

United Nations Capital Development Fund



REQUEST FOR PROPOSAL

RFP No.: **RFP/ UNCDF/ 66544**

Project: Long – Term Agreement with a pool of specialized evaluation firms to implement evaluations under UNCDF's Evaluation Plan

Country: Global, with a particular focus on Least Developed Countries in Africa and Asia

Issued on 4 June, 2020

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Section 1. Letter of Invitation

The United Nations Capital Development Fund (UNCDF) hereby invites you to submit a Proposal to this Request for Proposal (RFP) for the above-referenced subject.

This RFP includes the following documents and the General Terms and Conditions of Contract which is inserted in the Bid Data Sheet (BDS):

- Section 1: This Letter of Invitation
- Section 2: Instruction to Bidders
- Section 3: Bid Data Sheet (BDS)
- Section 4: Evaluation Criteria
- Section 5: Terms of Reference
- Section 6: Returnable Bidding Forms
 - o Form A: Technical Proposal Submission Form
 - o Form B: Bidder Information Form
 - o Form C: Joint Venture/Consortium/Association Information Form
 - o Form D: Qualification Form
 - o Form E: Format of Technical Proposal
 - o Form F: Financial Proposal Submission Form
 - o Form G: Financial Proposal Form

If you are interested in submitting a Proposal in response to this RFP, please prepare your Proposal in accordance with the requirements and procedure as set out in this RFP and submit it by the Deadline for Submission of Proposals set out in Bid Data Sheet.

Please acknowledge receipt of this RFP by sending an email to Uncdf.procurement@uncdf.org, indicating whether you intend to submit a Proposal or otherwise. You may also utilize the "Accept Invitation" function in e-Tendering system, where applicable. This will enable you to receive amendments or updates to the RFP. Should you require further clarifications, kindly communicate with the contact person/s identified in the attached Bid Data Sheet as the focal point for queries on this RFP.

UNCDF looks forward to receiving your Proposal and thank you in advance for your interest in UNCDF procurement opportunities.

Approved by:

Andrew Fyfe

Name: Andrew Fyfe

Title: Evaluation Unit Head

Date: **June 4, 2020**

Section 2. Instruction to Bidders

A. GENERAL PROVISIONS	
1. Introduction	<p>1.1 Bidders shall adhere to all the requirements of this RFP, including any amendments in writing by UNCDF. This RFP is conducted in accordance with the UNCDF Programme and Operations Policies and Procedures (POPP) on Contracts and Procurement which can be accessed at https://popp.UNCDF.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d</p> <p>1.2 Any Proposal submitted will be regarded as an offer by the Bidder and does not constitute or imply the acceptance of the Proposal by UNCDF. UNCDF is under no obligation to award a contract to any Bidder as a result of this RFP.</p> <p>1.3 As part of the bid, it is desired that the Bidder registers at the United Nations Global Marketplace (UNGM) website (www.ungm.org). The Bidder may still submit a bid even if not registered with the UNGM. However, if the Bidder is selected for contract award, the Bidder must register on the UNGM prior to contract signature.</p>
2. Fraud & Corruption, Gifts and Hospitality	<p>2.1 UNCDF strictly enforces a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical or unprofessional practices, and obstruction of UNCDF vendors and requires all bidders/vendors observe the highest standard of ethics during the procurement process and contract implementation. UNCDF's Anti-Fraud Policy can be found at http://www.UNCDF.org/content/UNCDF/en/home/operations/accountability/audit/office_of_audit_andinvestigation.html#anti</p> <p>2.2 Bidders/vendors shall not offer gifts or hospitality of any kind to UNCDF staff members including recreational trips to sporting or cultural events, theme parks or offers of holidays, transportation, or invitations to extravagant lunches or dinners.</p> <p>2.3 In pursuance of this policy, UNCDF (a) Shall reject a proposal if it determines that the selected bidder has engaged in any corrupt or fraudulent practices in competing for the contract in question; (b) Shall declare a vendor ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines that the vendor has engaged in any corrupt or fraudulent practices in competing for, or in executing a UNCDF contract.</p> <p>2.4 All Bidders must adhere to the UN Supplier Code of Conduct, which may be found at https://www.un.org/Depts/ptd/about-us/un-supplier-code-conduct</p>
3. Eligibility	<p>3.1 A vendor should not be suspended, debarred, or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization. Vendors are therefore required to disclose to UNCDF whether they are subject to any sanction or temporary suspension imposed by these organizations.</p> <p>3.2 It is the Bidder's responsibility to ensure that its employees, joint venture members, sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by UNCDF.</p>

4. Conflict of Interests	<p>4.1 Bidders must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. Bidders found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Bidders, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this solicitation process, if they:</p> <ul style="list-style-type: none"> a) Are or have been associated in the past, with a firm or any of its affiliates which have been engaged by UNCDF to provide services for the preparation of the design, specifications, Terms of Reference, cost analysis/estimation, and other documents to be used for the procurement of the goods and services in this selection process; b) Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or c) Are found to be in conflict for any other reason, as may be established by, or at the discretion of UNCDF. <p>4.2 In the event of any uncertainty in the interpretation of a potential conflict of interest, Bidders must disclose to UNCDF, and seek UNCDF's confirmation on whether or not such a conflict exists.</p> <p>4.3 Similarly, the Bidders must disclose in their proposal their knowledge of the following:</p> <ul style="list-style-type: none"> a) If the owners, part-owners, officers, directors, controlling shareholders, of the bidding entity or key personnel are family members of UNCDF staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this RFP; and b) All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices. <p>Failure to disclose such an information may result in the rejection of the proposal or proposals affected by the non-disclosure.</p> <p>4.4 The eligibility of Bidders that are wholly or partly owned by the Government shall be subject to UNCDF's further evaluation and review of various factors such as being registered, operated and managed as an independent business entity, the extent of Government ownership/share, receipt of subsidies, mandate and access to information in relation to this RFP, among others. Conditions that may lead to undue advantage against other Bidders may result in the eventual rejection of the Proposal.</p>
B. PREPARATION OF PROPOSALS	
5. General Considerations	<p>5.1 In preparing the Proposal, the Bidder is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.</p> <p>5.2 The Bidder will not be permitted to take advantage of any errors or omissions in the RFP. Should such errors or omissions be discovered, the Bidder must notify the UNCDF.</p>
6. Cost of Preparation of Proposal	<p>6.1 The Bidder shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. UNCDF shall not be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.</p>
7. Language	<p>7.1 The Proposal, as well as any and all related correspondence exchanged by the Bidder and UNCDF, shall be written in the language (s) specified in the BDS.</p>
8. Documents	<p>8.1 The Proposal shall comprise of the following documents:</p>

Comprising the Proposal	<ul style="list-style-type: none"> a) Documents Establishing the Eligibility and Qualifications of the Bidder; b) Technical Proposal; c) Financial Proposal; d) Proposal Security, if required by BDS; e) Any attachments and/or appendices to the Proposal.
9. Documents Establishing the Eligibility and Qualifications of the Bidder	<p>9.1 The Bidder shall furnish documentary evidence of its status as an eligible and qualified vendor, using the Forms provided under Section 6 and providing documents required in those forms. In order to award a contract to a Bidder, its qualifications must be documented to UNCDF's satisfaction.</p>
10. Technical Proposal Format and Content	<p>10.1 The Bidder is required to submit a Technical Proposal using the Standard Forms and templates provided in Section 6 of the RFP.</p> <p>10.2 The Technical Proposal shall not include any price or financial information. A Technical Proposal containing material financial information may be declared non-responsive.</p> <p>10.3 Samples of items, when required as per Section 5, shall be provided within the time specified and unless otherwise specified by UNCDF, and at no expense to UNCDF</p> <p>10.4 When applicable and required as per Section 5, the Bidder shall describe the necessary training programme available for the maintenance and operation of the services and/or equipment offered as well as the cost to the UNCDF. Unless otherwise specified, such training as well as training materials shall be provided in the language of the Bid as specified in the BDS.</p>
11. Financial Proposals	<p>11.1 The Financial Proposal shall be prepared using the Standard Form provided in Section 6 of the RFP. It shall list all major cost components associated with the services, and the detailed breakdown of such costs.</p> <p>11.2 Any output and activities described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, as well as in the final total price.</p> <p>11.3 Prices and other financial information must not be disclosed in any other place except in the financial proposal.</p>
12. Proposal Security	<p>12.1 A Proposal Security, if required by BDS, shall be provided in the amount and form indicated in the BDS. The Proposal Security shall be valid up to thirty (30) days after the final date of validity of the Proposal.</p> <p>12.2 The Proposal Security shall be included along with the Technical Proposal. If Proposal Security is required by the RFP but is not found along with the Technical Proposal, the Proposal shall be rejected.</p> <p>12.3 If the Proposal Security amount or its validity period is found to be less than what is required by UNCDF, UNCDF shall reject the Proposal.</p> <p>12.4 In the event an electronic submission is allowed in the BDS, Bidders shall include a copy of the Bid Security in their proposal and the original of the Proposal Security must be sent via courier or hand delivery as per the instructions in BDS.</p> <p>12.5 The Proposal Security may be forfeited by UNCDF, and the Proposal rejected, in the event of any one or combination, of the following conditions:</p> <ul style="list-style-type: none"> a) If the Bidder withdraws its offer during the period of the Proposal Validity specified in the BDS, or; b) In the event that the successful Bidder fails:

	<p>i. to sign the Contract after UNCDF has issued an award; or</p> <p>12.6 to furnish the Performance Security, insurances, or other documents that UNCDF may require as a condition precedent to the effectivity of the contract that may be awarded to the Bidder.</p>
13. Currencies	<p>13.1 All prices shall be quoted in the currency or currencies indicated in the BDS. Where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:</p> <p>a) UNCDF will convert the currency quoted in the Proposal into the UNCDF preferred currency, in accordance with the prevailing UN operational rate of exchange on the last day of submission of Proposals; and</p> <p>b) In the event that UNCDF selects a proposal for award that is quoted in a currency different from the preferred currency in the BDS, UNCDF shall reserve the right to award the contract in the currency of UNCDF's preference, using the conversion method specified above.</p>
14. Joint Venture, Consortium or Association	<p>14.1 If the Bidder is a group of legal entities that will form or have formed a Joint Venture (JV), Consortium or Association for the Proposal, they shall confirm in their Proposal that : (i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the JV, Consortium or Association jointly and severally, which shall be evidenced by a duly notarized Agreement among the legal entities, and submitted with the Proposal; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNCDF and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.</p> <p>14.2 After the Deadline for Submission of Proposal, the lead entity identified to represent the JV, Consortium or Association shall not be altered without the prior written consent of UNCDF.</p> <p>14.3 The lead entity and the member entities of the JV, Consortium or Association shall abide by the provisions of Clause 9 herein in respect of submitting only one proposal.</p> <p>14.4 The description of the organization of the JV, Consortium or Association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the JV, Consortium or Association Agreement. All entities that comprise the JV, Consortium or Association shall be subject to the eligibility and qualification assessment by UNCDF.</p> <p>14.5 A JV, Consortium or Association in presenting its track record and experience should clearly differentiate between:</p> <p>a) Those that were undertaken together by the JV, Consortium or Association; and</p> <p>b) Those that were undertaken by the individual entities of the JV, Consortium or Association.</p> <p>14.6 Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the JV, Consortium or Association or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.</p> <p>14.7 JV, Consortium or Associations are encouraged for high value, multi-sectoral requirements when the spectrum of expertise and resources required may not be available within one firm.</p>

15. Only One Proposal	<p>15.1 The Bidder (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture.</p> <p>15.2 Proposals submitted by two (2) or more Bidders shall all be rejected if they are found to have any of the following:</p> <ul style="list-style-type: none"> a) they have at least one controlling partner, director or shareholder in common; or b) any one of them receive or have received any direct or indirect subsidy from the other/s; or c) they have the same legal representative for purposes of this RFP; or d) they have a relationship with each other, directly or through common third parties, that puts them in a position to have access to information about, or influence on the Proposal of, another Bidder regarding this RFP process; e) they are subcontractors to each other's Proposal, or a subcontractor to one Proposal also submits another Proposal under its name as lead Bidder; or f) some key personnel proposed to be in the team of one Bidder participates in more than one Proposal received for this RFP process. This condition relating to the personnel, does not apply to subcontractors being included in more than one Proposal.
16. Proposal Validity Period	<p>16.1 Proposals shall remain valid for the period specified in the BDS, commencing on the Deadline for Submission of Proposals. A Proposal valid for a shorter period may be rejected by UNCDF and rendered non-responsive.</p> <p>16.2 During the Proposal validity period, the Bidder shall maintain its original Proposal without any change, including the availability of the Key Personnel, the proposed rates and the total price.</p>
17. Extension of Proposal Validity Period	<p>17.1 In exceptional circumstances, prior to the expiration of the proposal validity period, UNCDF may request Bidders to extend the period of validity of their Proposals. The request and the responses shall be made in writing, and shall be considered integral to the Proposal.</p> <p>17.2 If the Bidder agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal.</p> <p>17.3 The Bidder has the right to refuse to extend the validity of its Proposal, and in which case, such Proposal will not be further evaluated.</p>
18. Clarification of Proposal	<p>18.1 Bidders may request clarifications on any of the RFP documents no later than the date indicated in the BDS. Any request for clarification must be sent in writing in the manner indicated in the BDS. If inquiries are sent other than specified channel, even if they are sent to a UNCDF staff member, UNCDF shall have no obligation to respond or confirm that the query was officially received.</p> <p>18.2 UNCDF will provide the responses to clarifications through the method specified in the BDS.</p> <p>18.3 UNCDF shall endeavor to provide responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of UNCDF to extend the submission date of the Proposals, unless UNCDF deems that such an extension is justified and necessary.</p>
19. Amendment of Proposals	<p>19.1 At any time prior to the deadline of Proposal submission, UNCDF may for any reason, such as in response to a clarification requested by a Bidder, modify the RFP in the form of an amendment to the RFP. Amendments will be made available to all prospective bidders.</p>

	19.2 If the amendment is substantial, UNCDF may extend the Deadline for submission of proposal to give the Bidders reasonable time to incorporate the amendment into their Proposals.
20. Alternative Proposals	<p>20.1 Unless otherwise specified in the BDS, alternative proposals shall not be considered. If submission of alternative proposal is allowed by BDS, a Bidder may submit an alternative proposal, but only if it also submits a proposal conforming to the RFP requirements. UNCDF shall only consider the alternative proposal offered by the Bidder whose conforming proposal ranked the highest as per the specified evaluation method. Where the conditions for its acceptance are met, or justifications are clearly established, UNCDF reserves the right to award a contract based on an alternative proposal.</p> <p>20.2 If multiple/alternative proposals are being submitted, they must be clearly marked as "Main Proposal" and "Alternative Proposal"</p>
21. Pre-Bid Conference	21.1 When appropriate, a Bidder's conference will be conducted at the date, time and location specified in the BDS. All Bidders are encouraged to attend. Non-attendance, however, shall not result in disqualification of an interested Bidder. Minutes of the Bidder's conference will be disseminated on the procurement website and shared by email or on the e-Tendering platform as specified in the BDS. No verbal statement made during the conference shall modify the terms and conditions of the RFP, unless specifically incorporated in the Minutes of the Bidder's Conference or issued/posted as an amendment to RFP.
C. SUBMISSION AND OPENING OF PROPOSALS	
22. Submission	<p>22.1 The Bidder shall submit a duly signed and complete Proposal comprising the documents and forms in accordance with the requirements in the BDS. The submission shall be in the manner specified in the BDS.</p> <p>22.2 The Proposal shall be signed by the Bidder or person(s) duly authorized to commit the Bidder. The authorization shall be communicated through a document evidencing such authorization issued by the legal representative of the bidding entity, or a Power of Attorney, accompanying the Proposal.</p> <p>22.3 Bidders must be aware that the mere act of submission of a Proposal, in and of itself, implies that the Bidder fully accepts the UNCDF General Contract Terms and Conditions.</p>
Hard copy (manual) submission	<p>22.4 Hard copy (manual) submission by courier or hand delivery allowed or specified in the BDS shall be governed as follows:</p> <p>a) The signed Proposal shall be marked "Original", and its copies marked "Copy" as appropriate. The number of copies is indicated in the BDS. All copies shall be made from the signed original only. If there are discrepancies between the original and the copies, the original shall prevail.</p> <p>b) The Technical Proposal and the Financial Proposal envelopes MUST BE COMPLETELY SEPARATE and each of them must be submitted sealed individually and clearly marked on the outside as either "TECHNICAL PROPOSAL" or "FINANCIAL PROPOSAL", as appropriate. Each envelope SHALL clearly indicate the name of the Bidder. The outer envelopes shall:</p> <p>i. Bear the name and address of the bidder;</p> <p>ii. Be addressed to UNCDF as specified in the BDS</p>

	<p>iii. Bear a warning that states <i>"Not to be opened before the time and date for proposal opening"</i> as specified in the BDS.</p> <p>If the envelopes and packages with the Proposal are not sealed and marked as required, UNCDF shall assume no responsibility for the misplacement, loss, or premature opening of the Proposal.</p> <p>Email Submission</p> <p>22.5 Email submission, if allowed or specified in the BDS, shall be governed as follows:</p> <ul style="list-style-type: none"> a) Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS; b) The Technical Proposal and the Financial Proposal files MUST BE COMPLETELY SEPARATE. The financial proposal shall be encrypted with different passwords and clearly labelled. The files must be sent to the dedicated email address specified in the BDS. c) The password for opening the Financial Proposal should be provided only upon request of UNCDF. UNCDF will request password only from bidders whose Technical Proposal has been found to be technically responsive. Failure to provide correct password may result in the proposal being rejected. <p>eTendering submission</p> <p>22.6 Electronic submission through eTendering, if allowed or specified in the BDS, shall be governed as follows:</p> <ul style="list-style-type: none"> a) Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS; b) The Technical Proposal and the Financial Proposal files MUST BE COMPLETELY SEPARATE and each of them must be uploaded individually and clearly labelled. d) The Financial Proposal file must be encrypted with a password so that it cannot be opened nor viewed until the password is provided. The password for opening the Financial Proposal should be provided only upon request of UNCDF. UNCDF will request password only from bidders whose technical proposal has been found to be technically responsive. Failure to provide the correct password may result in the proposal being rejected. c) Documents which are required to be in original form (e.g. Bid Security, etc.) must be sent via courier or hand delivery as per the instructions in BDS. d) Detailed instructions on how to submit, modify or cancel a bid in the eTendering system are provided in the eTendering system Bidder User Guide and Instructional videos available on this link: http://www.UNCDF.org/content/UNCDF/en/home/operations/procurement/business/procurement-notice/resources/
<p>23. Deadline for Submission of Proposals and Late Proposals</p>	<p>23.1 Complete Proposals must be received by UNCDF in the manner, and no later than the date and time, specified in the BDS. UNCDF shall only recognize the date and time that the bid was received by UNCDF</p> <p>23.2 UNCDF shall not consider any Proposal that is submitted after the deadline for the submission of Proposals.</p>
<p>24. Withdrawal, Substitution, and Modification of Proposals</p>	<p>24.1 A Bidder may withdraw, substitute or modify its Proposal after it has been submitted at any time prior to the deadline for submission.</p> <p>24.2 Manual and Email submissions: A bidder may withdraw, substitute or modify its Proposal by sending a written notice to UNCDF, duly signed by an authorized representative, and shall include a copy of the authorization (or a Power of</p>

	<p>Attorney). The corresponding substitution or modification of the Proposal, if any, must accompany the respective written notice. All notices must be submitted in the same manner as specified for submission of proposals, by clearly marking them as "WITHDRAWAL" "SUBSTITUTION," or "MODIFICATION"</p> <p>24.3 eTendering: A Bidder may withdraw, substitute or modify its Proposal by Canceling, Editing, and re-submitting the proposal directly in the system. It is the responsibility of the Bidder to properly follow the system instructions, duly edit and submit a substitution or modification of the Proposal as needed. Detailed instructions on how to cancel or modify a Proposal directly in the system are provided in Bidder User Guide and Instructional videos.</p> <p>24.4 Proposals requested to be withdrawn shall be returned unopened to the Bidders (only for manual submissions), except if the bid is withdrawn after the bid has been opened</p>
25. Proposal Opening	<p>25.1 There is no public bid opening for RFPs. UNCDF shall open the Proposals in the presence of an ad-hoc committee formed by UNCDF, consisting of at least two (2) members. In the case of e-Tendering submission, bidders will receive an automatic notification once their proposal is opened.</p>
D. EVALUATION OF PROPOSALS	
26. Confidentiality	<p>26.1 Information relating to the examination, evaluation, and comparison of Proposals, and the recommendation of contract award, shall not be disclosed to Bidders or any other persons not officially concerned with such process, even after publication of the contract award.</p> <p>26.2 Any effort by a Bidder or anyone on behalf of the Bidder to influence UNCDF in the examination, evaluation and comparison of the Proposals or contract award decisions may, at UNCDF's decision, result in the rejection of its Proposal and may be subject to the application of prevailing UNCDF's vendor sanctions procedures.</p>
27. Evaluation of Proposals	<p>27.1 The Bidder is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under Clause 24 of this RFP. UNCDF will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.</p> <p>27.2 Evaluation of proposals is made of the following steps:</p> <ol style="list-style-type: none"> Preliminary Examination Minimum Eligibility and Qualification (if pre-qualification is not done) Evaluation of Technical Proposals Evaluation of Financial Proposals
28. Preliminary Examination	<p>28.1 UNCDF shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, and whether the Proposals are generally in order, among other indicators that may be used at this stage. UNCDF reserves the right to reject any Proposal at this stage.</p>
29. Evaluation of Eligibility and Qualification	<p>29.1 Eligibility and Qualification of the Bidder will be evaluated against the Minimum Eligibility/Qualification requirements specified in the Section 4 (Evaluation Criteria).</p> <p>29.2 In general terms, vendors that meet the following criteria may be considered qualified:</p> <ol style="list-style-type: none"> They are not included in the UN Security Council 1267/1989 Committee's list of terrorists and terrorist financiers, and in UNCDF's ineligible vendors' list;

	<ul style="list-style-type: none"> b) They have a good financial standing and have access to adequate financial resources to perform the contract and all existing commercial commitments, c) They have the necessary similar experience, technical expertise, production capacity where applicable, quality certifications, quality assurance procedures and other resources applicable to the provision of the services required; d) They are able to comply fully with UNCDF General Terms and Conditions of Contract; e) They do not have a consistent history of court/arbitral award decisions against the Bidder; and f) They have a record of timely and satisfactory performance with their clients.
30. Evaluation of Technical and Financial Proposals	<p>30.1 The evaluation team shall review and evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and other RFP documents, applying the evaluation criteria, sub-criteria, and point system specified in the Section 4 (Evaluation Criteria). A Proposal shall be rendered non-responsive at the technical evaluation stage if it fails to achieve the minimum technical score indicated in the BDS. When necessary and if stated in the BDS, UNCDF may invite technically responsive bidders for a presentation related to their technical proposals. The conditions for the presentation shall be provided in the bid document where required.</p> <p>30.2 In the second stage, only the Financial Proposals of those Bidders who achieve the minimum technical score will be opened for evaluation. The Financial Proposals corresponding to Technical Proposals that were rendered non-responsive shall remain unopened, and, in the case of manual submission, be returned to the Bidder unopened. For emailed Proposals and e-tendering submissions, UNCDF will not request for the password of the Financial Proposals of bidders whose Technical Proposal were found not responsive.</p> <p>30.3 The evaluation method that applies for this RFP shall be as indicated in the BDS, which may be either of two (2) possible methods, as follows: (a) the lowest priced method which selects the lowest evaluated financial proposal of the technically responsive Bidders; or (b) the combined scoring method which will be based on a combination of the technical and financial score.</p> <p>30.4 When the BDS specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:</p> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p><u>Rating the Technical Proposal (TP):</u></p> <p style="text-align: center;">TP Rating = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100</p> <p><u>Rating the Financial Proposal (FP):</u></p> <p style="text-align: center;">FP Rating = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100</p> <p><u>Total Combined Score:</u></p> <p style="text-align: center;">Combined Score = (TP Rating) x (Weight of TP, e.g. 70%) + (FP Rating) x (Weight of FP, e.g., 30%)</p> </div>
31. Due Diligence	<p>31.1 UNCDF reserves the right to undertake a due diligence exercise, also called post qualification, aimed at determining to its satisfaction, the validity of the information provided by the Bidder. Such exercise shall be fully documented and may include, but need not be limited to, all or any combination of the</p>

	<p>following:</p> <ul style="list-style-type: none"> a) Verification of accuracy, correctness and authenticity of information provided by the Bidder; b) Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team; c) Inquiry and reference checking with Government entities with jurisdiction on the Bidder, or with previous clients, or any other entity that may have done business with the Bidder; d) Inquiry and reference checking with previous clients on the performance on on-going or contracts completed, including physical inspections of previous works, as necessary; e) Physical inspection of the Bidder's offices, branches or other places where business transpires, with or without notice to the Bidder; f) Other means that UNCDF may deem appropriate, at any stage within the selection process, prior to awarding the contract.
32. Clarification of Proposals	<p>32.1 To assist in the examination, evaluation and comparison of Proposals, UNCDF may, at its discretion, ask any Bidder for a clarification of its Proposal.</p> <p>32.2 UNCDF's request for clarification and the response shall be in writing and no change in the prices or substance of the Proposal shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNCDF in the evaluation of the Proposals, in accordance with RFP.</p> <p>32.3 Any unsolicited clarification submitted by a Bidder in respect to its Proposal, which is not a response to a request by UNCDF, shall not be considered during the review and evaluation of the Proposals.</p>
33. Responsiveness of Proposal	<p>33.1 UNCDF's determination of a Proposal's responsiveness will be based on the contents of the Proposal itself. A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.</p> <p>33.2 If a Proposal is not substantially responsive, it shall be rejected by UNCDF and may not subsequently be made responsive by the Bidder by correction of the material deviation, reservation, or omission.</p>
34. Nonconformities, Repairable Errors and Omissions	<p>34.1 Provided that a Proposal is substantially responsive, UNCDF may waive any non-conformities or omissions in the Proposal that, in the opinion of UNCDF, do not constitute a material deviation.</p> <p>34.2 UNCDF may request the Bidder to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Bidder to comply with the request may result in the rejection of its Proposal.</p> <p>34.3 For Financial Proposal that has been opened, UNCDF shall check and correct arithmetical errors as follows:</p> <ul style="list-style-type: none"> a) if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total shall be corrected, unless in the opinion of UNCDF there is an obvious misplacement of the decimal point in the unit price; in which case the line item total as quoted shall govern and the unit price shall be corrected; b) if there is an error in a total corresponding to the addition or subtraction

	<p>of subtotals, the subtotals shall prevail and the total shall be corrected; and</p> <p>c) if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail.</p> <p>34.4 If the Bidder does not accept the correction of errors made by UNCDF, its Proposal shall be rejected.</p>
E. AWARD OF CONTRACT	
35. Right to Accept, Reject, Any or All Proposals	35.1 UNCDF reserves the right to accept or reject any Proposal, to render any or all of the Proposals as non-responsive, and to reject all Proposals at any time prior to award of contract, without incurring any liability, or obligation to inform the affected Bidder(s) of the grounds for UNCDF's action. UNCDF shall not be obliged to award the contract to the lowest priced offer.
36. Award Criteria	36.1 Prior to expiration of the proposal validity, UNCDF shall award the contract to the qualified Bidder based on the award criteria indicated in the BDS.
37. Debriefing	37.1 In the event that a Bidder is unsuccessful, the Bidder may request a debriefing from UNCDF. The purpose of the debriefing is to discuss the strengths and weaknesses of the Bidder's submission, in order to assist the Bidder in improving its future proposals for UNCDF procurement opportunities. The content of other proposals and how they compare to the Bidder's submission shall not be discussed.
38. Right to Vary Requirements at the Time of Award	38.1 At the time of award of Contract, UNCDF reserves the right to vary the quantity of services and/or goods, by up to a maximum twenty-five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.
39. Contract Signature	39.1 Within fifteen (15) days from the date of receipt of the Contract, the successful Bidder shall sign and date the Contract and return it to UNCDF. Failure to do so may constitute sufficient grounds for the annulment of the award, and forfeiture of the Proposal Security, if any, and on which event, UNCDF may award the Contract to the Second Ranked Bidder or call for new Proposals.
40. Contract Type and General Terms and Conditions	40.1 The types of Contract to be signed and the applicable UNCDF Contract General Terms and Conditions, as specified in BDS, can be accessed at http://www.UNCDF.org/content/UNCDF/en/home/procurement/business/how-we-buy.html
41. Performance Security	41.1 40.1 A performance security, if required in BDS, shall be provided in the amount specified in BDS and form available at https://popp.UNCDF.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNCDF_PO PP_DOCUMENT_LIBRARY/Public/PSU_Solicitation_Performance%20Guarantee%20Form.docx&action=default within fifteen (15) days of the contract signature by both parties. Where a performance security is required, the receipt of the performance security by UNCDF shall be a condition for rendering the contract effective.
42. Bank Guarantee for Advanced Payment	42.1 Except when the interests of UNCDF so require, it is UNCDF's preference to make no advance payment(s) (i.e., payments without having received any outputs). If an advance payment is allowed as per BDS, and exceeds 20% of the total contract price, or USD 30,000, whichever is less, the Bidder shall submit a Bank Guarantee in the full amount of the advance payment in the form available at

	https://popp.UNCDF.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNCDF_PO PP_DOCUMENT_LIBRARY/Public/PSU_Contract%20Management%20Payment%20and%20Taxes_Advanced%20Payment%20Guarantee%20Form.docx&action=default
43. Liquidated Damages	<p>43.1 If specified in BDS, UNCDF shall apply Liquidated Damages resulting from the Contractor's delays or breach of its obligations as per the Contract.</p>
44. Payment Provisions	<p>44.1 Payment will be made only upon UNCDF's acceptance of the work performed. The terms of payment shall be within thirty (30) days, after receipt of invoice and certification of acceptance of work issued by the proper authority in UNCDF with direct supervision of the Contractor. Payment will be effected by bank transfer in the currency of contract.</p>
45. Vendor Protest	<p>45.1 UNCDF's vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a contract through a competitive procurement process. In the event that a Bidder believes that it was not treated fairly, the following link provides further details regarding UNCDF vendor protest procedures:</p> <p>https://www.undp.org/content/undp/en/home/procurement/business/p rotest-and-sanctions.html</p>
46. Other Provisions	<p>46.1 In the event that the Bidder offers a lower price to the host Government (e.g. General Services Administration (GSA) of the federal government of the United States of America) for similar services, UNCDF shall be entitled to same lower price. The UNCDF General Terms and Conditions shall have precedence.</p> <p>46.2 UNCDF is entitled to receive the same pricing offered by the same Contractor in contracts with the United Nations and/or its Agencies. The UNCDF General Terms and Conditions shall have precedence.</p> <p>46.3 The United Nations has established restrictions on employment of (former) UN staff who have been involved in the procurement process as per bulletin ST/SGB/2006/15</p> <p>http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2006/15&refer er</p>

Section 3. Bid Data Sheet

The following data for the services to be procured shall complement, supplement, or amend the provisions in the Request for Proposals. In the case of a conflict between the Instructions to Bidders, the Data Sheet, and other annexes or references attached to the Data Sheet, the provisions in the Data Sheet shall prevail.

BDS No.	Ref. to Section.2	Data	Specific Instructions / Requirements
1	7	Language of the Proposal	English
2		Submitting Proposals for Parts or sub-parts of the TOR (partial bids)	Not Allowed
3	20	Alternative Proposals	Shall not be considered
4	21	Pre-proposal conference	Will not be conducted
5	10	Proposal Validity Period	90 days
6	14	Bid Security	Not Required
7	41	Advanced Payment upon signing of contract	Not Allowed
8	42	Liquidated Damages	Will not be imposed
9	40	Performance Security	Not Required

10	18	Currency of Proposal	United States Dollar
11	31	Deadline for submitting requests for clarifications/ questions	5 days before the submission deadline
12	31	Contact Details for submitting clarifications/questions	Focal Person in UNCDF: Pietro Tornese Address: E-mail address: uncdf.procurement@uncdf.org and copy to pietro.tornese@uncdf.org
13	18, 19 and 21	Manner of Disseminating Supplemental Information to the RFP and responses/clarifications to queries	Direct communication to prospective Proposers by email and Posting on the website http://procurement-notice.undp.org/
14	23	Deadline for Submission	7 July, 2020
14	22	Allowable Manner of Submitting Proposals	Submission by email
15	22	Proposal Submission Address	Uncdf.procurement@uncdf.org
16	22	Electronic submission (email or eTendering) requirements	<ul style="list-style-type: none"> ▪ Format: PDF files only ▪ File names must be maximum 60 characters long and must not contain any letter or special character other than from Latin alphabet/keyboard. ▪ All files must be free of viruses and not corrupted. ▪ Password for technical proposal <u>must</u> not be provided to UNCDF until the date as indicated in No. 14 (<i>for email submission only</i>) ▪ Password for financial proposal <u>must</u> not be provided to UNCDF until requested by UNCDF ▪ Max. File Size per transmission: 8 MB ▪ Mandatory subject of email: RFP/ UNCDF/ 66544 – LTA with a pool of specialized evaluation firms to implement evaluations under UNCDF's Evaluation Plan <p>Documents which are required in original (e.g. Proposal Security if required) should be sent to the below address with a PDF copy submitted as part of the electronic submission: Uncdf.procurement@uncdf.org</p>

17	27 36	Evaluation Method for the Award of Contract	Combined Scoring Method, using the 70%-30% distribution for technical and financial proposals respectively The minimum technical score required to pass is 70%.
18		Expected date for commencement of Contract	<i>August 1, 2020</i>
19		Maximum expected duration of contract	One year with possibility of renewal for up to 3 years
20	35	UNCDF will award the contract to:	One or more Proposers, depending on the following factors : a secondary competition ¹ will be conducted among LTA holders each time the services are needed, and UNCDF will award to the LTA holder which receives the highest combined score.
21	39	Type of Contract	Contract for Goods and Services on behalf of UN Entities http://www.UNCDF.org/content/UNCDF/en/home/procurement/business/how-we-buy.html
22	39	UNCDF Contract Terms and Conditions that will apply	UNCDF General Terms and Conditions for Mixed Goods and Services http://www.UNCDF.org/content/UNCDF/en/home/procurement/business/how-we-buy.html
23		Other Information Related to the RFP	

¹ *Secondary competition refers to the competitive selection process undertaken by UNCDF through the direct invitation of companies holding Long-Term Agreements (LTAs). During the said competition, technical and financial proposals are also required, but an assessment of firm qualifications will no longer be undertaken. The focus of the evaluation shall be the qualifications of the individuals proposed and the financial proposal, whereby an award shall be made to the LTA holder who achieves the highest combined score, using the combined scoring method.*

Section 4. Evaluation Criteria

Preliminary Examination Criteria

Proposals will be examined to determine whether they are complete and submitted in accordance with RFP requirements as per below criteria on a Yes/No basis:

- Appropriate signatures
- Power of Attorney
- Minimum documents provided
- Technical and Financial Proposals submitted separately
- Bid Validity
- Bid Security submitted as per RFP requirements with compliant validity period

Minimum Eligibility and Qualification Criteria

Eligibility and Qualification will be evaluated on Pass/Fail basis.

If the Proposal is submitted as a Joint Venture/Consortium/Association, each member should meet minimum criteria, unless otherwise specified in the criterion.

Subject	Criteria	Document Submission requirement
ELIGIBILITY		
Legal Status	Vendor is a legally registered entity.	Form B: Bidder Information Form
Eligibility	Vendor is not suspended, nor debarred, nor otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization in accordance with ITB clause 3.	Form A: Technical Proposal Submission Form
Conflict of Interest	No conflicts of interest in accordance with ITB clause 4.	Form A: Technical Proposal Submission Form
Bankruptcy	Not declared bankruptcy, not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against the vendor that could impair its operations in the foreseeable future.	Form A: Technical Proposal Submission Form
QUALIFICATION		
History of Non-Performing Contracts²	Non-performance of a contract did not occur as a result of contractor default for the last 3 years.	Form D: Qualification Form
Litigation History	No consistent history of court/arbitral award decisions against the Bidder for the last 3 years.	Form D: Qualification Form

² Non-performance, as decided by UNCDF, shall include all contracts where (a) non-performance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and (b) contracts that were so challenged but fully settled against the contractor. Non-performance shall not include contracts where Employers decision was overruled by the dispute resolution mechanism. Non-performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the Bidder have been exhausted.

Previous Experience	Minimum 3 years of relevant experience.	Form D: Qualification Form
	Minimum 2 contracts of similar value, nature and complexity implemented over the last 3 years. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
Financial Standing	Minimum average annual turnover of USD 500,000 for the last 3 years. Quick ratio and Net Working Capital should be sufficient to substantiate liquidity. Annual Net Income should be sufficient to enable the capacity to advance expenses and fulfil services without waiting for payment from UNCDF. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
	Bidder must demonstrate the current soundness of its financial standing and indicate its prospective long-term profitability. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
	Any additional criteria if required	

Technical Evaluation Criteria

The firm is invited to submit a technical proposal to be considered for either the Finance Inclusion Practice Area or the Local Development Finance Practice Area. Firms can also decide to submit a technical proposal for both Practice Areas.

Summary of Technical Proposal Evaluation Forms		Points Obtainable
1.	Bidder's qualification, capacity, and experience	150
2.	Proposed Methodology, Approach, and Implementation Plan	300
3.	Management Structure and Key Personnel	250
	Step 2 (only firms totaling > 490 points out of 700 points during the first step of the technical evaluation will be invited to do a presentation tentatively on September 10th and 11th between 9 AM and 3 PM EST.	
4.	Demonstrated Presentation Skills and Quality of Responses to Panel Questions on both the proposal overall as well as the methodology proposed to respond to the Terms of Reference in Annex.	300
	Total	1000

Section 1. Bidder's qualification, capacity and experience		Points obtainable
	The criteria in this part of the assessment matrix will seek to judge how far the interested firm has the capacity and experience to deploy and manage an evaluation team that can meet the full range of technical and evaluation standards for evaluations of <u>either</u> : i) a UNCDF inclusive finance intervention <u>or</u> ii) a local development finance intervention described in Annexes 1 and 2 of this TOR, incorporating in addition and as necessary the skills expected to evaluate instruments deployed by the LDC Investment Platform. In cases where firms are interested to bid for an evaluation of both types of intervention, they should submit two separate proposals.	
1.1	Experience in evaluation practice and application: A minimum of at least five year's experience in successfully bidding for, conducting and backstopping formative and summative evaluation of international development cooperation (strategies, programmes and projects) and development finance interventions in areas related to UNCDF's mandate (local government finance, financial inclusion, MSME investment financing) at the market and policy levels in developing countries, and preferably the Least Developed Countries (LDCs). Firms should provide evidence (up to a total of five evaluation reports) of evaluation work done to meet the specifications above. ³	50

³ In cases where firms are not able to provide copies of the evaluation report themselves for confidentiality reasons, bidders are invited to summarise (in not more than half a page per evaluation the type and scope of evaluation conducted, the budget of the evaluation and the methodology deployed).

1.2	Evidence from previous evaluation work completed of applied expertise in the theory and practice of development evaluation (e.g. theory-of-change based, utilization-focused, participatory, gender- and equity-focused project and programme evaluation; thematic evaluation of the work of inter-governmental organisations such as the UN; counterfactual impact evaluation using both quantitative and qualitative techniques; developmental evaluation in support of evidence-based strategic design and adaptive management); and of methods and techniques of evaluation (quantitative and qualitative analysis of implementation data; contribution analysis, process tracing, outcome mapping, participatory evaluation techniques etc).	30
1.3	Evidence from previous work in international development cooperation of the firm's technical expertise and credibility as a provider of technical assistance, policy support, grant, loan and other forms of development finance instruments in a broad range of institutional, policy and programme settings in developing countries. These can include stand-alone projects or programmes funded by international donors, development finance organisations and impact investing organisations, including those set up or involving the UN, as well as direct support to national governments working in the area of impact investing, financial inclusion and local government financing using grants, technical assistance, loans and guarantees.	50
1.4	Knowledge and experience from past work of the firm of embedding key standards around promoting gender equality and the empowerment of women in the work that the firm does (e.g. gender mainstreaming, gender analysis, knowledge of human rights-based approaches to programming and evaluation and demonstration of understanding of economic empowerment of women). This can be evidenced both through examples of work done to support interventions with a gender equality and women's empowerment objective in addition to the examples of evaluation provided above (see point 1.1 above).	20
Total Section 1		150

Section 2: Proposed Methodology, Approach and Implementation Plan		Points obtainable
<p>The criteria in this part of the assessment matrix are intended to judge how far the interested firm has proposed a credible evaluation design in response to one of the two Terms of Reference included in Annex (one for an inclusive finance intervention: the example of the Expanding Financial Access programme in Nepal; the other for a local development finance intervention: the LoGIC programme in Bangladesh). As noted above, if the firm would like to submit proposals for both evaluations, they are required to submit a second proposal.</p>		
2.1	<p>Appropriateness of evaluation design to the programme being assessed.</p> <p>For the LoGIC programme, the design should include a relevant approach to assessing the functioning of improved fiscal transfer systems from the international to national and local levels; changes in the performance of local authorities in overseeing investment design, procurement and management with climate adaptation in mind; as well as the performance of any contracts that local governments take up with private sector entities to deliver services at the local level.</p> <p>For the EFA programme, the design should include a relevant approach to assessing the contribution of the programme to the development of inclusive finance markets in Myanmar, including changes in performance at the macro – level (government and</p>	90

	<p>regulatory bodies), meso – level (organisations intended to create and sustain markets) and micro – level (inclusive finance market participants).</p> <p>For both programmes, the proposed design should also include suggestions on how to assess programme performance and results at the SME level and with end – level programme beneficiaries (whether citizens of local governments or consumers of the services of SMEs, including financial services).</p>	
2.2	A detailed evaluation matrix showing how the bidder plans to operationalize the evaluation design into a set of evaluation questions and sub-questions organized by the six revised UN/OECD DAC evaluation criteria. The matrix should also show how the questions and sub-questions will be answered by the different lines of evidence set out in the data collection strategy.	60
2.3	<p>Quality of the data collection strategy to be applied in answering the evaluation questions, including the qualitative and quantitative tools that will be used in assessing existing secondary data and generating new primary data to answer the evaluation questions. In proposing their evaluation design, bidders are requested to show how they will apply examples of innovative evaluation methods such as contribution analysis, outcome mapping, process tracing etc, considering alternative drivers of the broader programme results that are almost always present in interventions supporting change in complex policy and market systems, as well as examples of innovation in data collection and data analysis methods techniques using up-to-date technologies where possible.</p> <p>Evaluation techniques that we are particularly interested in seeing deployed include approaches to case study analysis that can compare and contrast the results of the different programme instruments being deployed in support of the variety of partners/ beneficiaries across the portfolio, as well as techniques to assess the use of the new financial instruments across a sample of the beneficiaries of UNCDF – supported partner organisations (for examples financial service providers, digital finance actors, local governments, small and medium-sized enterprises).</p>	60
2.4	Extent to which the proposal highlights how the evaluation will apply a gender-responsive lense with a view to generating findings that take into account the perspective of women, rural, and other marginalized population segments, as well as make use of UNCDF's Pathway to Gender Equality and Women's Economic Empowerment that is annexed to UNCDF's Strategic Framework 2018 -2021 (referenced in the Terms of Reference below).	40
Total Section 2		250

Section 3. Management Structure and Key Personnel	Points obtainable
<p>The criteria in this part of the assessment matrix will seek to judge how far the interested firm can deploy teams that meet the full range of technical and evaluation skills and experience necessary for the full array of planned UNCDF evaluations of either its local development finance or inclusive finance interventions in line with relevant UN evaluation standards. Experts should be organized by the following categories of expertise and experience, with preference given to experts that have already worked for the bidding firm on assignments that are relevant to UNCDF's Evaluation Plan.</p>	

For each proposal, bidders should aim to propose a minimum of three (3) CVs per category of expert listed below:

- Project Director (with responsibility for overseeing the evaluation exercise from launch to completion on behalf of the successful firm)
- Team Leader (with prior experience of leading evaluation teams and writing up evaluation reports to an acceptable standard)
- Lead Inclusive Finance Experts OR Lead Local Development Finance Experts
- Lead MSME Investment Finance Experts (typically necessary for both types of UNCDF intervention)
- Experts in gender -responsive evaluation and women's economic empowerment
- Evaluation Methodology experts in either the evaluation team or the evaluation firm
- Junior experts experienced in data collection and data analysis in evaluation exercise.

The CVs that will be submitted by the bidder shall be submitted in accordance with the format provided in Form E annexed to this RFP, and each one shall be individually evaluated by UNCDF. UNCDF reserves the right to reject any of the CVs that the bidder may offer, and requests the bidder to exclude them, if awarded the LTA in the form of a "call-off".

The CVs that will be pre-approved by UNCDF, if awarded the LTA, shall serve as the pool of experts that the bidding company may draw from at any given time during a secondary competition or when the LTA is "called off", thus making further evaluation of personnel no longer necessary for UNCDF, save for the comparison of such experts with the experts proposed by other LTA holders.

However, after having been awarded the LTA, if the bidder wishes to include other individuals in a "call-off" work, but said individuals were not originally submitted to UNCDF, and hence not pre-approved by UNCDF, the said individuals shall be subject to further evaluation by UNCDF, and UNCDF reserves the right to reject any or all of them. The bidder is hereby requested to minimize such action and is encouraged to ensure that the CVs it will submit under this RFP shall be the comprehensive and complete pool that it will draw from during the life of the LTA.

By virtue of the submission of the CVs of individual experts, the bidder hereby effectively guarantees to UNCDF that, if awarded the LTA, all the individual experts shall be available at any time the LTA is "called off" by UNCDF. In the event that UNCDF finds that another individual expert in the pool is more qualified and preferred than the one nominated by the company during a call-off, the company shall comply with UNCDF's request, unless a reasonable justification, duly accepted by UNCDF, is provided by the company.

Project Directors and Team Leaders are requested to have a minimum of seven years' relevant experience of designing, managing and overseeing international development evaluations that apply relevant mixed method evaluation approaches to a variety of different modalities in international development cooperation involving inter-governmental organisations and their central, local government and private sector counterparts. Lead Experts are requested to have a minimum of ten years' relevant experience. Teams should be able to work in English and in French depending on the programme being evaluated. Teams should be balanced by gender and by nationality, including experts from countries and regions in which UNCDF is operating. For more details on the specific skill sets sought per category of expert, please refer to Part II, section D of the Terms of Reference below.

3.1	Project Directors and Team Leaders experienced in managing and conducting international development evaluation in relevant areas to UNCDF		80
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3.2	Technical experts with deep knowledge and expertise of UNCDF's Areas of Work (either Local Development Finance OR Inclusive Finance experts AND MSME Investment Finance experts) in the countries in which we work as well as relevant evaluation experience	150
3.3	Knowledge and experience of experts of gender-responsive evaluation	40
3.4	Knowledge and experience of evaluation methodology	40
3.5	Junior evaluation experts (enumerators, survey designers etc)	40
Total Section 3		350

Section 4: Interview

This constitutes the second part of the technical assessment process and is open to those firms that meet the minimum threshold above. Firms are invited to briefly present the core elements of the proposal as well as answer technical questions related to evaluation theory and practice and the technical area to be evaluated. The interviews provide UNCDF with the opportunity to understand better the expertise and experience offered by the short-listed firm as well as give the firm the chance to ask further questions of UNCDF's Evaluation Unit. Firms are requested to make available a representative set of experts – including the proposed Project Director, potential Team Leaders and subject matter experts – to give UNCDF a full sense of what each firm is offering and how experts will work together during the conduct of the evaluations. The Offerors called for this interview should understand that the interview is a validation exercise. As such, no verbal discussions or agreements during the interview shall overrule nor modify the contents of the documents already submitted to and reviewed by UNCDF prior to the Interview stage.

Section 4: Demonstrated Presentation Skills and Quality of Responses to Panel Questions		Points obtainable
4.1	Clarity of presentation of the Proposal and appropriateness and coherence of the team proposed	150
4.2	Quality of response to the questions	150
Total Section 4		300

Section 5 – Terms of Reference

Part 1

1. UNCDF Background Information

The United Nations Capital Development Fund (UNCDF) is the UN's capital investment agency for the world's 47 Least Developed Countries (LDCs)⁴. UNCDF uses its capital mandate to help LDCs pursue inclusive growth through the deployment of Official Development Assistance (ODA) to unlock public and private finance from the public sector and private sectors. This includes interventions supporting increased financial inclusion of the unbanked and underbanked, including through digital finance, as well as support to local governments and local 'missing – middle' small and medium-sized enterprises as key enablers of poverty reduction and inclusive growth in some of the poorest countries and regions in the world. Using capital grants, technical assistance, loans, and credit enhancements, UNCDF aims to test financial models in inclusive finance and local development finance, 'de-risk' the local investment space and prove concept, paving the way for larger and more risk-averse investors to come in and scale up. In so doing, UNCDF attempts to demonstrate how localizing finance outside the capital cities can accelerate growth in local economies, promote sustainable and climate resilient infrastructure development, and empower local communities.

UNCDF works through three channels: (1) **inclusive digital economies**, which works to connect individuals, households, and small businesses with financial eco-systems that catalyze participation in the local economy, and provide tools to climb out of poverty and manage financial lives; (2) **local development finance**, which aims to capacitate local governments through fiscal decentralization, innovative municipal finance, and structured project finance to drive local economic expansion and sustainable development; and (3) **investment finance**, which provides catalytic financial structuring, de-risking, and capital deployment for 'missing middle' micro-, small and medium-sized enterprises to drive SDG impact and domestic resource mobilization.

By strengthening how finance works for poor people at the household, small enterprise, and local infrastructure levels, UNCDF contributes to the Sustainable Development Goals—**SDG 1 on eradicating poverty** and **SDG 17 on the means of implementation**. By identifying those market segments where innovative financing models can have transformational impact in helping to reach the last mile and address exclusion and inequalities of access, UNCDF contributes to a **broad diversity of SDGs in areas such as clean energy, women's economic empowerment, climate adaptation and inclusive growth**.

2. UNCDF Strategic Framework and relationship with UNDP

As an associated fund of UNDP, UNCDF works according to a Strategic Framework⁵ which sets out a series of development results that the organization is accountable for to UN Member States who oversee the performance of the Fund via UNDP's Executive Board.⁶ The current Strategic Framework runs over the period of 2018 – 2021.

The Strategic Framework sets two mutually-supportive development outcomes for UNCDF and the implementing partner organisations and governments it works with in the Least Developed Countries:

- I. Enhanced inclusive financial markets and local development finance systems that benefit poor and vulnerable populations, and

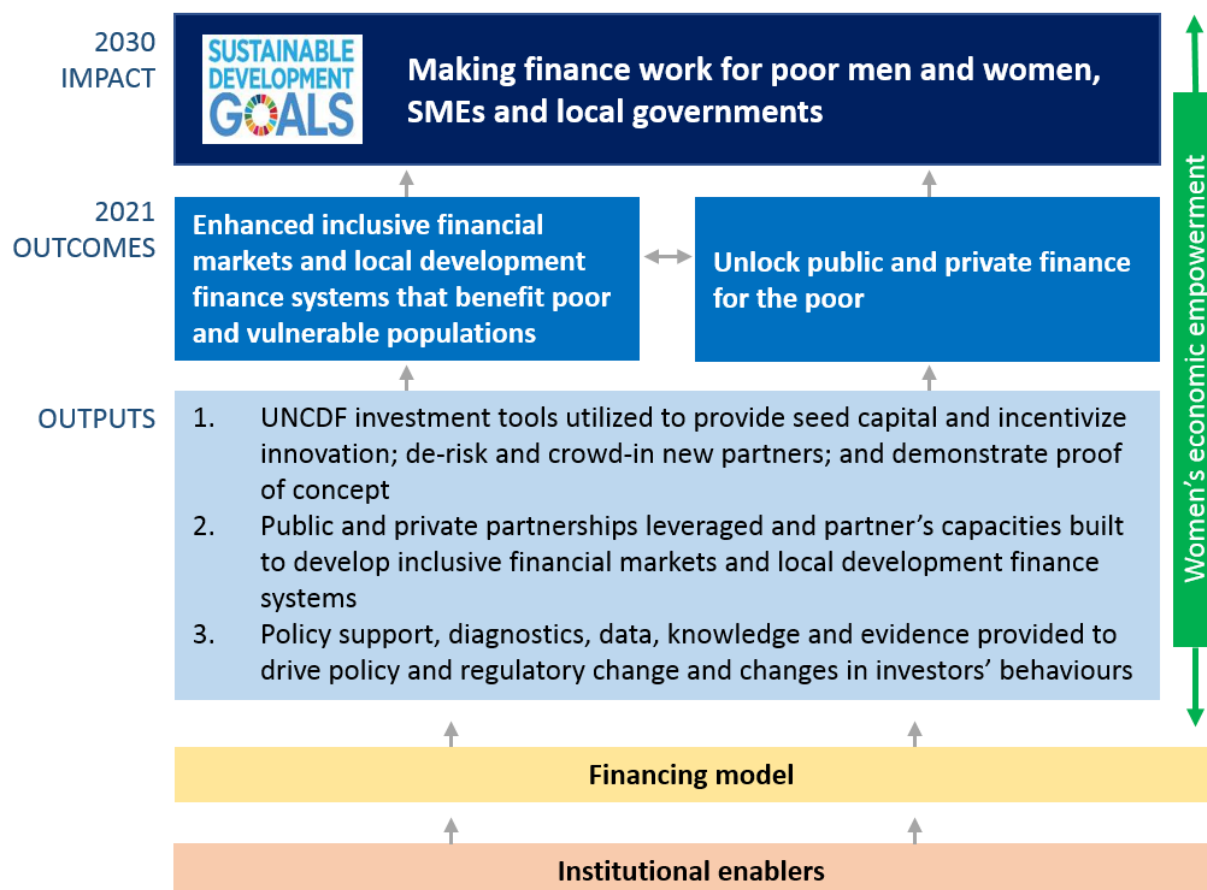
⁴ For more information, please refer to UNCDF's website: www.uncdf.org

⁵ <https://www.uncdf.org/article/3207/strategic-framework-2018-21>

⁶ <https://www.undp.org/content/undp/en/home/executive-board.html>

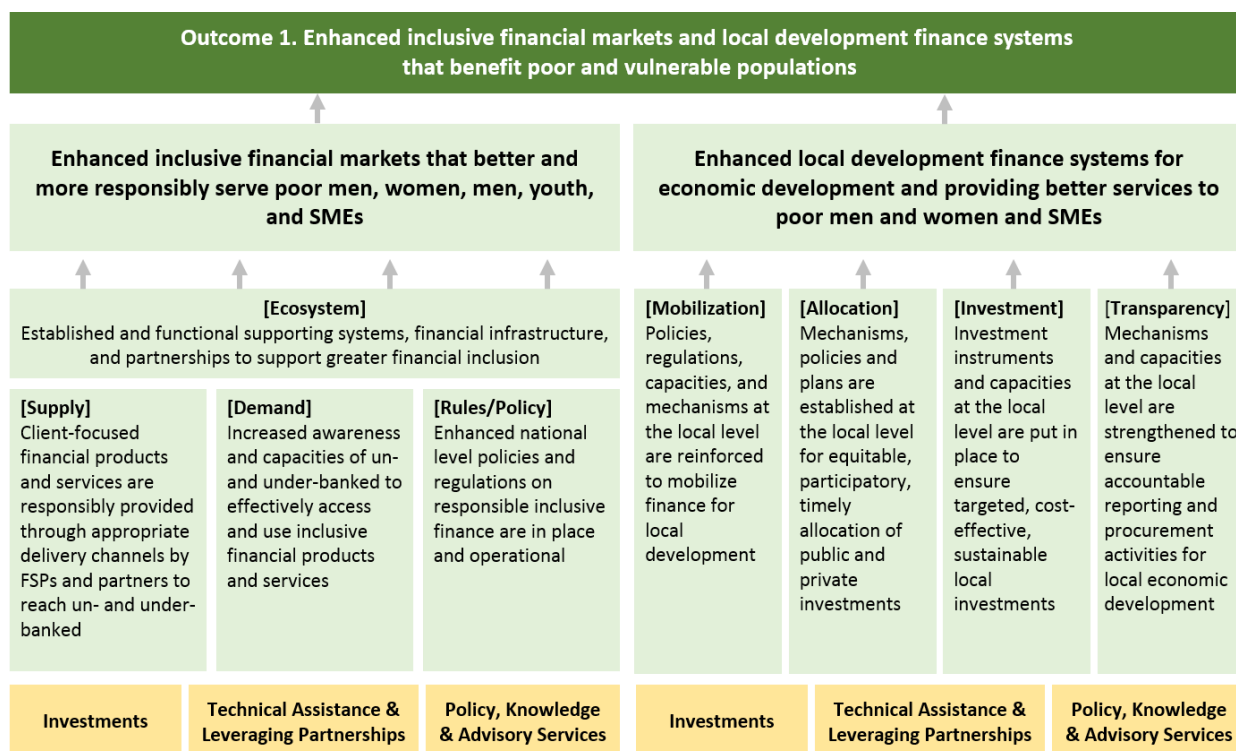
II. Unlocked public and private finance for the poor

Progress under each outcome requires, and contributes to, progress under the other. For example, support to the building of inclusive financial markets is intended to help poor households and small and medium-size enterprises access finance and investments in local government and SMEs are intended to build robust local development finance systems. The end goal is to create inclusive, equitable, and resilient financial markets and finance systems at the local level that are more efficient and effective in their ability to empower poor men and women, SMEs, and local governments in LDCs.

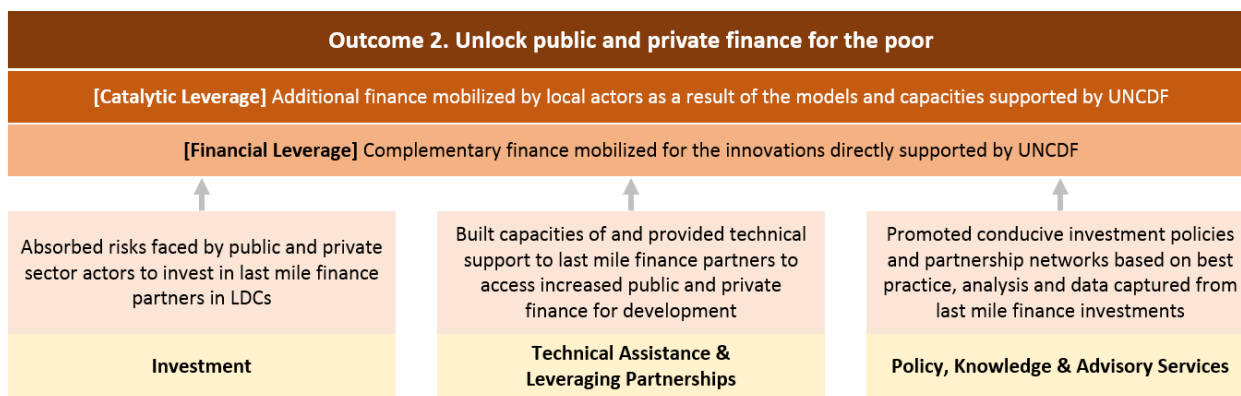


More specifically, **Outcome 1 focuses on promoting market and policy systems change** through support to inclusive financial market systems and local development finance systems that specifically target poor and vulnerable populations and households. The two systems are inter-related in that resources such as domestic savings mobilized by the expansion of financial markets can be invested in local development systems that boost economic development at the local level. Also, the creation of digital payments infrastructure can create the possibilities for greater transparency in local resource management.

A systems- and market-development approach recognizes that systems and markets are composed of multiple factors and actors, and that changing those systems and markets therefore requires sustained actions on multiple fronts that can affect those various factors and actors.



Outcome 2 includes interventions that are **specifically intended to unlock finance for the poor** at the level of market participants and local governments – for example, new financial products targeting women’s savings or local-government led public private partnerships channelling finance into local economies. The assumption is that the transformation of the markets and policy systems should reveal new market opportunities and reduce risk in investing in the last mile finance sector for public and private investors to crowd-in additional finance, forming a positive feedback loop between outcome 1 and 2.



All work under both Outcome Areas are expected to follow the priorities and commitments made in UNCDF’s Pathway to Gender Equality and Women’s Economic Development, annexed to the Strategic Framework.⁷

3. UNCDF operations

UNCDF’s work is divided into three broad areas of practice: financial inclusion; local development finance and MSME investment finance. Each practice deploys a diverse set of investment tools including grants, technical assistance, loans and guarantees that are specifically designed to encourage local public and

⁷ <https://www.uncdf.org/article/3205/pathway-to-gender-equality-and-womens-economic-empowerment>

private sector actors working in least developed economies to operate in economies and with segments of LDC populations that they would not normally reach.

UNCDF's financial and technical support targets a frontier market of SDG-aligned investments where traditional development finance institutions and private sector partners have not yet ventured at scale. UNCDF focuses on providing capital to initiatives that have been deemed too costly or risky or too small for larger development finance institutions to target.

Specifically, UNCDF makes public and private finance work for the poor through:

(a) **financial inclusion**⁸, with digital finance at the center, to drive market transformation in digital inclusive economies and expand opportunities for individuals, households, and SMEs to participate in the local economy through, for example, demand- and supply-side data for Financial Inclusion Strategies; support to the enabling environment for innovative in digital finance; partnerships with financial technology (fintech) providers to target hard-to-reach women, provide off-grid clean energy, and build agricultural value chain. The Financial Inclusion Practice Area also hosts the Better than Cash Alliance – a consortium of public and private sector actors working to build digital payment systems across the developing world.

(b) **local development finance**⁹ interventions which support fiscal decentralization, municipal finance, and project finance initiatives to drive public and private funding in support of local economic expansion, women's economic empowerment, climate adaptation, and sustainable development. This takes the form, for example of support to local governments to help them plan and invest in local infrastructure; technical assistance to unlock private finance (especially from domestic banks) for investment projects with high development impact, all with the objective of expanding local fiscal space.

(c) **investment finance**¹⁰, which aims to build markets in the “missing middle”, including sourcing, due diligence, de-risking, and crowding in of investment capital from domestic and international investors through a new generation of UNCDF-managed concessional loans, guarantees, and reimbursable grants that mitigate the risks for public and private investors investing in the last mile.

4. Evaluation At UNCDF

a. Evaluation Policy and Evaluation Plan

Formally, UNCDF is party to an **Evaluation Policy** which sets out the guiding principles, norms and key concepts for evaluation in UNDP, UNCDF and UNV.¹¹ The policy in turn draws upon the Norms and Standards of the United Nations Evaluation Group - a professional network of some 43 UN evaluation offices - whose objective is to strengthen the objectivity, effectiveness and visibility of the evaluation function across the UN system and to advocate the importance of evaluation for learning, decision making and accountability.¹²

Amongst the norms that the Evaluation Policy seeks to uphold, some of the most important are: independence, intentionality, impartiality, quality and utility.

Independence – The evaluation function should be structurally independent from the operational management and decision-making functions in the organization so that it is free from undue influence and has full authority to submit reports directly to the Executive Head or governing body.

⁸ <https://www.uncdf.org/financial-inclusion>

⁹ <https://www.uncdf.org/local-development-finance>

¹⁰ <https://www.uncdf.org/ldcip>

¹¹ <http://web.undp.org/evaluation/policy.shtml>

¹² <http://www.uneval.org>

Intentionality – The rationale for an evaluation and the decisions to be based on it should be clear from the outset. The scope, design and plan of the evaluation should generate relevant, timely information that meets the needs of the intended users.

Impartiality – Removing bias and maximizing objectivity are critical for the credibility of the evaluation and its contribution to knowledge

Quality – Evaluation design, data collection and analysis should meet professional standards The professionalism of evaluators and their intellectual integrity in applying standard evaluation methods is critical ... Evaluation findings and recommendations should be presented in a manner that will be readily understood by target audiences.

Utility – Evaluation ... seeks to provide information to be used for evidence-based decision making. To enhance the usefulness of the findings and recommendations, key stakeholders should be engaged in various ways in the conduct of the evaluations. The scope, design and plan of the evaluation should generate timely, relevant products that meet the needs of the users. ... Recommendations made should be practical and realistic.

The evaluations are commissioned in accordance with **UNCDF's Evaluation Plan 2018 – 2021** which sets out a series of fifteen planned thematic, programme and project evaluations to be completed over the course of UNCDF's four-year Strategic Framework. The Evaluation Plan has just been updated for the period 2020 – 2021¹³ and will be further developed in 2021 as UNCDF moves from its current planning period to the next four years which will begin in January 2022.

b. Evaluation Methodology – General approach

In designing its evaluations, UNCDF subscribes to the definition of evaluation set out in the UN Evaluation Group Norms and Standards, and repeated in UNDP's Evaluation Policy, as: "an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or of institutional performance".

Evaluations should focus on "expected and achieved accomplishments, critically examining the presumed causal chains, processes and attainment of results, as well as the contextual factors that may enhance or impede the achievement of results".

Evaluations should focus on "determining the relevance, impact, effectiveness, efficiency and sustainability of (UNCDF)'s work in order to make adjustments and improve its organisational and system-wide contributions to development."¹⁴

Following the requirements of the Policy, evaluations in UNCDF are designed with the following overall objectives:

- to help key stakeholders hold UNCDF accountable for its contributions to development results at different levels in its partner countries in line with its mandate as a development finance agency of the United Nations
- to support better decision-making and adaptive management in UNCDF and promote learning among stakeholders

¹³ The updated Evaluation Plan 2020 – 2021 (excel attachment) can be found here: <https://erc.undp.org/evaluation/units/255>

¹⁴ As set out in Section II of UNDP's Evaluation Policy, page 2

- where possible, support national evaluation capacity in partner countries in line with General Assembly Resolution 69/237.

UNCDF commits in its Strategic Framework to conduct external, independent evaluations of key programmes and projects in “areas of critical relevance” to UNCDF at the mid-term and final points of implementation. It also commits to working with partners to undertake thematic and impact evaluations of UNCDF’s work in areas of common interest. The Strategic Framework – together with its accompanying Integrated Results and Resources Matrix¹⁵ - sets out a series of expected results at the impact, outcome and output levels and a series of impact pathways that UNCDF intends to follow – working closely with its implementing partners – to achieve these results. In turn, UNCDF programmes and projects are designed using theories of change and results frameworks specific to each intervention and the context in which the intervention is being rolled out. Taken together, this constitutes a rich and dynamic set of expected results, partnerships and underlying assumptions for any external evaluation to validate, challenge or explore further.

c. Different types of evaluation at UNCDF

Working through specialised evaluation firms and consultants to ensure independent and impartial assessment, UNCDF’s Evaluation Unit typically commissions four types of evaluation: thematic, organisational, programme and project evaluations.

- Project evaluations focus on single interventions in single countries
- Programme evaluations look at single interventions in multiple countries
- Thematic evaluations focus on multiple interventions in multiple countries focused on a common theme
- Organisational evaluations look at specific elements of the performance of the organization

Evaluations in UNCDF are typically commissioned at either the mid-term or final points of implementation of an intervention, though the Unit is also interested going forward in experimenting with *ex post* evaluation approaches to understand the durability of results one or two years after the end of a UNCDF intervention.

Evaluations typically focus on UNCDF and its partners as the primary evaluand, although there are increasing examples of UNCDF working together with UNDP at the country level as well as UNCDF working with other UN agencies and its development partner organisations in line with the principles of UN reform. In these cases, the Unit will typically commission joint evaluations, working with the evaluation entity of other organisations in the design and management of the evaluation exercises.

Expenditure on evaluation at UNCDF is in line with the target in the Evaluation Policy to set aside at least 1% of annual programmatic expenditure¹⁶ on evaluation, a target which has been consistently met in recent years. Since 2010, this has translated into a total of thirty-five completed evaluations, or an average of around three to four evaluations per year.¹⁷ All completed evaluations commissioned by UNCDF’s Evaluation Unit, along with their management responses, are published and can be accessed here: <https://erc.undp.org/evaluation/units/255>.

¹⁵ <https://www.uncdf.org/article/3203/integrated-results-and-resources-matrix-irrm>

¹⁶ Total UNCDF expenditure in the period 2017 – 2019 ranged between \$60 – 80 million. For more information, please see for example UNCDF’s 2019 Annual Report to its Executive Board:

<https://www.undp.org/content/undp/en/home/executive-board/documents-for-sessions/adv2019-annual.html>

¹⁷ Not including staff salaries, annual expenditure on evaluation in the period 2017 – 2019 has ranged between \$400,000 - \$500,000.

c. *The importance of human rights and gender-responsive evaluation at UNCDF*

The promotion and protection of Human Rights (HR) & Gender Equality (GE) are central principles to the mandate of the UN, and all UN agencies must work to fundamentally enhance and contribute to their realization by addressing underlying causes of human rights violations, including discrimination against women and girls, and utilizing processes that are in line with and support these principles. Those UN interventions that do not consider these principles risk reinforcing patterns of discrimination and exclusion or leaving them unchanged. As mentioned above, within UNCDF all work is subject to *Pathway to Gender Equality and Women's Economic Empowerment* Strategy which is annexed to the organisation's current Strategic Framework.¹⁸ It is therefore important that evaluations commissioned by UNCDF take these various aspects into account in their design and conduct.¹⁹ UNCDF's work in supporting women's empowerment and gender equality, including in evaluation, is assessed every year under the UN's System-Wide Action Plan on gender equality and women's empowerment²⁰.

Concretely, interested bidders will be expected to incorporate the following key principles from the UNEG guidance for integrating human rights and gender equality in their proposals into every evaluation conducted for UNCDF:

- **Inclusion.** Evaluating HR & GE requires paying attention to which groups benefit and which groups contribute to the intervention under review. Groups need to be disaggregated by relevant criteria: disadvantaged and advantaged groups depending on their gender or status (women/men, class, ethnicity, religion, age, location, etc.) duty-bearers of various types, and rights-holders of various types in order to assess whether benefits and contributions were fairly distributed by the intervention being evaluated. In terms of HR & GE, it is important to note that women and men, boys and girls who belong to advantaged groups are not exempt from being denied their human rights or equal rights: for example, violence against media workers from advantaged groups who expose wrong-doing or corruption, or constraints on women's public presence and freedom of movement in some countries, regardless if they belong to advantaged or disadvantaged groups. Therefore, the concept of inclusion must assess criteria beyond advantage. Likewise, it is not unusual that some groups may be negatively affected by an intervention. An evaluation must acknowledge who these stakeholders are and how they are affected and shed light on how to minimize the negative effects.

Participation. Evaluating HR & GE must be participatory. Stakeholders of the intervention have a right to be consulted and participate in decisions about what will be evaluated and how the evaluation will be done. In addition, the evaluation will assess whether the stakeholders have been able to participate in the design, implementation and monitoring of the intervention. It is important to measure stakeholder group participation in the process as well as how they benefit from results.

- **Fair Power Relations.** Both the human rights and gender equality approaches seek, inter alia, to balance power relations between or within advantaged and disadvantaged groups. The nature of the relationship between implementers and stakeholders in an intervention can support or undermine this change. When evaluators assess the degree to which power relations changed as a result of an intervention, they must have a full understanding of the context, and conduct the evaluation in a way that supports the empowerment of disadvantaged groups, e.g. women's empowerment where women are the disadvantaged

¹⁸ <https://www.uncdf.org/article/3205/pathway-to-gender-equality-and-womens-economic-empowerment>

¹⁹ In addition to the UN Evaluation Group guidance on embedding gender equality and women's empowerment into UN evaluations: <http://www.unevaluation.org/document/download/2107>, please see for information the latest report by the UN Secretary General's High Level Panel on Women's Economic Empowerment: Leave No One Behind – Take Action for Transformational Change on Women's Economic Empowerment <http://hlp-wee.unwomen.org/->

²⁰ <https://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability>

gender within a given context. In addition, evaluators should be aware of their own position of power, which can influence the responses to queries through their interactions with stakeholders. There is a need to be sensitive to these dynamics.

Evaluators hired by UNCDF should also be able to incorporate other cross-cutting areas as relevant to each evaluation such as respect for the environment, climate change adaptation and focus on vulnerable persons within communities. These are described in Section 6.10.3 of UNDP's evaluation quality standard.²¹

d. Highlights of evaluation methodology used by UNCDF, including the importance of innovation in evaluation

Looking at the methodological approaches applied by UNCDF's Evaluation Unit in recent years, and in line with the ambitions set out in UNCDF's Strategic Framework, evaluations typically incorporate a complexity lense, looking broadly at UNCDF's contributions to changes in inclusive finance and local development finance systems as well as more specifically through its support to market participants and local and central governments that enable these changes to take place.

To do this, evaluation design has typically relied on organization- and programme- level theories of change against which evaluators – using a variety of mixed methods - can validate or explore further key causal relationships at different levels of the intervention and contributions (or not) to key policy and market systems that influence the flows and sources of finance. In doing so, UNCDF evaluators rely on secondary data made available by the entity being evaluated as well as the primary data that they generate themselves during the various stages of the evaluation exercise.

UNCDF's Evaluation Unit is serious about the quality of its evaluations²². In addition to the expertise sought to conduct each evaluation, UNCDF is an active member of the international development evaluation community, contributing to - and learning from - the work of a number of communities of practice that are active in developing new standards and practices in development evaluation. This includes: i) active participation in the UN Evaluation Group in which it has taken a particular interest in supporting professionalization in evaluation methods across the UN system and ii) support to the work of the evolving frameworks in the assessment of market systems changes for the poor including, but not limited to, the Consultative Group to Assist the Poor (CGAP)'s new agenda on evaluating the impact of financial services²³ and the Donor Committee for Enterprise Development standards for measuring results of support to the private sector and market systems changes.²⁴ It also closely monitors the evolving standards around assessing impact investing promoted by organisations such as the International Finance Corporation²⁵, the Global Impact Investing Network²⁶, and the Impact Management Project²⁷, and it has supported the work of OECD's Development Cooperation Directorate to promote the development of new standards to monitor and evaluate the results of blended finance initiatives²⁸ and around the financing for development agenda which are core financing modalities set out in the Addis Ababa Action Agenda to finance the SDGs.²⁹

²¹ <http://web.undp.org/evaluation/guideline/>

²² As per the Evaluation Policy, all UNCDF evaluations are subject to external quality assessment against international quality benchmarks by UNDP's Independent Evaluation Office. Since 2016, of thirteen evaluations submitted, twelve have received the top two quality scores of: 'highly satisfactory' or 'satisfactory'. For more information on the quality standards applied, again please see section 6 of UNDP's Evaluation Guidelines:

<http://web.undp.org/evaluation/guideline/>

²³ <https://www.cgap.org/research/publication/toward-new-impact-narrative-financial-inclusion>

²⁴ <https://www.enterprise-development.org/measuring-results-the-dced-standard/>

²⁵

https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/development+impact/principles/opim

²⁶ <https://iris.thegiin.org>

²⁷ <https://impactmanagementproject.com>

²⁸ https://www.oecd-ilibrary.org/development/blended-finance-evaluation_4c1fc76e-en

²⁹ <https://www.un.org/esa/ffd/publications/aaaa-outcome.html>

A core objective of this RFP is to allow UNCDF to continue to experiment with new approaches, methods and techniques in the design and conduct of its evaluations in support of UNCDF's evolving mandate as the development finance agency of the United Nations as well as the work of the United Nations Evaluation Group.

Part II - Long-Term Agreement

A. Objectives

To ensure UNCDF continues to meet the standards expected of its Evaluation Unit in supporting UNCDF deliver the objectives of its Strategic Framework, this Request for Proposal has two objectives:

- 1) Establish a pool of specialised evaluation firms that have the capacity, expertise and experience to conduct independent, external, thematic, programme and project evaluations across the full portfolio of UNCDF interventions at short notice and in full respect of the United Nations quality standards for evaluation
- 2) Support UNCDF's attempts to strengthen the practice of evaluation within UNCDF and across the UN system through the introduction of innovative approaches, methods and techniques to its evaluation work in line with evolving best practice internationally.

Once pre-selected, companies will be issued a non-exclusive Long-Term Agreement (LTA) and may be called upon at short notice to propose evaluation teams to conduct evaluations from UNCDF's Evaluation Plan as well as any *ad hoc* evaluation exercises as they arise.

In UNCDF, an LTA is a framework agreement by and between UNCDF and a company where the latter may, at any time within the duration of the LTA, be required to render the agreed services at the agreed and fixed unit prices for a minimum period of 12 months, with potential extension for up to a maximum of two (2) additional years, depending on satisfactory performance of the company, and continued need for their services. Under an LTA, UNCDF does not guarantee that any specific quantity of services shall be purchased during the term of this agreement. The LTA does not form a financial obligation or commitment from UNDP at the time the LTA contract.

Where a request for service arises, UNCDF shall engage the company through a "call-off" of the LTA. The call-off shall be formalized through the issuance of a Contract for Services, attaching thereto the specific TOR, and any other document relevant to the call-off. Financial commitments shall only be established each time a call-off is made.

Where there are multiple companies qualified to perform the services on an assignment, UNCDF reserves the right to conduct a secondary competition among them in order to determine who should receive the call-off.

The LTA shall have a cumulative ceiling amount that may accrue to the company during the life of the LTA, but said amount shall remain as an upper limit, and must not and cannot be interpreted nor understood as neither a financial commitment nor guarantee of business volume. The said limit shall be inclusive of both professional fees and all other travel entitlements paid to the company by UNCDF.

B. Scope of work

As mentioned above, valuation in UNCDF is conducted according to a published Evaluation Plan which is updated on an annual basis. The Plan is annexed to the Strategic Framework including a general description of the objectives and practice of the evaluation function in UNCDF.³⁰ Over the period 2020 – 2021, we plan to conduct nine thematic, programme and project evaluations³¹ in UNCDF's two Practice Areas of Financial Inclusion and Local Development Finance which operate in more than 30 Least Developed Countries in Asia and Africa.³² Please note that this scope of work may change depending on the demand for evaluation from within UNCDF, and from our external partners.

The exact timeframe and expected deliverables for each evaluation will be agreed with the evaluation team prior to the start of the contract for each evaluation and refined during the inception phase. The final schedule of deliverables for each evaluation will be presented in an inception report. All completed evaluations in UNCDF are assessed against UNDP Independent Evaluation Offices' quality assessment standard for evaluation reports³³ which is used by the Evaluation Unit in its quality control processes throughout the conduct of an evaluation. At the end of the evaluation exercise, the Evaluation Unit reserves the right to request revisions to the evaluation deliverables until they meet this quality standard.

C. Typical stages of programme and project evaluations at UNCDF

Once a firm has been procured for an evaluation, there are typically three stages to an evaluation exercise: i) inception, ii) data collection, analysis, including country visits; iii) report write up, finalisation and initial dissemination of evaluation results to key stakeholders.³⁴

i. Inception Phase

The objective of the inception phase is for the evaluation team to fully acquaint itself with the intervention being evaluated, including through interviews with key stakeholders, review of key documentation and begin to put in place plans for the data collection phase, including country visits.

The key deliverable for this phase is an inception report which presents i) a refined description of what will be evaluated (building on the Terms of Reference); ii) a summary of the evaluation approach to be applied, including an overview of the general evaluation approach to be followed, and details on the specific elements of the methodology that will be applied, including the lines of evidence to be applied, approach to sampling, interview protocols etc; iii) details of how the evaluation will be managed and governed, through the support of an Advisory Panel and/or Reference Group as necessary; iv) an evaluation workplan describing the dates for submission of key deliverables and a detailed schedule of planned country visits, including key stakeholders etc. A detailed template will be provided to help evaluation teams submit the inception report which should typically be no longer than 20 – 25 pages, excluding annexes.

³⁰ https://papersmart.unmeetings.org/media2/18271163/dp2018-5_annex-4.pdf

³¹ As noted above, UNCDF spends around 1% of its annual programmatic expenditure on evaluation per year. For more information, please refer to UNDP's Evaluation Resource Center which presents all completed UNCDF evaluations (and their management responses), including details on their cost: <https://erc.undp.org/evaluation/units/255>

³² A new Evaluation Plan will be published as an Annex to UNCDF's next Strategic Framework which will take effect in January 2022.

³³ <http://web.undp.org/evaluation/guideline/section-6.shtml>

³⁴ For the coming months, we will of course take full account of the evolving situation related to COVID in our evaluation planning. In deploying evaluation teams, we will fully respect the guidance from UN country offices that are drawn up in consultation with host governments. For more information on how our evaluation practice may evolve in the short- to medium-term, please refer to this guidance note from UNDP's Independent Evaluation Office: <http://web.undp.org/evaluation/guideline/covid19.shtml>

The 1st draft of the inception report and data collection toolkit will be reviewed by the Evaluation Unit and revised by the Evaluation Team. The 2nd draft will be shared with the Advisory Panel for comments. The Evaluation Team will develop a final Inception Report integrating the feedback received to be approved before the end of the data collection phase.

ii. Data collection and analysis phase, including visits to programme countries

During the data collection and analysis stage, the evaluation team applies the methodology agreed during the first phase, including interviews of key global stakeholders, desk review and analysis of key programme documents, reports and data as well as visits to one or more countries in which the intervention is being implemented.

Country visits include meetings with key stakeholders (UNCDF, other UN agencies, government partners, private sector partners etc), visiting project sites, including meetings with programme beneficiaries, and interactions with the programme team. This allows evaluation teams to validate or explore further the secondary data that is provided to them at the start of the inception phase, as well as generate additional primary data according to the different lines of evidence necessary to answer the evaluation questions.

Evaluation teams will be hosted by the programme being evaluated but are responsible for setting up the details of the country visit (logistics, organizing meetings with key stakeholders) as far as that is possible. Country visits typically end with an informal debrief of emerging findings with the programme to ensure accuracy and to begin to build ownership of evaluation findings with evaluation utility in mind.

iii. report write up and finalisation stage

The main focus of this stage is drafting an evidence – based evaluation report presenting a set of evaluation findings organised by evaluation question leading to a set of evaluative conclusions, recommendations and lessons learnt.

Evaluation reports should be concise and incorporate highlights from the different lines of evidence, including case studies and country reports depending on the intervention being evaluated.

Evaluation reports are expected to meet a set of forty-plus quality criteria³⁵ which have been established by UNDP's Independent Evaluation Office in support of the methodological and technical credibility of the evaluation report and its broader utility to key evaluation stakeholders. In line with the requirements for independent evaluation at the United Nations, presenting evidence-based impartial analysis, the evaluation report is expected to be *wholly* the work of the evaluation team working in line with UN evaluation standards, including the need for impartiality and the respect of the principles of ethical research in public policy.

In cases where country reports and case studies are requested in the Terms of Reference, these should be presented as stand-alone, publishable annexes to the evaluation report. Their function is to dive more deeply into the performance of certain aspects of the programme and to give appropriate prominence to the role of context in the policy and institutional setting in which UNCDF is active.

Typically, draft evaluation reports go through a number of stages of quality assurance before being approved by the Evaluation Unit:

The first draft will be reviewed by the Evaluation Unit to check for methodological integrity and to see to what extent the quality standards have been respected.

³⁵ <http://web.undp.org/evaluation/guideline/>

The second draft addressing the Evaluation Unit's feedback will be shared with the Advisory Panel and programme staff to ensure accuracy and an appropriate understanding of the context in which the programme was rolled out.

A third draft is typically shared with key strategic decision makers in UNCDF and partner organisations ahead of a HQ debrief of evaluation findings that is convened by UNCDF's Executive Secretary.

The Evaluation Unit reserves the right to request additional changes to the report to ensure respect of the quality standards which will be verified and published in the form of a quality assessment exercise at the end of the evaluation exercise.

In submitting the draft reports, the evaluation team should maintain an audit trail of the comments received and provide a response on how the comments were addressed in the revised drafts.

Evaluation reports should be typically be between 35 – 45 pages in length depending on the size of the intervention being assessed, not including Annexes. A template for the evaluation report will be provided by the Evaluation Unit at the start of the inception phase.

D. Management of this RfP

As the commissioning entity, UNCDF's Evaluation Unit in New York is responsible for the management of this Long-Term Agreement, including the selection of the shortlisted companies, and then for the selection and management of firms from the shortlist for each individual evaluation exercise.

The Evaluation Unit will provide administrative and substantive support, including joining the evaluation team in selected field visits, and is responsible for the overall quality of the evaluation reports. The Evaluation Unit will ensure that the evaluation is conducted according to UNEG Norms and Standards in Evaluation in the UN System, UNEG Code of Conduct for Evaluation in the UN System and UNEG Guidance for Integrating Human Rights and Gender Equality in Evaluation.

An Advisory Panel for each evaluation will be set up, composed of representatives of UNCDF's Programmatic Divisions as well as from partners amongst international development agencies and UNCDF's partner governments in the LDCs. The role of the Advisory Committee is to support the Evaluation Unit in managing the evaluation by participating in the following:

- I. Reviewing the TOR
- II. Reviewing and commenting on the inception report
- III. Reviewing and commenting upon the evaluation deliverables (draft report, case studies, country reports)
- IV. Being available for interviews with the evaluation team
- V. Facilities to be provided by UNCDF

Duration and location of this long-term agreement

The initial duration of contract with the successful companies that will sign the LTA will be 1 year, with the possibility of extension for two (2) additional year(s) based on documented satisfactory performance to be conducted on an annual basis.

At the end of the third year of the LTAs, UNCDF procurement policy requires that a new selection process be undertaken. The LTA holders for this round of selection process shall remain qualified to obtain another LTA, provided their performance is consistently satisfactory.

UNCDF works in 31 of the LDCs. Successful firms will be expected to mobilise evaluation teams who are able to work any one of UNCDF's partner LDC countries in Africa, South East Asia and the Pacific working in either English or in French as appropriate.

D. Expected professional qualifications of the successful contractor and its key personnel

Successful and credible evaluation depends in large part on the experience and expertise of the evaluation team (and of the evaluation firms that are supervising their teams) that have been commissioned to undertake the evaluation. In UNCDF's experience, the specific skills expected of its evaluators can vary from evaluation to evaluation but can be generally summarized to include knowledge and experience of conducting evaluations and delivering evaluation reports that meet our quality standards as well as sufficient technical knowledge of the sector and intervention being assessed to result in a set of credible and useful evaluation findings for UNCDF. Drawing on existing professional competency frameworks³⁶, we set out below an overview i) of the expert roles that we expect evaluation firms to fill in their evaluation teams and ii) of the specific skills and experience of that we are expecting these experts to offer.

Please recall that for the purposes of this RfP we are expecting firms to bid separately for evaluations of UNCDF's i) local development finance work and ii) inclusive finance work. In cases where firms are interested in being considered for both types of evaluation, firms should submit two separate proposals.

1) Typical expert roles in UNCDF evaluation

- Evaluation Project Directors/Team Leaders (with at least 7 years of relevant experience)
- Lead Inclusive Finance Experts, Lead Local Development Finance Experts, Lead MSME Investment Finance Experts (with at least 10 years relevant experience)
- Experts in women's economic empowerment and gender-responsive financial inclusion
- Evaluation methodology experts
- Junior experts experienced in data collection and data analysis in evaluation exercises.

2) Typical skills and experience required of evaluation team members

i) Evaluation expertise and experience

Drawing on the United Nations Evaluation Group competency framework for evaluation, the skills sought can be divided into the following three categories:

a. Professional Foundations

Evaluation teams in general are expected to be knowledgeable about, and experienced in the conduct of, international development evaluation and the general principles that underpin it. This includes general knowledge of evaluation theory and practice as applied to the international bilateral and multilateral system; awareness of the norms and standards that govern the operations of evaluation functions in such settings, including the ethical principles and integrity that need to be exhibited by evaluation consultants working on behalf of international development organisations, as well the main elements of a gender - and human rights -based approach to conducting evaluation in line with the standards set for UN evaluators. In particular, at least one evaluator (ideally the Team Leader) should have equivalent experience at the level

³⁶ See, for example, the professional competency framework for UN evaluators put in place by the United Nations Evaluation Group: <http://www.unevaluation.org/document/detail/1915>

of a Senior Evaluation Officer in the UNEG competency framework. For more information pages 8 – 9 of the Competency Framework.

b. Technical Evaluation Skills

Technical evaluation skills include: knowledge of how to identify evaluation needs and how evaluation questions are derived; solid knowledge of appropriate evaluation approaches, methods and techniques to the evaluation questions being posed; the discipline and experience to document findings from different lines of evidence – both qualitative and quantitative - as well as the analytical skills to interpret findings and to formulate conclusions, lessons and recommendations that are clearly related to the findings and the conclusions. Added to this, we expect firms to be knowledgeable and up to date on evaluation standards in technical areas that pertain particularly to UNCDF: inclusive finance, local development finance channeled by both public and private sector actors, ‘missing middle’ enterprise financing in developing countries, evaluating market systems for the poor, gender-responsive evaluation etc. Typically we expect at least one Team Member per Team deployed to be trained and experienced in evaluation methodology and to be responsible for the roll out of all stages of the evaluation exercise from inception through to conduct of the country visits and collection of data and finally to the aggregation of the data and writing of the evaluation report in respect of the highest standards of methodological integrity. For more information, please see pages 14 – 16 of the Competency Framework.

Key evaluation approaches and methods of evaluation that UNCDF is either currently deploying or looking to further develop include: mixed-methods, theory-based evaluation addressing changes in complex market and policy systems (including contribution analysis, process tracing, outcome mapping, most significant change, *ex post* evaluation methods etc); counterfactual impact evaluations, with a focus on quantitative techniques; alternative approaches to impact evaluation using qualitative techniques, particularly case studies; developmental evaluation techniques supporting adaptive design and management of innovative initiatives; evaluation of blended finance interventions drawing on evolving approaches to private sector impact assessment and the latest approaches to assessing the development and financial additionality of its interventions etc.

c. Management and Interpersonal skills

Management skills within and across evaluation teams are critical to the successful conduct and completion of an evaluation exercise. Interpersonal skills are essential for successful engagement with the whole range of stakeholders that the team evaluating the work of an inter-governmental organization such as UNCDF is likely to encounter (e.g. representatives of partner governments, development funders, private sector partners, civil society organisations, representatives of programme beneficiaries not to mention the staff in the programme and organization being evaluated.)

These skills include the ability to plan the team’s work, coordinate and supervise the conduct of the evaluation exercises, including the timely submission of agreed programme deliverables; and communication skills, facilitation skills and knowledge sharing skills all adjusted for the specific requirements of working in occasionally sensitive UN settings working with officials and partners from a variety of countries and cultures. For more information, please see pages xx – xx of the Competency Framework.

ii) Technical skills and experience

UNCDF’s main technical focus as a development finance agency targeting the LDCs as seen above and below is support to financial inclusion, local development finance as well as support to SME finance as a set of instruments to help LDC governments meet the SDGs.

The primary SDGs targeted are SDG 1 with a focus on reaching the last mile and addressing exclusion and inequality of access and SDG 17 with a focus on unlocking public and private finance for the poor at the local level. Through its interventions, UNCDF also contributes to a set of thematic SDGs including SDG 5 - Gender Equality; SDG 7 Affordable and Clean Energy; SDG 8 – Decent Work and Economic Growth; SDG 9 – Industry, Innovation and Infrastructure; SDG 11 – Sustainable Cities and Communities; and SDG 13 – Climate Action.

In selecting its evaluation teams, UNCDF's Evaluation Unit expects its consultants to have knowledge and experience both of UNCDF's areas of practice but also their application to the specific SDGs through a set of thematic programmes and projects.

The specific skills sought in our evaluation teams are as follows:

1. Financial Inclusion

UNCDF's interventions supporting the development of financial markets for the unbanked and underbanked in the LDCs work with a variety of macro-, meso and micro-level partners and deploy the full toolkit of UNCDF's financial instruments (TA, grants, loans and guarantees). Key partners typically include central government regulators in Ministries of Finance and Central Bank, meso-level actors such as chambers of commerce, microfinance associations, civil society organisations as well as the participants in the financial markets themselves (banks, microfinance organisations, mobile money operator associations, telecommunications companies, fintech companies etc. We expect our evaluation teams to have technical experience of working with such instruments and partners with a view to generating technically credible evaluation findings and recommendations. Key skill areas that we are looking for include:

Inclusive finance generally

- Strong knowledge and expertise across the whole team of supporting the development of the inclusive finance sector in developing countries, with a particular focus on initiatives supporting the introduction of inclusive digital finance approaches
- In particular, strong knowledge and experience of working with partner governments to develop national financial inclusion strategies, with a focus on supporting the digital transition both from a technical angle but also from a policy process perspective, helping government Ministries develop and pass these strategies into law
- Linked to that, knowledge and experience of conducting and/or overseeing financial inclusion diagnostic exercises, on both the supply and demand side, including incorporation of a livelihoods and gender-responsive approach as a core analytical framework;
- Experience in regional financial market facilitation, funding facilities and market assessment and design of inclusive finance interventions more generally, including human-centered design approaches;
- Experience in assessing the business case and transformational value of products, delivery models and channels for inclusive finance linked with the real economy, as well as understanding of the product innovation and product development processes within financial institutions, with a view to expanding mass market financial services to under-served market segments (women and rural areas);

Evaluation of inclusive finance interventions more specifically (in addition to the general skills mentioned above)

- Technical expertise and experience in evaluation and experience in designing and managing interventions in the field of financial inclusion, financial inclusion diagnostics and market development, especially in the area of digital financial inclusion;
- Comprehensive knowledge of inclusive finance industry best practices in measuring and evaluating the results of development cooperation, including the use of CGAP benchmarks for the performance of financial service providers, and the latest CGAP and/or DCED guidance and standards in measuring market development along with knowledge of emerging standards in alternative delivery channels and GSMA responsible mobile money guidelines;
- Demonstrable expertise in designing and conducting evaluations in the field of financial inclusion, especially digital, in developing countries; familiarity with approaches used to assess program contribution to market development/systemic changes in the area of financial inclusion
- Experience in integrating gender equality and women's empowerment in evaluation;
- Evidence of formal evaluation and research training, including familiarity with OECD or UN norms and standards for development evaluation, as well as the evaluation of complexity as applied to market development approaches, such as that of CGAP and DCED. (Education certificates, trainings and previous professional experience will be considered as evidence);
- Strive for gender-balance in its composition;
- Be familiar with approaches used to assess program contribution to market development/systemic changes in the area of financial inclusion;

2. Local Development Finance

For UNCDF, local development is about improving the quality of life at the grassroots level. Inclusive growth requires that capital investments reach all geographic areas, and the investment requirements of secondary cities, growing peri-urban areas and rural regions are fully financed. This is intended to accelerate transformative growth and retain value within local economies. Increasing the capacity and fiscal space of local authorities can empower secondary cities, towns and rural areas to contribute to national development goals calling for an approach that mobilizes public and private resources, especially at the domestic level, for investment in local economies and societies.

UNCDF's last mile financing models provide seed capital to de-risk the local economic space and support the development of a pipeline of bankable projects. The intention is to demonstrate to private and public sector investors how financing local infrastructure and essential services can generate both financial and social returns. Investment in small but transformational infrastructure projects at the local level are intended to create development results in terms of improved food security, women's economic empowerment, renewable clean energy, climate resilience and local economic development.

We expect our evaluation teams to have technical experience of working with such instruments and partner organisations with a view to generating technically credible evaluation findings and recommendations. Key skill areas that we are looking for in our evaluators include:

Local development finance generally:

- Expertise and professional experience in the fields of local economic development, public finance, inter-governmental fiscal transfer systems and public and private partnerships particularly at the municipal and local levels
- Experience in international development finance, including experience in designing, managing and accessing the performance of development finance instruments supporting infrastructure development in developing countries at the national and local levels. This experience should include expert knowledge and awareness of different tools and methods to promote and enhance local

fiscal systems (including for example municipal finance, knowledge of public-private partnership mechanisms, knowledge of SME financing)

- A sound understanding of national, regional and international financing arrangements, modalities and challenges for local governments in the LDCs;
- Experience in the field of local or governance, adaptation and development planning, public financial management/budgeting, especially related to thematic areas of climate finance, and/or climate change mainstreaming, promoting food security and women's economic empowerment
- Experience in i) developing finance mechanisms and resource mobilization plans; ii) participatory budgeting on environment, climate change, natural resources and social issues and with iii) performance-based grants and similar tools like budget support, ideally for climate change adaptation;

Evaluation of local development finance interventions more specifically (in addition to the general skills mentioned above)

- Experience with approaches used to measure the performance of local development finance initiatives by the international financial institutions in the least developed countries such as the World Observatory of Subnational Financing and Investment and should offer expertise and experience including technical knowledge of development finance and local government reform and experience of introducing new financial mechanisms into domestic financial systems;
- Experience in conducting evaluations, including proven ability to collect, present, analyze and aggregate data and to do so in conformity with relevant United Nations Evaluation Group norms on mainstreaming gender in development evaluation;
- Experience in leading evaluations assessing the results of public and private finance initiatives in developing countries using a range of relevant qualitative and quantitative evaluation tools is also expected
- Experience of applying international evaluation standards related to human rights and gender equality and experience in using methods and approaches that allow for differentiated and disaggregated analysis of gender in the evaluation reports being generated;
- Knowledge and experience of applying relevant industry performance benchmarks to measure the financial, economic and social impacts of development finance.

3. Investment financing

In line with UNCDF's objectives to unlock private capital in under-served markets, the LDC Investment Platform provides – through grants, reimbursable grants, loans and guarantees – seed funding to small and medium-sized enterprises for investments that are deemed too small or too risky by traditional investors. This works to de-risk and 'prime the pump' for domestic and foreign investors to participate in local initiatives.

This platform gives UNCDF flexibility to apply the appropriate funding instrument for each business need and to crowd in domestic and international investment with a view to increasing the number of financially viable investments that deliver development outcomes across the portfolio of UNCDF programmes and projects. Key skills that we are looking for include:

-a thorough understanding of credit risk policies and procedures, internal credit risk models, investment portfolio management and risk analysis, financial modeling, equity valuation, legal structuring, and financial instruments and application of this understanding to identify benefits and potential risks of existing and new transactions

- an understanding of the full impact investment management cycle in an international development organization or development finance institution from setting clear strategic objectives, establishing organizational standards on accountability, due diligence, monitoring and transparency, promoting portfolio-level management, to ensuring sustainable impact post-investment.

- an understanding of appropriate results measurement frameworks for investments including expected financial and development impacts and the tools including emerging standards such as the IFC Impact Management Principles, IMP principles, GIIN frameworks, OECD blending finance evaluation and measurements among others

- an understanding of gender-focused impact investment and approaches to ensure that investments target under-served communities and vulnerable populations

Annex 1 to the Terms of Reference:

Example of UNCDF intervention to be evaluated in the area of inclusive finance: UNCDF's *Expanding Financial Access programme* in Myanmar³⁷.

The details below should be used to help bidders respond to Section 3 of the Assessment Matrix above.

1. Programme Background

1.1 The Myanmar Financial Inclusion Roadmap

In 2013, UNCDF assisted the Government of the Republic of the Union of Myanmar ("the Government") with the preparation of a financial inclusion strategy intended to complement the country's broader poverty alleviation strategies. The objective was to ensure that financial sector development would complement development policy and poverty alleviation objectives. As part of the Making Access Possible programme³⁸, a comprehensive demand-side survey (FinScope survey) was conducted in 2013, followed by a diagnostic study³⁹ of the financial sector in 2014. The MAP Diagnostic addressed financial service demand as well as its supply and regulation. Arising from the survey data was a range of gaps and opportunities for financial sector development, from the perspective of financial inclusion.

MAP's data, analysis and conclusions laid the foundation for the National Financial Inclusion Roadmap 2014–2020 ("the Roadmap"). Endorsed in September 2014 by a Government-led Steering Committee in September 2014, and approved in February 2015 by the Government's National Cabinet, the Roadmap is the highest-level policy document on financial inclusion in Myanmar and provides a framework to define, agree, coordinate, measure and track efforts to address barriers to widespread financial inclusion in the country⁴⁰. It does so by laying out an overview of the key activities to be undertaken by development partners and their timelines to strengthen and deepen financial inclusion in Myanmar. The Roadmap calls for a stronger financial sector and an increase in both the rate of people who use financial services and the quality of financial service products available. In addition, it lays out key market segments to be prioritized within the broader client base, such as poor and low-income households, micro-entrepreneurs, and small- and medium-sized businesses, with a special focus on women, young people and the agricultural sector⁴¹.

1.2 The EFA programme⁴²

³⁷ Please note that the two programmes presented for evaluation in these two annexes were chosen to give bidders a representative sense of the kind of work that UNCDF does in its two main Practice areas in terms of mechanisms deployed and partnerships sought with central and local governments and private sector actors within single countries. The budgets of the two interventions are somewhat on the low side when compared to other UNCDF-supported initiatives which often straddle multiple countries and have programme budgets to match. For more information, please refer to the Evaluation Resource Center which includes information on the full range of UNCDF programmes and projects evaluated in recent years: <https://erc.undp.org/evaluation/units/255>

³⁸ <https://www.uncdf.org/map/homepage>

³⁹ UNCDF, FinMark Trust. *Making Access Possible (MAP) Myanmar – Demand, Supply, Policy and Regulatory 2014*.

Available at https://www.lift-fund.org/sites/lift-fund.org/files/publication/MAP_Myanmar_Diagnostic_full_report_Final.pdf

⁴⁰ The National Financial Inclusion Roadmap 2014–2020 is available at <https://www.uncdf.org/article/806/myanmar-financial-inclusion-roadmap-20142020-migration>

⁴¹ The MAP diagnostic was updated in November 2018.

⁴² <https://www.uncdf.org/expanding-financial-access>

Launched in 2015, Expanding Financial Access (EFA) was designed as a USD 25 million UNCDF country programme designed to support the Roadmap implementation, with the central goal of accelerating financial inclusion in Myanmar. More specifically,⁴³ EFA aims to achieve three main objectives by 2021:

- Increase the rate of financial inclusion among the country's 53.7 million adults from 30 to 40 percent;
- Raise the number of financial service clients using more than one financial service from 6 percent to 15 percent of adults;
- Ensure that at least 300,000 people—half of them women—benefit directly with another 600,000 benefitting indirectly.

Through EFA, UNCDF assists the Government to mobilize stakeholders around the Roadmap to ensure it is implemented and achieves its broader goal. While the rationale around EFA is to support the Roadmap implementation, the programme also provides further specific support for selected areas of the Roadmap where UNCDF's capabilities are aligned, particularly in the effort to strengthen the financial sector to more effectively serve low-income people. UNCDF and the Government play an active role in inviting other key stakeholders to support and contribute to different aspects of the Roadmap to ensure its full implementation.

EFA's theory of change combines a number of work streams focusing on strengthening the policy and regulatory environment including the capacity needed to implement the Financial Inclusion Roadmap, as well as strengthening the capacities of targeted FSPs and cooperatives in the low income segment to generate and share knowledge so as to support the implementation of the financial inclusion roadmap and support the country in meeting its financial inclusion goals.

As a consequence, the programme has three key components, namely: support to ensure the Roadmap implementation; initiatives to strengthen regulators and Financial Service Providers (FSPs) operating in the low-income market segment; and learning and knowledge sharing to complement the other work in the low-income market. The components in turn translate into the following three outputs:

- **Output 1 - Policy & Regulation:** The policy and regulatory environment is strengthened by enhancing the capacity of the regulators to implement the financial inclusion roadmap through Secretariat, and other related support. As well as by facilitating an enabling regulatory environment necessary for expanding and deepening financial inclusion in Myanmar, by building the institutional capacity of key government counterparts and creating regional linkages.
- **Output 2 – Strengthening FSPs:** UNCDF aims at utilizing grant and non-grant instruments (loans and guarantees) to support financial service providers to create and increase the range of affordable, quality and effective financial services which comply with international standards of responsible finance to key market segments (in particular small-scale farmers, urban poor and low income, youth, and women-led MSME). Within the intervention, UNCDF aims to ensure that supported FSPs implement global best practices in critical areas including gender, youth and responsible finance with expected results in the real economy for market participants and beneficiaries.
- **Output 3 - Knowledge Sharing:** Knowledge Management and Sharing. Learning and knowledge dissemination are implemented to dynamically adapt the project over time, and to encourage good practices in the regional financial inclusion agenda and hence contribute to the global financial inclusion agenda. The knowledge management plan is focused on the 5Ps of the knowledge management strategy: People, Processes, Products, Platforms and Partnerships.

⁴³ For the full EFA Project Document, see <https://www.uncdf.org/efa-myanmar-prodoc-migration>

EFA aims to create a more enabling environment for financial inclusion through each of its outputs. By supporting the structures and actions needed to resource and implement the Financial Inclusion Roadmap, the EFA project aims to ensure a deeper and broader financial sector in Myanmar, providing greater access to financial services for people (and especially women and youth), small businesses and small-scale farmers in supporting sustainable improvements in the livelihoods of poor people through increased incomes, employment creation and long-term security against shocks and hence equitable and sustainable inclusive growth at a national level.

1.3 Expansion of scope and programme design

Since its launch, EFA has gradually evolved from a mostly Roadmap-led intervention with additional targeted resources to a broader, more ambitious country framework programme that seeks to improve financial service access and usage to achieve equitable, sustainable and inclusive growth within the UN's Sustainable Development Goals (SDGs) and national poverty alleviation framework.

A core component of EFA is the Market Development Facility (MDF), which seeks to address systemic market failures in a number of thematic areas through targeted funding solutions. It functions as a catalytic wholesale financial agent able to take on risk and leverage outside sources of commercial capital to boost funding to under-capitalized MFIs operating in Myanmar⁴⁴.

Digital Financial Services and Women's Economic Empowerment are also critical cross-cutting themes. This has led to the inclusion of selected new projects from a number of development partners under its framework to provide financial services to low-income and vulnerable women, rural women and MSMEs; and also, to support the expansion and sustainability of MFIs in conflict and post-conflict affected areas of Myanmar. As of early 2020, the following initiatives were included under EFA (more information can be found under 2.4 Implementation status):

- **Revised Financial Inclusion Policy Roadmap** based on MAP2 (refresh process for MAP undertaken in 2018) – funded and in partnership with DFID/ DaNa facility and PGMF
- **Women's Economic and Financial Inclusion Program (WEFIP)** – DFID funded – start date September 2018
- **CB bank digital loan product development** – LIFT⁴⁵ funded- started beginning 2020.
- **Leaving No One Behind (LNB) initiative** – LIFT funded – started beginning 2020
- **MFI digitization initiative** - NORAD funded
- In partnership with UNWomen, UNCDF conducted a **market and value chain analysis** to inform agriculture and handicraft/weaving livelihood programmes in Rakhine and Kachin States.

1.4 Implementation status

Output 1: Policy and regulatory environment is strengthened. Total committed budget: \$645,000

EFA has supported and enhanced the capacity of the Myanmar Roadmap secretariat, by first supporting the establishment of Financial Inclusion Inter-Ministerial Steering Committee (IMSC), an action plan, an M&E framework and has provided TA to Secretariat Office of the (IMSC). The 2018 MAP Refresh findings have

⁴⁴ For more information on the MDF, see <https://www.uncdf.org/article/2717/market-development-facility-brief>.

⁴⁵ The Livelihoods and Food Security Fund (LIFT) is a multi-donor fund set up in 2009. <https://www.lift-fund.org/>

shown that financial inclusion in Myanmar has exceeded its target of 40% and stands at 48% of the population as of 2018. Based on the updated MAP Diagnostics, a new Financial Inclusion Roadmap will be developed and to run until 2024. In parallel, EFA has developed a resource mobilization strategy, and applied to the DaNA facility for secretariat support, allowing UNCDF and DaNa Facility to enter into a partnership agreement for Financial Inclusion Roadmap (FIRM) Secretariat Support.

In addition, EFA has supported the capacity building of government counterparts. It has established a close collaboration between UNCDF and Financial Regulatory Department (FRD), providing technical training introducing big data and analytics to the FRD staff. Furthermore, staff from the monetary union and from the Ministry of cooperatives attended the ACCU's Asian Credit Union Forum in Bangkok.

Output 2: Strengthened capacity of selected market participants. Total committed budget: \$3.2 million

To strengthen the capacity of selected market participants, EFA has adopted a variety of approaches: it established a Market Development Facility, supported the capacity development of cooperatives, worked to mobilize savings and catalyze electronic payments, assisted regulators to encourage the rolling out of new product categories, supported the ability of target populations to access and use financial services. Under the Gender Equity Fund (GEF), EFA conducted institutional gender assessments and through a grant agreement with SHIFT, BRAC Myanmar in partnership with L-IFT carried out a financial diaries project

EFA conducted research to design the Market Development Facility and established an operational manual approved by HQ. The MDF has extended a total of 5 loans to emerging financial services providers (FSP) with a total portfolio size of 1.6 Billion MMK.

EFA has worked to support the mobilization of savings by conducting a market assessment based on which EFA developed a proposal for the LIFT Programme to start an initiative on savings mobilization. It has worked to catalyze electronic payments, by conducting a market scoping based on which it submitted a country strategy to foster digital financial services. EFA has conducted workshops for MFIs on different business models to enter the digital space. Furthermore, a ranking of the players in the DFS space was conducted and several project documents were developed. The DFS Working Group was launched and EFA has led the development process of the working group, bringing together key stakeholders.

EFA has assisted regulators to encourage new product categories. Based on a request from the FRD a note on microinsurance was drafted, a regulatory mapping on financial sector regulations related to gender was conducted. EFA has supported the improvement in capacity of target populations to access and use financial services, by conducting a scoping mission for the development of gender-responsive financial instruments. EFA has worked to operationalize its Women's Economic Empowerment implementation plan and under partnership with SHIFT signed a grant contract with BRAC Myanmar Microfinance Co in partnership with L-IFT carried out a financial diaries project on the barriers to women's financial access.

EFA has developed a broad set of knowledge learning and communication material, ranging from client success stories, blog post on digital financial services, news article on MDF's financing of Pyae Mahar Services. EFA held numerous workshops and organized Women Economic Empowerment (PoWER) country assessment dissemination.

EFA also organized the 'National Financial Inclusion Forum' with over 170 representatives from government ministries and agencies, development partners and the private sector attending.

Output 3: Knowledge Sharing. Committed budget: USD 610,000

EFA has developed a broad set of knowledge learning and communication material, held numerous workshops and organized Women Economic Empowerment (PoWER) country assessment dissemination.

EFA also organized the 'National Financial Inclusion Forum' with over 170 representatives from government ministries and agencies, development partners and the private sector attending. **EFA**

Expansion / New Initiatives - Committed budget: approximately \$3 million

- Revised Financial Inclusion Policy Roadmap based on MAP2 (refresh process for MAP undertaken in 2018) – funded and in partnership with DFID/ DaNa facility and PGMF

The 2018 MAP Refresh findings have shown that the financial inclusion in Myanmar has exceeded its target of 40% as of 2018. Based on the updated MAP Diagnostics, a new Financial Inclusion Roadmap has been launched in 2019, and will cover 2019 to 2024.

- Women's Economic and Financial Inclusion Program (WEFIP) – DFID funded – start date September 2018

The Women's Economic and Financial Inclusion Project (WEFIP) aims to increase 200,000 women and girls' awareness of, access to, and agency over appropriate financial products and services responsibly provided by diverse and sustainable financial services providers in a well-regulated environment with a focus on conflict-affected areas of Myanmar. WEFIP also partners with the private sector to address financial needs of women and increasing female financial literacy, and promote workforce diversity and enhance their internal gender equality related institutional policies and practices. The WEFIP initiative proposes a stronger emphasis on the following;

- Digital loan product development – LIFT⁴⁶ funded- started beginning 2020

In partnership with a partner bank, UNCDF is working to develop digital loan products which will help "hanging in" low-income women living in rural areas by delivering affordable financial services through innovative digital channels tied to improved nutritional, digital, and financial awareness and practices.

- Leaving No One Behind (LNB) initiative – LIFT funded – started beginning 2020

LNB initiative will support the expansion of financial services to underserved and rural Myanmar communities, and provide technical assistance for the transformation of MFIs in Myanmar to transition from an NGO toward a corporate business structure in compliance with the Myanmar Company Law (MCL). LNB will lay the groundwork for potentially greater growth through commercial capital acquisition and ensure investment readiness, in order to develop the local microfinance sector and achieve financial stability.

- MFI digitization initiative - NORAD funded

In partnership with the Gates Foundation, UNCDF is working to develop an integrated MFI digital payment platform. The initiative will test and pilot a proof-of-concept integrated digital payment platform, thereby preparing MFIs to potentially connect with the National Payment System and other FSPs. Including MFIs in the National Payment System will allow for expanded consumer choice and lower the costs of accessing formal financial services, particularly amongst rural and remote populations.

Through this scalable solution, low income clients, particularly women and farmers, will have better access to loans, savings and payments. The linkage is expected to begin with loan repayments, and later include digital savings and emergency loan disbursement. The programme will focus on three different areas:

- 1 - *Digital Capacity building for MFIs and regulators*
- 2 – *Product design research*

⁴⁶ The Livelihoods and Food Security Fund (LIFT) is a multi-donor fund set up in 2009. <https://www.lift-fund.org/>

- 3 – *Interoperable Mojaloop test lab*

- In partnership with UNWomen, UNCDF conducted a market and value chain analysis to inform agriculture and handicraft/weaving livelihood programmes in Rakhine and Kachin States.

- *Rakhine*

The survey aims to guide interventions for UN Women's economic empowerment program for women "Inclusive development and empowerment of women in Rakhine state, Myanmar". The study aims to investigate two key sectors identified by UN Women as strategic entry points to further stimulate economic activity: agriculture, specifically rice seed production and cash crops, and the handicraft and weaving sector. The study also aims to explore linkages of producers from these sectors to local and urban markets using a value chain approach. Improving the linkages of female entrepreneurs with markets can reduce women's reliance on humanitarian assistance, by diversifying and stabilising their income generation strategies.

- *Kachin*

The survey aims to guide interventions for UN Women's (UNW) economic empowerment program for women "Preventing and Mitigating the impacts of Trafficking through Women's Empowerment in Kachin State, Myanmar". It investigates the current livelihood options, challenges and opportunities for women in IDP-camps in four townships in Kachin state. There are more than 150 Internally Displaced Persons (IDP)-camps spread across Kachin and Northern Shan State as a result of the conflict and most of the camps are located in non-government-controlled areas. The study therefore presents consumer, producer and market perspectives, to advance the establishment of possible value chains for women across handicraft, agriculture and other sectors in Kachin State. By advancing these value chains, women can achieve greater economic security and financial agency through higher incomes and increased stability.

2. Evaluation objectives

2.1 Purpose, scope and objectives of the evaluations

This evaluation is being conducted in accordance with UNCDF's Evaluation Plan 2018 – 2021, and in line with UNDP's Evaluation Policy (to which UNCDF is party) which sets out a number of guiding principles and key norms for evaluation in the organization following the standards of the United Nations Evaluation Group.⁴⁷ Amongst the norms that the Policy seeks to uphold, the most important are that the evaluation exercise is independent and provides technically and methodologically credible findings that are useful and relevant to support evidence-based programme management and broader strategic decision making.

With this in mind, the evaluation has been designed with the following overall objectives:

- i) to allow UNCDF and its funding partners to meet their accountability and learning objectives for this programme;
- ii) to support ongoing attempts by the programmes and their funders to capture good practice and lessons to date;
- iii) to guide and inform the remaining years of implementation as well as – if appropriate – inform subsequent UNCDF programming;
- iv) inform updating of UNCDF global strategies for financial inclusion within the framework of its 2018 – 2021 Strategic Framework⁴⁸

⁴⁷ For more information, please see: <http://web.undp.org/evaluation/policy.shtml>

⁴⁸ <http://www.uncdf.org/article/3207/strategic-framework-2018-21>

The mid-term evaluation is expected to **assess both the results to date (direct and indirect, whether intended or not) from the first years of implementation as well as the likelihood of the programme meeting its end goals** on the basis of current design, human resource structure, choice of partners, and broad implementation strategy, etc. It is expected that the evaluation will provide useful and **actionable recommendations** to increase the likelihood of success by the end of the programme. Critical to this evaluation is the assessment of the relevance and effectiveness of EFA's approach in 'moving the market' i.e. accelerating market development for financial inclusion in Myanmar, and in supporting the emergence of improved enabling environments for financial inclusion to increase the amounts of sustainable finance available for inclusive development.

The specific objectives of the evaluation are:

- To assist UNCDF and its partners understand the relevance, efficiency, effectiveness, and likely impact and sustainability of the programme
- More specifically, to understand the programme's results in financial inclusion to date: at both the direct investee level and the programme's current and likely contribution to market and policy development in Myanmar more generally, in line with UNCDF's maturity model and in support of the SDGs
- As a mid-term evaluation, to validate and/or suggest refinements to the programme's theory of change and the instruments and tools being deployed to meet the programme objectives

In conducting the evaluation, consultants are requested particularly to consider i) the context and challenges in which the programme operated and document lessons learned and ii) how well EFA is working with other UNCDF programmes, UNDO and other UN agencies as well as national partners

In reviewing the processes of programme implementation, the evaluation team is invited to look particularly at the deployment of the programme's various tools: grants, technical assistance and loans as well as the appropriateness of the financial and development impact frameworks applied in line with international good practice in this area.

2.2 Evaluation methodology:

The evaluation should be **transparent, inclusive, participatory and utilization-focused**. The overall methodology to be followed should be organized following a theory of change approach, framed by the UN/OECD DAC revised international evaluation criteria, and drawing upon a number of mixed methods (quantitative and qualitative) data to capture direct programme results, as well as (likely) contributions to market development and systemic change to date in the various countries in which it is intervening. To do so, the methodology should draw as appropriate on established measurement frameworks for capturing these kinds of development outcomes, such as the approaches of the Consultative Group to Assist the Poor (CGAP)⁴⁹ and/or the Donor Committee for Enterprise Development to measuring market development⁵⁰ as well as evolving approaches to capture the financial and development additionality of ODA support to private sector development.

The approach to the evaluation should also intend to capture progress against UNCDF's 'innovation-to-scale' or maturity model approach whereby UNCDF supported interventions aim to start with piloting/innovation, move to consolidation in additional countries before being scaled up by others in markets and country policy systems more broadly. In line with good practice in evaluating this type of

⁴⁹ http://www.cgap.org/sites/default/files/Technical-Guide-Measuring-Market-Development-Oct-2017_0.pdf

⁵⁰ <https://www.enterprise-development.org/measuring-results-the-dced-standard/>

complex system change-focused intervention⁵¹, the overall methodology should be based on three concrete pillars:

- i) the programme's **theory of change**;
- ii) an **evaluation matrix** grouping key evaluation questions and sub-questions by broad OECD/DAC criterion allowing analysis of programme results at different levels of its results chain
- iii) a **data collection toolkit** for the evaluation describing the quantitative and qualitative primary and secondary data collection tools that will be deployed to collect and analyse data to answer the evaluation questions.

Theory of change

The main analytical framework for the evaluations is provided by the programme's theory of change which helps organize the evaluation questions according to programme's expected results at each level of its results chain. In doing so, the evaluation should use as far as possible a contribution analysis approach with a view to understanding the influence of relevant contextual factors at the regional, national and local levels that may have influenced the programme's direct and indirect, intended and unintended results.⁵²

In line with UN evaluation practice, the scope of the evaluation should cover all six standard UN/OECD DAC revised evaluation criteria: relevance/ appropriateness of design, coherence, efficiency, effectiveness, and (likelihood of) impact and sustainability. In doing so, the focus of the evaluation goes beyond assessing whether UNCDF – together with its partners - is currently 'doing things right' in programme execution and management, to a broader assessment of whether, given available evidence, and in comparison with similar approaches implemented by others, the intervention looks to be the 'right approach' to achieving the higher-level objectives agreed in the initial phase.

Evaluation Matrix

In proposing how to conduct the evaluation, the evaluators should use an evaluation matrix organized by the evaluation criteria to operationalize the theory of change and its agreed framework of direct and indirect results into a set of measurable categories of evaluative analysis following the results chain of the intervention. The evaluation matrix should properly address cross-cutting issues as relevant, including gender, human rights, disabilities, minorities, vulnerable groups, poverty/environment nexus, risk reduction, crisis prevention and recovery.

Data collection toolkit

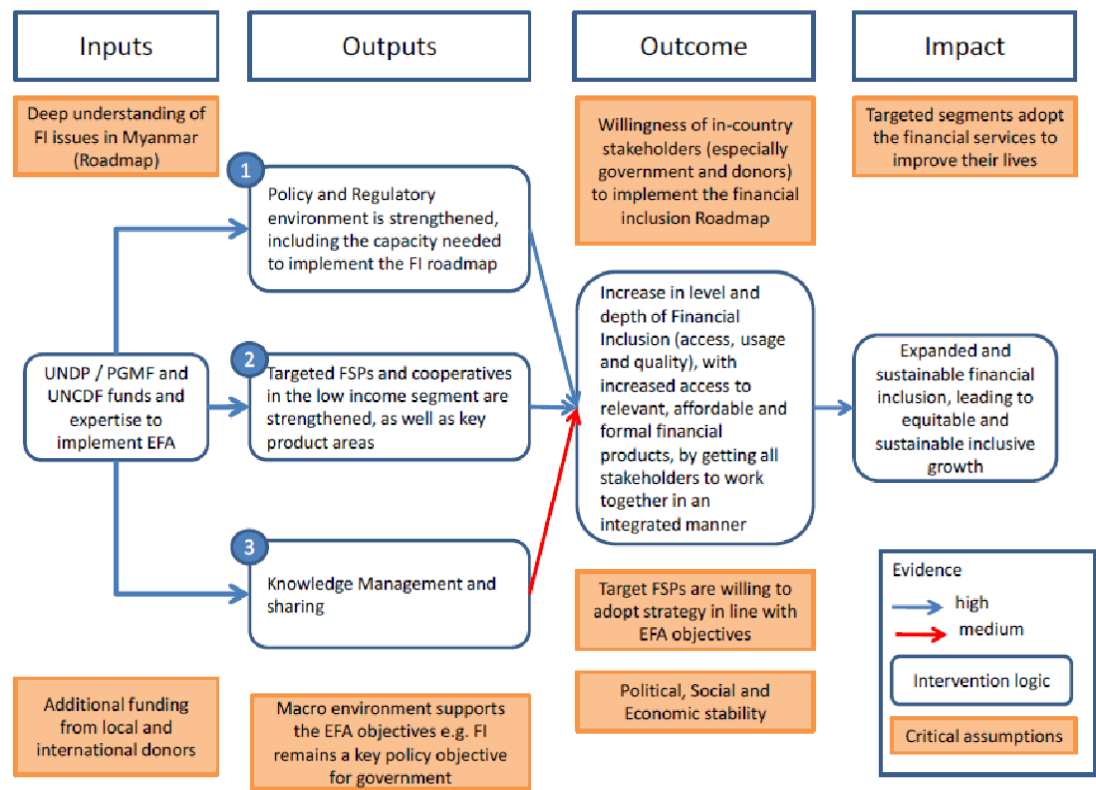
Finally, on the basis of the questions included above and the information present elsewhere in this Terms of Reference and on the EFA website, the evaluation team should design and deploy a data collection toolkit (that includes gender disaggregation and triangulation tools) that will include both existing secondary data as well as new primary data to be gathered during country visits which together will be able to answer the questions listed above.

⁵¹ See, for example, pages 78 – 79 in the recent guidance published by CGAP on how to evaluate the results of support to complex policy and market systems in financial inclusion: <http://www.cgap.org/publications/measuring-market-development> building.

⁵² For more information, please see: http://www.betterevaluation.org/en/plan/approach/contribution_analysis. Please also note the work of the Consultative Group to Assist the Poor (CGAP), the Donor Committee on Enterprise Development (DCED), the Springfield Center and others on this with specific reference to measuring the results of market development for the poor in the area of inclusive finance

The combination of primary and secondary tools or separate ‘lines of evidence’ should number at least five and be designed – as with the rest of the evaluation - with triangulation and complementary assessment of the sub-questions in the matrix in mind.

3. EFA Theory of Change (taken from the project document)



Annex 2 to the Terms of Reference:

Example of UNCDF intervention to be evaluated in the area of local development finance: the multi-donor Local Government Initiatives on Climate Change (LoGIC) in Bangladesh.

1. Programme description

The Local Government Initiatives on Climate change (LoGIC) is a joint project of the United Nations Capital development Fund and the United Nations Development Programme (UNDP), supported by the European Union and the Swedish International Development Agency (SIDA). LoGIC promotes local action on climate change adaptation at scale. The LoGIC project enhances the capacity of local government institutions, vulnerable communities, and civil society organisations for effective and inclusive local level planning and financing of climate change adaptation solutions in selected climate-vulnerable areas in Bangladesh. LoGIC establishes two financing mechanisms at the Union level of local government in Bangladesh: a Performance-Based Climate Resilient Grant System (supported by UNCDF as part of its global LoCAL programme⁵³) and a Community Resilience Fund (supported by UNDP).

By achieving its objectives and results, the project is expected to contribute to the reduction of poverty and vulnerability in Bangladesh. Specifically, the intervention aims at achieving the following objectives:

- a. To strengthen the capacity of local governments, households, and other local stakeholders, to develop local plans that integrate climate change adaptation measures and disaster risk management.
- b. To establish financing mechanisms to fund local governments and communities for implementing climate change adaptation measures.
- c. To produce information and evidence to feed further improvements in policies and practices for UPs and national systems in relation to climate change adaptation.

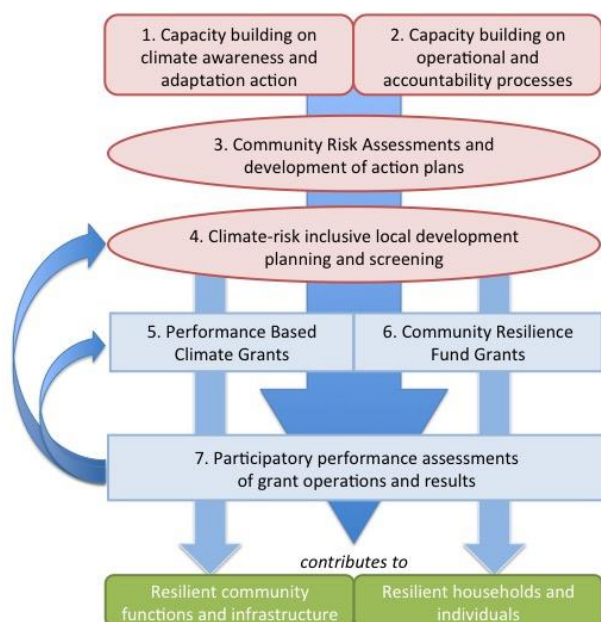
LoGIC is a Nationally Implemented Project (NIM) of the government of Bangladesh, in accordance with the National Implementation Manual, adopted in December 2004 by the Economic Relations Division (ERD), Ministry of Finance and UNDP. The LoGIC project has an independent structure as elaborated below:

1.1. Theory of change

Figure 1 provides a visual representation of the main approaches (or thematic areas) that make up the integrated strategy to achieve Output 1 (strengthened capacity of local governments to develop climate-sensitive LDPs) and Output 2 (establishing financing mechanisms to fund climate-sensitive Local Development Plans). The red-shaded approaches 1-4 are organized under outcome 1, and the blue-shaded approaches 5-7 are organized under outcome 2.

The approaches correspond directly to specific project outputs described under each outcome below. Combined, these project approaches are intended, over the longer term, to contribute to improved absorptive and adaptive capacity to deal with climate risks, shocks and stresses at the community and household level.

⁵³ <https://www.uncdf.org/local/homepage>



- Output 1: Strengthened capacity of local governments, households and other local stakeholders to develop local plans that integrate climate change adaptation measures and disaster risk management.
- Output 2: Established financing mechanisms to fund local governments and communities for implementing climate change adaptation measures
- Output 3: Evidence based learning and policy advocacy for scale up initiatives.

1.2. Duration and Geographical coverage

The project is a 48 month-long intervention being implemented in 72 Unions in seven districts⁵⁴ identified from the most vulnerable locations of Bangladesh. Multiple stages of the selection process were utilised to target the geographical locations for the project which include the following:

- Exposure to climate hazards and risks i.e. sea-level rise, increased salinity, cyclone, and flood.
- The concentration of extreme poverty based on the poverty map of Bangladesh and household income and expenditure survey.
- UNDAF-prioritized districts followed by the UN system for selecting its programming areas.
- Identified as a hard to reach areas and
- A measure of local inequality used to target the most vulnerable households.

List of selected districts and sub-districts for the project

District	Upazila	Climate Hazard
Khulna	Koira, Dacop	Salinity, Cyclone, SLR
Bagerhat	Mongla, Sharonkhola, Morelganj	Salinity, Cyclone, SLR
Patuakhali	Rangabali, Dashmina	SLR, Cyclone, Salinity
Barguna	Pathorghata, Sadar and Taltoli	Sea-level rise, Cyclone, Salinity
Bhola	Sadar, Doulatkhan and Borhanddin	Cyclone, Tidal Flood
Kurigram	Char Rajibpur, Roumari, Chilmari	Riverine and Flash Flood

⁵⁴ Selected from the UNDAF priority districts and Hard to reach category based on the working definition agreed by the two agencies.

Sumanganj	Tahirpur, Dirai, Salla	Flash Flood
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1.3. Project governance

The *National Project Director* (NPD), the Additional Secretary of LGD, leads the project. The NPD is assisted by a Deputy Secretary who is the project's Focal Person from the LGD and by the Project Coordinator employed by UNDP-UNCDF.

The *Project Steering Committee* (PSC) is the key decision-making and oversight body for LoGIC. The PSC provides policy guidelines, reviews all aspects of the project progress against targeted results, including examination of lessons learned and service delivery, and ensures coordination with other national initiatives and development projects. The PSC members include representatives from relevant ministries and departments of the Government of Bangladesh and respective development partners.

The *Project Implementation Committee (PIC)/Project Board* (PB), chaired by the NPD, is responsible to oversee the implementation of project activities. The PB is responsible for preparing and endorsing the annual and quarterly work plans and progress reports. It supervises the overall project implementation and day-to-day management of the project.

The *Project Assurance (PA)* role is vested with UNDP and UNCDF. UNDP's Resilience Cluster has the overall responsibility for quality assurance for UNDP-related activities. UNCDF's global LoCAL programme has the overall responsibility for quality assurance for UNCDF related activities through its country office staff.

1.4. Implementation Status

Output 1: Strengthened capacity of local governments, households and other local stakeholders to develop local plans that integrate CCA-DRR solutions. Committed budget: \$1.9 million

LoGIC set out to increase the capacity of vulnerable communities and Union Parishads for planning and financing climate change adaptation solutions in project areas, by first laying down the foundations of the intervention at the local government and community level.

At the local government level, LoGIC started by developing a Capacity Development Strategy, including modules on climate adaptive area specific livelihood options, designing training packages, revising Community Risk Assessment (CRA) guidelines and preparing the Community Resilience Fund (CRF) Operations Manual including household selection criteria.

LoGIC and its partners also organized multiple Inception Workshops at the level of the Union Parishad and District, to orient participants on LoGIC goal, objectives, activities, achievements and future plan, as well as on how to engage stakeholders effectively.

At the community level, **Household Risk Reduction Plans (HH-RRAP) of Community Resilience Fund (CRF) beneficiaries** were developed (1st round from 68 Wards of 33 Unions, or a total of 7928 CRF beneficiaries). The HH-RRAP were developed taking into consideration climate change impact, vulnerability and local context. Every household of project beneficiary actively participated in their development and opened an individual bank account in a local bank.

All the selected CRF beneficiary households (7928) received Livelihood training and were organised into groups (596). Each group has developed a business plan and received training on how to conduct enterprise-based cost-benefit analysis and assess profitability. Each group has planned for one or two climate adaptive livelihood options and received on their selected options.

A second round of beneficiary selection was conducted with 38 Unions (out of 71) added to the 33 Union selected of the 1st round. In addition, a total of 79 Wards were selected based on climate vulnerability, Digital Elevation Model (DEM), Poverty rate, housing status and employment.

Furthermore, orientation and Facilitation skill Development was held for 142 Community Mobilization Facilitators (CMF), and training on accounting and MIS software, as well as Adaptation Tracking Measuring (ATM) software were held for UP Secretary and Community Mobilization Facilitators.

Finally, staff Training on CRF and PBCRG Manuals was also organized with the objective of developing a clear understanding of the objectives and purpose including methodology on CRF and PBCRG Grant Mechanisms and build knowledge on reporting and monitoring system of the project.

Output 2: Established financing mechanism to fund local governments and communities for implementing climate change adaptation measures. Committed budget: \$16 million

LoGIC aimed to enhance access of Union Parishads and vulnerable households to climate funds for climate resilient infrastructures and adaptive livelihoods by providing Performance Based Climate Resilient Grants (PBCRG) and Community Resilience Fund (CRF).

This was done, by first hiring an audit firm to conduct a performance assessment of 72 Union Parishads. The team then developed a Performance Based Climate Resilience Grants (PBCRG) Operations manual, including a Grants monitoring mechanism in the project monitoring and evaluation framework and developed a Plan for Capacity development of CSO, local institutions and vulnerable households.

At the community level, 8,820 vulnerable households were selected as CRF recipient from 68 Wards of 33 Unions. A Community Resilience Fund (CRF) Operations Manual was developed, Grants disbursement and relevant compliance issues monitoring were included.

At the local government level, LoGIC facilitated 71 Union Parishads to develop **Risk Reduction Action Plan** (RRAP) to integrate climate resilience investment plans and financing through community risk assessment, capacity building, and technical support. RRAP is a document which will be used for next five years.

A total of 228 **PBCRG funded schemes** have been finalized for PBCRG 2018-19. The schemes were selected from the Community Risk Assessment (CRA) report followed by RRAP at Union Parishad level. The schemes were then screened through compliance with the UNDP's Social & Environmental screening and reviewed by the Project Management Unit (PMU) and endorsed by National Project Director (NPD). The schemes were selected considering the local climate change context, hazard and livelihoods of the vulnerable poor.

Output 3: Experience and evidence inform and contribute to further improvements in policies and practices for UPs and national systems in relation to CCA. Committed budget: \$1.25 million

To establish evidence-based advocacy for a mechanism for 'financing local resilience' LoGIC initiated a meeting with Hon'ble Minister of MoLGRD and Secretary of LGD to discuss the LoGIC project, progress. In addition, a three day long **joint field mission** to Patuakhali with delegates from EU, Sida, GoB, UNDP and UNCDF was conducted with the objective to present progress of the Local Government Initiative on Climate Change (LoGIC) project intervention at the Community and Household level.

1.5. Overview of monitoring data being collected

As part of the monitoring data collected, the programme has commissioned a baseline survey, annual progress reviews and an end-ciline survey. At the time of these TOR only the baseline survey was conducted. The baseline, annual review and end-line data collection forms an important component of LoGIC's M&E system. Other components include: an online database to track beneficiaries and activities in real time

(ATM); a beneficiary feedback mechanism; program quality monitoring; and a Management Information System (MIS).

2. Evaluation objectives

2.1. Purpose, scope and objectives of the evaluations

This evaluation is being conducted in accordance with UNCDF's Evaluation Plan 2018 – 2021, and UNDP's Evaluation Policy (to which UNCDF is party) which sets out a number of guiding principles and key norms for evaluation in UNCDF following the standards of the United Nations Evaluation Group.

Amongst the norms that the Policy seeks to uphold, the most important are that the evaluation exercise be independent, credible and able to provide information that is useful and relevant to support evidence-based programme management and broader strategic decision making. With this in mind, the evaluation has been designed with the following overall objectives:

- i) to allow UNCDF and funding partners to meet their accountability and learning objectives;
- ii) ensure that the evaluations can support ongoing attempts by LoGIC and its funders and key partners to capture good practice and lessons to date in an area of work which is evolving fast and is increasingly relevant to meeting the objectives of the Sustainable Development Goals;
- iii) to guide and inform the remaining years of implementation by positive and constructive recommendations;

The mid-term evaluation is expected to assess both the results to date (direct and indirect, whether intended or not) from the first years of implementation as well as the likelihood of the programme meeting its end goals on the basis of current design, human resource structure, broad implementation strategy, etc. It is expected that the evaluation will provide useful and actionable recommendations to increase the likelihood of success by the end of the programme.

Critical to this evaluation will be i) the assessment of the relevance and effectiveness of LoGIC's approach to improving inclusive local level planning and increasing funding for local and community based climate-change adaptation (CCA) and disaster risk reduction (DDR) solutions, supported by strengthened financing mechanisms as well as ii) the functioning of the two – agency partnership in cooperation with the host government in implementing LoGIC.

The specific objectives of the evaluation are to:

- Assist UNCDF, UNDP and its partners understand the relevance, coherence, efficiency, effectiveness, and likely impact and sustainability of the programme; including positive and negative, foreseen and unforeseen, changes and effects driven by project-supported interventions;
- To consider the likely impact and sustainability of the LoCAL approach on the policy and institutional environments at the national levels and on the implementation structures at the local levels in the countries in which LoCAL is being implemented
- Examine the hypotheses/assumptions embedded in Theory of Change of the LoGIC project and validate and/or refine the programme's theory of change at this stage of implementation;
- To consider the appropriateness to date of UNCDF's positioning as a UN agency support the direct access by LDCs to international climate finance at the local level
- Situate the programme in its broader institutional and policy environment with sustainability and impact in mind, and compared to similar programmes and other initiatives by other development partners including other LoCAL initiatives in particular those embedded in joint programmes;
- Consider LoGIC's contribution to "unlocking" private and public finance through its work with the public and private sectors

- Draw lessons learned and provide forward-looking operational and strategic recommendations that are realistic and practical in terms of programmatic approach and resource allocation to assist further improvement in the implementation of the programme over the remainder of its term and way forward for future intervention
- To assess the extent to which the application of the rights-based approach and gender-mainstreaming are sought.

The MTE will examine, in particular, results at the outputs level with a focus on the overall implementation process and progress towards project outcomes at the time of the mid-term evaluation, covering the period from the project launch. This includes a review of allocated resources for the spent/planned outputs and an identification of implementation issues at the activity level to pin down any emerging barriers and bottlenecks and come up with recommendations. This will also cover the results chain envisaged in the project document towards achieving the overall objectives. Taking into account that Output 3 of the project aims at national policy reform on climate change resilience, the MTE will also review alignment with the government national policies as well as its current capacity on policy review and monitoring.

The evaluation should be **transparent, inclusive, participatory and utilization-focused**. The overall methodology is organized following a theory of change approach, framed by the revised UN/Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) evaluation criteria drawing upon mixed methods (quantitative and qualitative) data to capture contributions to local fiscal space and local fixed capital formation as well as local economic expansion.

In line with good practice in evaluating this type of complex system change-focused intervention, the evaluation methodology should be organized around three concrete pillars:

- i) the programme's theory of change;
- ii) an evaluation matrix grouping key evaluation questions and sub-questions by broad OECD/DAC criterion allowing analysis of programme results at different levels of its results chain
- iii) a data collection toolkit for the evaluation describing the quantitative and qualitative primary and secondary data collection tools that will be deployed to collect and analyse data to answer the evaluation questions.

Bidders are requested to set out their planned data collection/analysis methodologies in the proposal, which will be scored in the selection process. In particular, higher scores will be given to an innovative and solid qualitative approach or any other appropriate method drawing on established techniques to quantify qualitative data to improve the validity and usefulness of the evaluation findings.⁵⁵

Theory of change

The main framework for evaluations of programmes of this type working to support change across multiple dimensions is provided by the programme's theory-of-change which helps frame the evaluation questions against the programme's expected end results and the impact pathways it should be following to achieve these end results, considering the influence of relevant contextual factors at the regional, national and local levels that may have influenced the programme results. In doing so, the evaluation should use a contribution analysis approach (or similar evaluative approaches) as a frame for conducting the evaluation with a view to capturing the programme's contribution to broader local system change.

⁵⁵ See, for example, the methods section on the betterevaluation.org website or guidance available within the international development evaluation community on selecting the most appropriate evaluation method to answer different type of evaluation question: e.g. <https://www.bond.org.uk/resources/evaluation-methods-tool>

In line with UN evaluation practice, the scope of the evaluation should cover all six revised UN/OECD DAC evaluation criteria: relevance/ appropriateness of design, coherence, efficiency, effectiveness, and (likelihood of) impact and sustainability, recognizing that at the mid-term stage of programme implementation there may be more to say about the programme's relevance and appropriateness of design, effectiveness and efficiency than impact and sustainability. In doing so, the focus of the evaluation goes beyond assessing whether UNCDF/UNDP are currently 'doing things right' in programme execution and management, to a broader assessment of whether, given evidence available, - as implemented by UNCDF together with key programme partners, and in comparison, with similar approaches implemented by others - looks to be the 'right approach' to achieving the higher-level objectives agreed in the initial phase.

The evaluation approach should also take into consideration, as far as possible, UNCDF/UNDP's broader monitoring efforts and incorporate – where possible - financial and economic evaluation techniques into the evaluation design.

The evaluation should draw upon **mixed methods of quantitative and qualitative data** using both existing secondary data sources and primary data to be collected during the evaluation, ensuring evidence-based findings and recommendations. The secondary data sources of the evaluation should include the studies commissioned by the programmes themselves (see Annex).

Evaluation Matrix

In proposing how to conduct the evaluation, the evaluators should use an evaluation matrix to operationalize the theory of change and its agreed framework of direct and indirect results into a set of measurable categories of evaluative analysis following the results chain of the intervention.

The table below presents a set of preliminary questions that the evaluators should apply in the evaluation. A final, more detailed evaluation matrix tailored to each programme should be developed during the inception phase on the basis of extensive document review and initial consultation with key programme stakeholders.

Data collection toolkit

Finally, on the basis of the questions included above, and the information present elsewhere in this To2, the evaluation team should design and deploy a data collection toolkit (that includes gender disaggregation and triangulation tools) that will include both existing secondary data as well as new primary data to be gathered during country visits which together will be able to answer the questions listed above.

The combination of primary and secondary tools or separate 'lines of evidence' should number at least five and be designed – as with the rest of the evaluation - with triangulation and complementary assessment of the sub-questions in the matrix in mind.

Part III – Instructions to Bidders and Assessment Criteria for the RfP

A. Instructions to bidders

In line with the objectives set out in the Terms of Reference (Section 5) and the evaluation criteria (Section 4) above, interested firms are invited to submit both a i) technical proposal describing how they would meet the requirements of this contract and ii) a financial proposal setting out in Form E below unit costs for each category of expert requested for each of the two types of evaluation they are interested in being considered for.

For the technical proposal, firms should provide a detailed overview of how they are best suited to mobilise evaluation teams who are able to meet the methodological and technical requirements of UNCDF evaluations outlined in section d. above. Proposals will be assessed against the categories and specific elements of expected performance set out in the assessment grid below:

Section 6: Returnable Bidding Forms / Checklist

This form serves as a checklist for preparation of your Proposal. Please complete the Returnable Bidding Forms in accordance with the instructions in the forms and return them as part of your Proposal submission. No alteration to format of forms shall be permitted and no substitution shall be accepted.

Before submitting your Proposal, please ensure compliance with the Proposal Submission instructions of the BDS 22.

Technical Proposal Envelope:

Have you duly completed all the Returnable Bidding Forms?	
▪ Form A: Technical Proposal Submission Form	<input type="checkbox"/>
▪ Form B: Bidder Information Form	<input type="checkbox"/>
▪ Form C: Joint Venture/Consortium/ Association Information Form	<input type="checkbox"/>
▪ Form D: Qualification Form	<input type="checkbox"/>
▪ Form E: Format of Technical Proposal	<input type="checkbox"/>
▪ Form H: Proposal Security Form	<input type="checkbox"/>
	<input type="checkbox"/>
Have you provided the required documents to establish compliance with the evaluation criteria in Section 4?	<input type="checkbox"/>

Financial Proposal Envelope

(Must be submitted in a separate sealed envelope/password protected email)

▪ Form F: Financial Proposal Submission Form	<input type="checkbox"/>
▪ Form G: Financial Proposal Form	<input type="checkbox"/>

Form A: Technical Proposal Submission Form

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

We, the undersigned, offer to provide the services for [Insert Title of services] in accordance with your Request for Proposal No. [Insert RFP Reference Number] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

We hereby declare that our firm, its affiliates or subsidiaries or employees, including any JV/Consortium /Association members or subcontractors or suppliers for any part of the contract:

- a) is not under procurement prohibition by the United Nations, including but not limited to prohibitions derived from the Compendium of United Nations Security Council Sanctions Lists;
- b) have not been suspended, debarred, sanctioned or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization;
- c) have no conflict of interest in accordance with Instruction to Bidders Clause 4;
- d) do not employ, or anticipate employing, any person(s) who is, or has been a UN staff member within the last year, if said UN staff member has or had prior professional dealings with our firm in his/her capacity as UN staff member within the last three years of service with the UN (in accordance with UN post-employment restrictions published in ST/SGB/2006/15);
- e) have not declared bankruptcy, are not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against them that could impair their operations in the foreseeable future;
- f) undertake not to engage in proscribed practices, including but not limited to corruption, fraud, coercion, collusion, obstruction, or any other unethical practice, with the UN or any other party, and to conduct business in a manner that averts any financial, operational, reputational or other undue risk to the UN and we embrace the principles of the United Nations Supplier Code of Conduct and adhere to the principles of the United Nations Global Compact.

We declare that all the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification and/or sanctioning by the UNCDF.

We offer to provide services in conformity with the Bidding documents, including the UNCDF General Conditions of Contract and in accordance with the Terms of Reference

Our Proposal shall be valid and remain binding upon us for the period of time specified in the Bid Data Sheet.

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

I, the undersigned, certify that I am duly authorized by [Insert Name of Bidder] to sign this Proposal and bind it should UNCDF accept this Proposal.

Name: _____

Title: _____

Date: _____

Signature: _____

[Stamp with official stamp of the Bidder]

Form B: Bidder Information Form

Legal name of Bidder	[Complete]
Legal address	[Complete]
Year of registration	[Complete]
Bidder's Authorized Representative Information	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
Are you a UNGM registered vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UGNM vendor number]
Are you a UNCDF vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UNCDF vendor number]
Countries of operation	[Complete]
No. of full-time employees	[Complete]
Quality Assurance Certification (e.g. ISO 9000 or Equivalent) (If yes, provide a Copy of the valid Certificate):	[Complete]
Does your Company hold any accreditation such as ISO 14001 related to the environment? (If yes, provide a Copy of the valid Certificate):	[Complete]
Does your Company have a written Statement of its Environmental Policy? (If yes, provide a Copy)	[Complete]
Contact person UNCDF may contact for requests for clarification during Proposal evaluation	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
Please attach the following documents:	<ul style="list-style-type: none"> ▪ Company Profile, which should <u>not</u> exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured ▪ Certificate of Incorporation/ Business Registration ▪ Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Bidder is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Bidder ▪ Trade name registration papers, if applicable ▪ Local Government permit to locate and operate in assignment location, if applicable ▪ Official Letter of Appointment as local representative, if Bidder is submitting a Bid in behalf of an entity located outside the country ▪ Power of Attorney

Form C: Joint Venture/Consortium/Association Information Form

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

To be completed and returned with your Proposal if the Proposal is submitted as a Joint Venture/Consortium/Association.

No	Name of Partner and contact information (address, telephone numbers, fax numbers, e-mail address)	Proposed proportion of responsibilities (in %) and type of services to be performed
1	[Complete]	[Complete]
2	[Complete]	[Complete]
3	[Complete]	[Complete]

Name of leading partner (with authority to bind the JV, Consortium, Association during the RFP process and, in the event a Contract is awarded, during contract execution)	[Complete]
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We have attached a copy of the below document signed by every partner, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture:

☐ Letter of intent to form a joint venture **OR** ☐ JV/Consortium/Association agreement

We hereby confirm that if the contract is awarded, all parties of the Joint Venture/Consortium/Association shall be jointly and severally liable to UNCDF for the fulfillment of the provisions of the Contract.

Name of partner: _____	Name of partner: _____
Signature: _____	Signature: _____
Date: _____	Date: _____

Name of partner: _____	Name of partner: _____
Signature: _____	Signature: _____
Date: _____	Date: _____

Form D: Qualification Form

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

If JV/Consortium/Association, to be completed by each partner.

Historical Contract Non-Performance

☐ Contract non-performance did not occur for the last 3 years

☐ Contract(s) not performed for the last 3 years

Year	Non- performed portion of contract	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Reason(s) for non-performance:	

Litigation History (including pending litigation)

☐ No litigation history for the last 3 years

☐ Litigation History as indicated below

Year of dispute	Amount in dispute (in US\$)	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Matter in dispute: Party who initiated the dispute: Status of dispute: Party awarded if resolved:	

Previous Relevant Experience

Please list only previous similar assignments successfully completed in the last 3 years.

List only those assignments for which the Bidder was legally contracted or sub-contracted by the Client as a company or was one of the Consortium/JV partners. Assignments completed by the Bidder's individual experts working privately or through other firms cannot be claimed as the relevant experience of the Bidder, or that of the Bidder's partners or sub-consultants, but can be claimed by the Experts themselves in their CVs. The Bidder should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if so requested by UNCDF.

Project name & Country of Assignment	Client & Reference Contact Details	Contract Value	Period of activity and status	Types of activities undertaken

Bidders may also attach their own Project Data Sheets with more details for assignments above.

☐ Attached are the Statements of Satisfactory Performance from the Top 3 (three) Clients or more.

Financial Standing

Annual Turnover for the last 3 years	Year	USD
	Year	USD
	Year	USD
Latest Credit Rating (if any), indicate the source		

Financial information (in US\$ equivalent)	Historic information for the last 3 years		
	Year 1	Year 2	Year 3
	<i>Information from Balance Sheet</i>		
Total Assets (TA)			
Total Liabilities (TL)			
Current Assets (CA)			
Current Liabilities (CL)			
	<i>Information from Income Statement</i>		
Total / Gross Revenue (TR)			
Profits Before Taxes (PBT)			
Net Profit			

Current Ratio			
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- ☐ Attached are copies of the audited financial statements (balance sheets, including all related notes, and income statements) for the years required above complying with the following condition:
- a) Must reflect the financial situation of the Bidder or party to a JV, and not sister or parent companies;
 - b) Historic financial statements must be audited by a certified public accountant;
 - c) Historic financial statements must correspond to accounting periods already completed and audited. No statements for partial periods shall be accepted.

Form E: Format of Technical Proposal

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

The Bidder's proposal should be organized to follow this format of Technical Proposal. Where the bidder is presented with a requirement or asked to use a specific approach, the bidder must not only state its acceptance, but also describe how it intends to comply with the requirements. Where a descriptive response is requested, failure to provide the same will be viewed as non-responsive.

SECTION 1: Bidder's qualification, capacity and expertise

- 1.1 Brief description of the organization, including the year and country of incorporation, and types of activities undertaken.
- 1.2 General organizational capability which is likely to affect implementation: management structure, financial stability and project financing capacity, project management controls, extent to which any work would be subcontracted (if so, provide details).
- 1.3 Relevance of specialized knowledge and experience on similar engagements done in the region/country.
- 1.4 Quality assurance procedures and risk mitigation measures.
- 1.5 Organization's commitment to sustainability.

SECTION 2: Proposed Methodology, Approach and Implementation Plan

This section should demonstrate the bidder's responsiveness to the TOR by identifying the specific components proposed, addressing the requirements, providing a detailed description of the essential performance characteristics proposed and demonstrating how the proposed approach and methodology meets or exceeds the requirements. All important aspects should be addressed in sufficient detail and different components of the project should be adequately weighted relative to one another.

- 2.1 A detailed description of the approach and methodology for how the Bidder will achieve the Terms of Reference of the project, keeping in mind the appropriateness to local conditions and project environment. Details how the different service elements shall be organized, controlled and delivered.
- 2.2 The methodology shall also include details of the Bidder's internal technical and quality assurance review mechanisms.
- 2.3 Explain whether any work would be subcontracted, to whom, how much percentage of the work, the rationale for such, and the roles of the proposed sub-contractors and how everyone will function as a team.
- 2.4 Description of available performance monitoring and evaluation mechanisms and tools; how they shall be adopted and used for a specific requirement.
- 2.5 Implementation plan including a Gantt Chart or Project Schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing.
- 2.6 Demonstrate how you plan to integrate sustainability measures in the execution of the contract.
- 2.7 Any other comments or information regarding the project approach and methodology that will be adopted.

SECTION 2A: Bidder's Comments and Suggestions on the Terms of Reference

Provide comments and suggestions on the Terms of Reference, or additional services that will be rendered beyond the requirements of the TOR, if any.

SECTION 3: Management Structure and Key Personnel

- 3.1 Describe the overall management approach toward planning and implementing the project. Include an organization chart for the management of the project describing the relationship of key positions and designations. Provide a spreadsheet to show the activities of each personnel and the time allocated for his/her involvement.
- 3.2 Provide CVs for key personnel that will be provided to support the implementation of this project using the format below. CVs should demonstrate qualifications in areas relevant to the Scope of Services.

Format for CV of Proposed Key Personnel per category of expert (

Name of Personnel	[Insert]
Position for this assignment	[Insert]
Nationality	[Insert]
Language proficiency	[Insert]
Education/ Qualifications	<i>[Summarize college/university and other specialized education of personnel member, giving names of schools, dates attended, and degrees/qualifications obtained.]</i> [Insert]
Professional certifications	<i>[Provide details of professional certifications relevant to the scope of services]</i> <ul style="list-style-type: none"> ▪ Name of institution: [Insert] ▪ Date of certification: [Insert]
Employment Record/ Experience	<i>[List all positions held by personnel (starting with present position, list in reverse order), giving dates, names of employing organization, title of position held and location of employment. For experience in last five years, detail the type of activities performed, degree of responsibilities, location of assignments and any other information or professional experience considered pertinent for this assignment.]</i> [Insert]
References	<i>[Provide names, addresses, phone and email contact information for two (2) references]</i> Reference 1: [Insert] Reference 2: [Insert]

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe my qualifications, my experiences, and other relevant information about myself.

Signature of Personnel

Date (Day/Month/Year)

Form F: Financial Proposal Submission Form

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

We, the undersigned, offer to provide the services for [Insert Title of services] in accordance with your Request for Proposal No. [Insert RFP Reference Number] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

Our attached Financial Proposal covers the list of the experts that we have lined up per category of expertise that you require, and their corresponding all-inclusive professional fees per day, which you will find in the table below:

Category of Expertise	List of Names Proposed per Category	All-inclusive Daily Fee ⁵⁶
Project Director		
Team Leader		
Lead Inclusive Finance Experts		
Lead Local Development Finance Experts		
Lead Enterprise Development Finance Experts		
Experts in gender - responsive evaluation and women's economic empowerment		

⁵⁶ Pls arrange the list of experts per category from the highest professional fees to the lowest

Evaluation Methodology experts		
Junior experts		

The following cost items⁵⁷ are already included in the individual professional daily fees of the above experts:

[List down the cost items that are included (e.g. insurances, daily subsistence, communications, etc.)]

Our Proposal shall be valid and remain binding upon us for the period of time specified in the Bid Data Sheet.
We understand you are not bound to accept any Proposal you receive.

Name: _____
Title: _____
Date: _____
Signature: _____

[Stamp with official stamp of the Bidder]

⁵⁷ Cost items that are already included in the daily fees cannot be charged by the company when submitting financial proposals at the time of secondary competition

Form G: Financial Proposal Form

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

The Bidder is required to prepare the Financial Proposal following the format in the previous section (Form F) and submit it in an envelope separate from the Technical Proposal as indicated in the Instruction to Bidders. Any Financial information provided in the Technical Proposal shall lead to Bidder’s disqualification.

The Financial Proposal should align with the requirements in the Terms of Reference and the Bidder’s Technical Proposal.

Form H: Form of Proposal Security

**Proposal Security must be issued using the official letterhead of the Issuing Bank.
Except for indicated fields, no changes may be made on this template.**

To: UNCDF

[Insert contact information as provided in Data Sheet]

WHEREAS [Name and address of Bidder] (hereinafter called "the Bidder") has submitted a Proposal to UNCDF dated [Click here to enter a date](#) to execute Services [Insert Title of Services] (hereinafter called "the Proposal"):

AND WHEREAS it has been stipulated by you that the Bidder shall furnish you with a Bank Guarantee by a recognized bank for the sum specified therein as security in the event that the Bidder:

- a) Fails to sign the Contract after UNCDF has awarded it;
- b) Withdraws its Proposal after the date of the opening of the Proposals;
- c) Fails to comply with UNCDF's variation of requirement, as per RFP instructions; or
- d) Fails to furnish Performance Security, insurances, or other documents that UNCDF may require as a condition to rendering the contract effective.

AND WHEREAS we have agreed to give the Bidder such this Bank Guarantee:

NOW THEREFORE we hereby affirm that we are the Guarantor and responsible to you, on behalf of the Bidder, up to a total of *[amount of guarantee] [in words and numbers]*, such sum being payable in the types and proportions of currencies in which the Price Proposal is payable, and we undertake to pay you, upon your first written demand and without cavil or argument, any sum or sums within the limits of *[amount of guarantee as aforesaid]* without your needing to prove or to show grounds or reasons for your demand for the sum specified therein.

This guarantee shall be valid up to 30 days after the final date of validity of bids.

SIGNATURE AND SEAL OF THE GUARANTOR BANK

Signature: _____

Name: _____

Title: _____

Date: _____

Name of Bank _____

Address _____

[Stamp with official stamp of the Bank]