to iTAP)
  - a. How effectively have the GCF's ESS been applied during GCF project development?
  - b. How effectively have the GCF's ESS been applied in Enhanced Direct Access, which devolves decision-making to the accredited entity while ensuring strong country ownership and multi-stakeholder engagement (direct involvement of civil society and other stakeholders)?
  - c. How effectively and efficiently have the GCF's ESS been applied during approval of the project at GCF (including GCF Secretariat, iTAP and Board)?
  - d. How well do funding proposals reflect the ESS? And, to what extent has the application of the ESS changed over time in funding proposals?
  - e. To what extent does the application of the ESS differ between FPs and SAPs?
4. How efficient and effective have the GCF's ESS/ESMS been in preventing/managing/mitigating adverse environmental/social impacts and in improving environmental/social benefits during the implementation of GCF projects?
  - a. How effectively have the ESS been applied at the project level in projects under implementation?
  - b. To what extent have the GCF's ESS helped to shift from a "do not harm" to a "do good" attitude? To what extent should the safeguard policy not just be about safeguarding but also about enhancing environmental quality?

- c. To what extent are environmental and social adverse impacts/benefits incorporated and expressed in the GCF's logic models?
- d. To what extent have the GCF's ESS helped to strengthen countries'/NDA's capacity to manage/mitigate social and environmental risks?
- e. To what extent has the GCF Independent Redress Mechanism helped to address emerging concerns/complaints and to mitigate risks related to the ESS?
- f. Has the ESMS been used effectively and continuously to monitor social and environmental risks and benefits?
- g. To what extent do adaptation and mitigation (GCF themes) show differences in the application of ES safeguards? And, is there a difference between approved and implemented GCF projects?

To address these questions, the IEU will use a mix of complementary methods, including document reviews of Board documentation, frameworks, policies, guidelines, and administrative procedures, portfolio analysis of the GCF's funding proposals, portfolio analysis of the Annual Progress Reports (APRs), analysis of GCF processes, consultations within the Fund's Secretariat, in particular the Division for Country Planning (DCP), Division for Mitigation and Adaptation (DMA), Private Sector Facility (PSF), Office of Internal Audit (OIA), Office for Risk Management and Compliance (ORMC) and Office of Portfolio Management (OPM), consultations with Board members, Advisors to Board Members, Active Observers of the Civil Society Organisations (CSOs) and Private Sector Organisations (PSOs), local CSOs/PSOs, Regional Advisors, NDAs, AEs and IEs/EEs and other relevant stakeholders, surveys, in particular perception surveys, interviews via BlueJeans/Skype/telephone, consultation with the UNFCCC and other institutions of the climate change landscape. The evaluation team will use and expand the IEU database which was first established in 2018 to build on evidence gathered through previous IEU evaluations and other evaluative works. The evaluation team will also review documentation/reports/complaints that have been filed through the IRM and other feedback/complaint mechanism and the CSO reports that have been produced outside the GCF structure. The table below provides a more detailed overview of the methods being employed for the different modules and evaluation questions.

Table 2 Evaluation questions vs. methods used

	DESK REVIEW OF BOARD DOCUMENTS	DESK REVIEW OF FUNDING PROPOSALS	DESK REVIEW OF SECRETARIAT'S REVIEWS (E.G. ACCREDITATION)	REVIEW OF GCF PROCESSES (ACCRED., ITAP, SAPs, FPS, CNS,	CONSULTATION WITH SECRETARIAT	CONSULTATION WITH CSOs, PSOs, AOs, BMS, ADVISORS, RAs	CONSULTATION WITH NDAs, LOCAL STAKEHOLDERS	CONSULTATION WITH AES, EES/IES	SURVEYS/ PERCEPTION SURVEYS	PORTFOLIO ANALYSIS	TIME LAG ANALYSIS	APR ANALYSIS AND IMPLEMENTATION ANALYSIS	REVIEW OF POLICIES AND FRAMEWORKS/ BENCHMARKING	REVIEW OF GCF POLICIES, FRAMEWORKS, GUIDELINES, AIS	REVIEW OF NAPS, PPFs, COUNTRY PROGRAMMES, NATIONAL	IEU EVALUATIONS AND IEU DATABASE	COUNTRY CASE STUDIES AND FIELD CASE STUDIES OF GCF PROJECTS	REVIEW OF IRM AND FEEDBACK/ COMPLAINT MECHANISMS	REVIEW OF ENHANCED DIRECT ACCESS	REVIEW OF BOARD MEETING DOCUMENTATION, CSO REPORTS/	CSO REPORTING OUTSIDE THE GCF
1. How coherent and relevant are the GCF's ESS to other GCF policies and frameworks?	X		X	X	X	X			X				X	X							
2. How efficient and effective have the GCF's ESS/ESMS been in preventing (...) mitigating adverse ES impacts and in improving ES benefits of GCF operations in building capacities of the NDAs and AEs?	X		X	X	X	X	X	X	X	X	X			X	X	X	X				
3. How efficient and effective have the GCF's ESS/ESMS been in preventing (...)	X	X	X	X		X	X	X		X	X								X	X	



mitigating adverse ES impacts and in improving ES benefits in the GCF project development and approval?																				
4. How efficient and effective have the GCF's ESS/ESMS been in preventing (...) mitigating adverse ES impacts and in improving ES benefits during implementation?	X	X		X	X	X	X	X	X	X	X			X		X	X			X

Source: Authors categorisation of methods according to the evaluation protocol, see Appendix A.

The assessment will produce recommendations concerning GCF processes, policies, frameworks, guidelines, design and adjustment opportunities for funding and accreditation proposals that provide strategic guidance to the GCF Board. The assessment will also highlight lessons learnt that will help the Secretariat to adapt the Fund’s activities, investments and procedures.

## VII. Structure of the evaluation team and responsibilities

The evaluation team that will work on the ESS assessment will comprise and be led and managed by IEU senior staff, under the direction and overall responsibility of the Head of the IEU, and include the IEU data team, the consultancy firm to be contracted under this TOR and other consultants and firms contracted by the IEU.

The responsibilities of the consultancy firm under this TOR will be involve in

- a. The development of the approach paper including the evaluation matrix, annotated review of documents, datasets, analytical tools (instruments, protocols), and the final report outline;
- b. The finalization of the approach paper, based on desk reviews, benchmarking study, scoping missions, workshops and consultations, both in Songdo, online and in country;
- c. The collection and cleaning of data required for the ESS assessment, based on sampled countries, key informants and focus groups;
- d. The development of country case studies;
- e. The triangulation and validation of the findings and subsequent drafting of the zero-draft and intermediate reports that will be leading to the final report including the conclusions, recommendations, executive summary and all annexes,
- f. And the development of learning products to be detailed in the approach paper.

The firm will be particularly expected to add significant value in terms of the lessons to be learned and the strategic, formative aspects of the ESS assessment that will derive from - and be based on - the evidence gathered during the assessment.

## VIII. Timeline and Deliverables

The EES assessment will combine different components of work, such as: a framework and policy review, benchmarking of the safeguards in the climate change landscape, country case studies of GCF-funded projects and programmes, in particular GCF projects under implementation, consultations with the GCF Secretariat, Active Observers, CSOs & PSOs and other stakeholders, and GCF portfolio analysis. The ESS assessment report will be presented to the Board in October 2019, thus this work needs to be completed and submitted to the Board by no later than 15 September 2019.

The timeline for this assessment and key deliverables are as follows:

*Table 3 Timeline and Deliverables*

DATE	TASKS	KEY DELIVERABLES
25 <sup>th</sup> Jan - 25 <sup>th</sup> Feb 2019	Approach paper after scoping of the ESS assessment: using relevant information provided by the IEU, initial portfolio analysis, board and other documentation reviewed, survey protocol finalized, selection of target countries finalised, and evaluation criteria discussed/finalized with IEU.	Approach paper by the firm

24 <sup>th</sup> -28 <sup>th</sup> Feb 2019	Consultations with the CSOs and Active Observers, Board Members/Advisors, B.22 side event (GCF Board Meeting)	In consultation with firm and IEU
Ongoing - 25 <sup>th</sup> March 2019	Benchmarking vs. other institutions and their ESS policy/framework: other institutions - benchmarking: WB, CIF, GEF, AF, NAMA Fac; IADB, ADB, AfDB, EBRD, EIB, UNDP	Report on benchmarking (as part of the finalized version of the approach paper) by the firm
Ongoing - 25 <sup>th</sup> Mar 2019	Consultation with RAs in Africa, Asia, LA and SIDS	Report on consultations with RA (as part of the finalized version of the approach paper) by the firm
Ongoing - 1 <sup>st</sup> May 2019	KIIs, FGDs and online surveys with stakeholder groups, such as CSOs, PSOs, AEs, NDA	
25 <sup>th</sup> Mar 2019	Desk review and finalisation of the approach paper, including a presentation on initial results.	Finalized approach paper including initial results by firm
1st April - 15th June 2019	Report writing period starts (in parallel to other components: country visits, portfolio analysis, consultations with stakeholders, surveys)	
1st March – 15th June 2019	Country visits/Country case studies on ESS project design and implementation based on GCF Annual Progress Reports (4-5 countries)	Country reports/draft case studies done by the team, including validation of country cases with stakeholders
30th Mar 2019	Update/Follow-up/Analysing data from surveys (started in Jan 2019)	Report on survey results done by the team
15th Jun 2019	Updating of IEU database based on GCF Annual Progress Reports from the AEs done jointly IEU and firm (Cut-off date for data)	Note: Data as of 15th Jun 2018 (cut-off date for all data)
1st May – 1st July 2019	Data Analysis	Report/Debrief on portfolio and other analysis results done by team
15th July 2019	Zero draft report ready/ factual report	Zero draft report/ factual report ready by firm
15th Jul - 1st Aug 2019	Internal IEU review process	
1st Aug 2019	Draft report shared with DCP, OPM, DMA, PSF heads	
1-15 Aug 2019	Presentation of emerging findings GCF/Secretariat (Validation)	
15th Aug 2019	Discussion document (draft assessment report)/ factual report plus recommendations	Draft Factual report plus recommendations ready
15 Aug - 15 Sep 2019	Webinars 2x to CSOs	
15 Aug - 15 Sep 2019	Webinars 2x to Board and Advisors	
15 Aug - 15 Sep 2019	Development of Scenarios and time for discussions on Management response for Secretariat	
15th Sep 2019	Final report to Board; submission to OGA (21 days in advance)	Final report by firm
15th - 17th Oct 2019	Board meeting B.23	

*Table 4 Deliverables for Payments*

#	DELIVERABLE FOR PAYMENTS	EXPECTED DATES OF PAYMENT	PAYMENT (% OF CONTRACTUAL PRICE)
1	Development of (draft) approach paper	25 February 2019	20
2	Final approach report, including a benchmarking report	25 March 2019	20
3	Country reports/ Country case studies (4-5 countries)	15 June 2019	15
4	Zero draft report	15 July 2019	15
5	Final report	15 September 2019	30

## **IX. Expertise**

A qualified consultancy firm should have the following attributes to undertake this ESS assessment successfully:

- (a) strong in-team expertise and experience in environmental and social safeguards and policies, including but not limited to indigenous people policies, gender policies, ESS policy and risk management frameworks and policies.
- (b) strong expertise and experience in climate change and climate finance.
- (c) in-depth experience with mixed methods, in addition to pure qualitative and quantitative methods, process tracing, meta-analyses, and counterfactual methods.
- (d) at a minimum extreme familiarity with tools referring to the methods above, such as FGDs, KIIs and synthesis tools.
- (e) in-team expertise with environmental and social safeguards, in particular, the IFC Performance Standards and the World bank ESS standards.
- (f) qualified database search specialists and access to relevant databases.
- (g) be able to commit that they will be able to produce a highly credible, well-written evaluation report in the budget and time period requested. The evaluation report will be fully owned by and a product of the IEU.

## **Annex A – Evaluation Matrix of the Independent Evaluation of the GCF’s Environmental and Social Safeguards**

A detailed Excel table has been attached to this document.

## **Annex B – List of relevant Board documents and other documents**

The following list highlights some of the relevant documentation, but is not exhaustive.

### **Board decisions and documents:**

- (a) GCF's Environmental and Social Policy
- (b) GCF's interim Environmental and Social Safeguard Standards
- (c) Gender Policy
- (d) Gender Action Plan
- (e) Indigenous People Policy
- (f) GCF Secretariat's Accreditation Review
- (g) Online Accreditation System (OAS), secure data rooms
- (h) Simplified Approval Process (SAP) database
- (i) GCF Secretariat's Accreditation Review
- (j) GCF Secretariat's Approach paper on Environmental and Social Safeguards (B.22 and early 2019)
- (k) TOR of the Independent Redress Mechanism

### **AE/project documents:**

- (l) Environmental and Social Impact Assessments (ESIA)
- (m) Environmental and Social Management Plan (ESMP)
- (n) Environmental and Social Management Framework (ESMF)
- (o) Resettlement Action Plans (RAP)
- (p) AE disclosure reports and others
- (q) Annual Progress Reports, March 2018 (18), March 2019 (31)

### **Other documents:**

- (r) World Bank Environmental and Social Safeguards 2018
- (s) World Bank Group Environment, Health and Safety Guidelines
- (t) IFC Performance Standards on Environmental and Social Sustainability (2012)
- (u) International Finance Corporation's Guidance Notes: Performance Standards on Environmental and Social Sustainability (2012)
- (v) GEF, UNDP, CIF, MFs, etc. policies/guidelines etc.
- (w) ISO standards, e.g. 14001, 9001, 26000

**Appendix 2**  
**PROPOSAL SUBMISSION FORMS**

**TECH FORMS**

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

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[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-5: Team Composition and Task Assignments**

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Professional Staff				
Name of Staff	Firm	Area of Expertise	Position Assigned	Task Assigned

---

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

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1. **Proposed Position** [*only one candidate shall be nominated for each position*]: \_\_\_\_\_
  
2. **Name of Firm** [*Insert name of firm proposing the staff*]: \_\_\_\_\_  
\_\_\_\_\_
  
3. **Name of Staff** [*Insert full name*]: \_\_\_\_\_
  
4. **Date of Birth:** \_\_\_\_\_ **Nationality:** \_\_\_\_\_
  
5. **Education** [*Indicate college/university and other specialized education of staff member, giving names of institutions, degrees obtained, and dates of obtainment, mention any academic publications if you have*]: \_\_\_\_\_  
\_\_\_\_\_
  
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(Firms/Orgs): \_\_\_\_\_  
Positions held: \_\_\_\_\_

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

**13. Certification:**

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

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

Full name of authorized representative: \_\_\_\_\_

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

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

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 <sup>1</sup>	Weeks <sup>2</sup>												
		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.

**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<sup>1</sup>]. 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<sup>2</sup>:

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**


---

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

Break down of Fees and expenses

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

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

**Form FIN-3: Breakdown of Remuneration<sup>1</sup> (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 <sup>3</sup>	Staff-daily Rate
<b>Foreign Staff</b>		
		[Home]
		[Field]
<b>Local Staff</b>		

- 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 two-stage procedure, with evaluation of the technical proposal being completed prior to any financial proposal being opened and evaluated. The financial proposal will be considered only 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 and relevant delivered high-quality evaluations;
    - An overall statement demonstrating how the team meets the required qualifications as laid out in the eligibility section IV, Annex I , with references to any publications as needed 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)
8. 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**

4. 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**

	<b>Criteria</b>	<b>Sub-score</b>	<b>Score</b>
<b>1</b>	<b>Technical</b>		35
	Expertise of the firm in providing strong, continuous and dedicated support for the assessment of environmental and social safeguard standards, based on the present Terms of Reference, with specific emphasis on learning and formative reviews, through innovative approaches and a focus on arriving at strategic lessons, conclusions and recommendations for informing the GCF future in a formative way.	10	
	Minimum five years' experience with offering comprehensive useful evaluations or reviews of the type specified above, with special emphasis on the environmental and climate change sectors; and in-depth understanding of environmental and social safeguards and policies, including but not limited to indigenous people policies, gender policies and gender action plan, ESS policy, ESS standards and risk management frameworks and policies.	10	
	Strong and demonstrated expertise in environmental and social safeguards, gender and indigenous peoples' policies and framework; and expertise in quality management standards at international organizations.	15	
<b>2</b>	<b>Methodology and Workplan</b>		25
	The scope, magnitude, urgency and challenges of the overall task are fully and well understood, are properly addressed and correspond closely to the present TOR	10	
	The technical proposal, tools and work plan are well defined and are relevant and correspond to the assignment of this TOR, including the essential need to perform the task and deliver within very the short, compressed, and intensive time frames	15	
<b>3</b>	<b>Personnel</b>		40
	Strong, proven team leader's capacity to directly, energetically and creatively lead and organize the process under tight time constraints and manage complex teams and evaluations, with emphasis on complex thematic and strategic evaluations. This includes the extensive evaluation experience and capacity, time availability, and willingness of all members that will be proposed as part of the firm.	15	
	Demonstrated excellent communication skills, ability to work with tight deadlines and history of timely delivery of use-worthy, added value, strategic documents.	10	
	Demonstrated appropriate team members and arrangements: <ul style="list-style-type: none"> <li>- The proposed team is appropriately composed, including the expertise and experience of the proposed key team members, and structure of the team</li> <li>- Demonstrated ability of key staff to work and analyze quanti-/qualitative data by using well recognized methods, especially as related to statistical data, meta analyses, syntheses, process tracing, theory of change, survey design, field probing and investigation, field and other interviews and lead focus groups while recognizing biases, and behavioral science methods.</li> </ul>	15	
	<b>TOTAL</b>		<b>100</b>

Technical proposals that score at least 75 points out of 100 will be considered as qualified for the review of 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**

<b>Name:</b>
--------------

**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



**Appendix 5  
Acknowledgment Letter**

Dear Sir/Madam,

We, the undersigned, acknowledge receipt of your Request for Proposal (RFP) No. 2017/C/020 dated 23 November, 2017, and hereby confirm that we:

INTEND                       DO NOT INTEND

to submit a proposal to the IEU/GCF Green Climate Fund (GCF) by the deadline date of 19 February 2019, and that we:

INTEND                       DO NOT INTEND

to send one (1) authorized representative to observe the public opening procedure on 19 February 2017, 17:30 Hrs Korean Time.

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

Name of Authorized Representative: \_\_\_\_\_

Signature: \_\_\_\_\_  
Title: \_\_\_\_\_ Name \_\_\_\_\_ and  
Address of proposer: \_\_\_\_\_

Telephone: \_\_\_\_\_  
Facsimile: \_\_\_\_\_

If you do not intend to submit a proposal to the IEU/GCF, please indicate the reason:

- We do not have the capacity to submit a proposal at this time.
- We cannot meet the requirements for this RFP.
- We do not think we can make a competitive offer at this time.
- Other (please specify): \_\_\_\_\_

Kindly return this acknowledgement letter immediately via e-mail to [procurement@gcfund.org](mailto:procurement@gcfund.org)

### 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.

	<b>Event</b>	<b>Responsible Party</b>	<b>Date (and time, KST*)</b>
1	Issuance of RFP	GCF	29 January, 2019
2	Last day to send completed Acknowledgement Letter of RFP Receipt (this is not compulsory but desirable)	Tenderer	11 February 2019
3	Last date for requests for clarification of the RFP	Tenderer	07 February, 2019
4	Last date to reply to questions received/ Last date for amendment	GCF	11 February, 2019
5	Date by which proposal must be received in Korea by GCF	Tenderer	19 February 2019; 17:00 Hrs Korean Time
6	Date of opening of Technical Proposals	GCF	19 February 2019; 17:30 Hrs Korean Time
7	Notice of successful proposer	GCF	04 March 2019 (estimate)
8	Contract signing	GCF/Tenderer	11 March 2019 (estimate)
9	Work start	Tenderer	As specified in the contract.

\* 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.