



Request for Proposals (RfP)

Consultancy Services for Interim Independent Evaluation Report to the Project: Building livelihood resilience to climate change in the upper basins of Guatemala's highlands.

International Union for Conservation of Nature and Natural Resources

- b. Copy of legal invoice for fees collection.
- c. Copy of resume
- d. Letter of interest signed, indicating that the Consultant have read, understood and accept the content of these Terms of Reference. (Annex 2)
- e. Signed Declaration of Undertaking (Annex 3a)
- f. Human Resources Questionnaire filled and signed (Annex 4)

FOR CONSULTANCY COMPANIES:

- a. Copy of Certification of Incorporation
- b. Copy of identification document of the Legal Representative
- c. Copy of legal invoice for fees collection.
- d. Copy of resumes of the Consulting Team
- e. Letter of interest signed, indicating that the Consultant have read, understood and accept the content of these Terms of Reference. (Annex 2)
- f. Signed Declaration of Undertaking signed by the Representative of the Consulting Company or, in the case of a Consortium or group of Consultants, signed by each member indicating that they have read and understood the content of the Declaration (Annex 3b)
- g. Human Resources Questionnaire filled and signed (Annex 4)

B. TECHNICAL PROPOSAQ 472.51 Tm0 GµeW858871 0 595.32 842.04 reW*nBT/F2 11.04 Tf1 67.704 6

The financial evaluation will be based upon the full total price submitted. Financial proposals will receive a score calculated by dividing the lowest financial proposal that has passed the minimum quality thresholds by the total price of your financial proposal.

The proposals total score will be calculated as the weighted sum of the technical score and financial score.

The relative weights will be:

Technical: 70%
Financial: 30%

Subject to the requirements in Sections 4 and 7, IUCN will award the contract to the Proposer whose proposal achieves the highest total score.

11. EXPLANATION OF PROCUREMENT PROCEDURE

11.1. IUCN is using the open procedure for this procurement.

11.2. You are welcome to ask questions or seek clarification regarding this procurement. Please email the IUCN Contact (see Section 2), taking note of the deadline for submission of questions in Section 3.1. Late proposals will not be considered. All proposals received by the submission deadline will be evaluated by a team of three or more

- Never been guilty of an offence concerning professional conduct
- Not involved in fraud, corruption, a criminal organisation, money laundering, terrorism, or any other illegal activity.

12.3. Each Proposer shall submit only one proposal, either individually or as a partner in a joint venture. In case of joint venture, one company shall not be allowed to participate in two different joint ventures in the same procurement nor shall a company be allowed to submit a proposal both on its behalf and as part of a joint venture for the same procurement. A Proposer who submits or participates in more than one proposal (other than as a subcontractor or in cases of alternatives that have been permitted or requested) shall cause all the proposals with the Proposer's participation to be disqualified.

12.4. By taking part in this procurement, the Proposer accept the conditions set out in this RfP, including the following:

- It is unacceptable to give or offer any gift or consideration to an employee or other representative of IUCN as a reward or inducement in relation to the awarding of a contract. Such action will give IUCN the right to exclude you from this and any future procurements, and to terminate any contract that may have been signed with you.
- Any attempt to obtain information from an employee or other representative of IUCN concerning another bidder will result in disqualification.
- Any price fixing or collusion with other Proposers in relation to this procurement shall give IUCN the right to exclude you and any other involved bidder(s) from this and any future procurements and may constitute a criminal offence.

13. CONFIDENTIALITY AND DATA PROTECTION

13.1. IUCN follows the European Union's General Data Protection Regulation (GDPR). The information a Proposer submits to IUCN as part of this procurement will be treated as

**ATTACHMENT 1
TERMS OF REFERENCE**

**The Regional Office for Mexico, Central America and the Caribbean of the
International Union for the Conservation of Nature**

(IUCN-ORMACC)

REQUIRES

**PROFESSIONAL CONSULTANCY SERVICES
FOR**

*“Interim Independent Evaluation Report to the Project: Building livelihood resilience to climate
”*

Type of Contract:	Professional Consultancy Services
Period:	3 months (with 45 effective days of work)
Availability:	Immediate
Person Responsible for Supervision:	Nadia Mujica, Latin America Portfolio manager for GEF/GCF

1. BACKGROUND AND JUSTIFICATION

The project Building livelihood resilience to climate change in the upper basins of Guatemala’s highlands (hereafter mention as Resilient Highlands Project) is being executed by IUCN (International Union for Conservation of Nature), the Ministry of Environment and Natural Resources of Guatemala (MARN), the Ministry of Agriculture, Livestock and Food of Guatemala (MAGA), the National Forest Institute (INAB), and the National Institute for Seismology, Vulcanology, Meteorology and Hydrology of Guatemala (INSIVUMEH); also, the Foundation for the Conservation of Natural Resources and the Environment in Guatemala (FCG) and the Rafael Landívar University (URL).

The project seeks for the reduction of climate change on hydrological cycle and then to water security as a mean of improving vulnerable livelihoods located in the upper part of selected basins. The project aims at improving technical assistance, access to sound information, governance and investment related to agroforestry, silvopastoral and forest sustainable management systems. The project works at local, landscape and national levels to strength enabling conditions at short, medium and long term. Ultimately, the project is expected to impact on the capacity of related stakeholders as they will adopt water security approach to promote sound climate resilient sustainable development.

To achieve its objectives, the project includes three interconnected components:

- a. Climate-smart integrated watershed management adapted to the local context of the highlands.** This component aims to: Improve territorial management and promote ecosystem restoration to provide goods and services suitable for adaptation (water provision and reduction of soil erosion), providing evidence for public policies. To do so, the Forest incentive program led by the Government of Guatemala is complemented by the Green Climate Fund to increase institutional capacity. Restoration actions are being carried out in key hydrographic micro-watersheds, whose degradation in the context of climate change threatens the supply of basic ecosystem services (mainly water), thus affecting livelihoods.

- b. Community-led watershed management systems promoted through grants.** The objective of this component is to: Strengthen and increase community participation in ecosystem-based adaptation, with a focus on the effective participation of women, indigenous peoples, and other vulnerable sectors. It focuses on the implementation of climate actions by communities in priority areas. The main activities in this component are: a) award and execution of medium-sized grants to second-tier community organizations; b) award and execution of small grants for grassroots organizations.

- c. Delivery of climate information to farmers and other stakeholders for watershed management.** The objective of this component is to: Reduce vulnerability to negative climate events by improving knowledge of hydroclimatic threats and actions to address those threats. It is expected that the improvement of agricultural practices including water management will benefit from better collection, interpretation, and dissemination of reliable climate information for local producers who are implementing agricultural, forestry and agroforestry practices, as well as in the management of water resources and landscape restoration.

The main goal of the project is to benefit 132,000 people (emphasis on women and female single-parent households) and restoring or improving the management of 22,500 hectares of forest and agroforestry systems for the provision of ecosystem services in the upper part of selected watersheds in the Guatemalan highlands.

The project's intervention area includes the upper part of the Samalá, Salinas, Coyolate and Motagua basins, in the departments of Quetzaltenango, Chimaltenango, Totonicapán and Quiché. The intervention area includes 48 watersheds, of which 24 were prioritized for specific project actions (Figure 1).

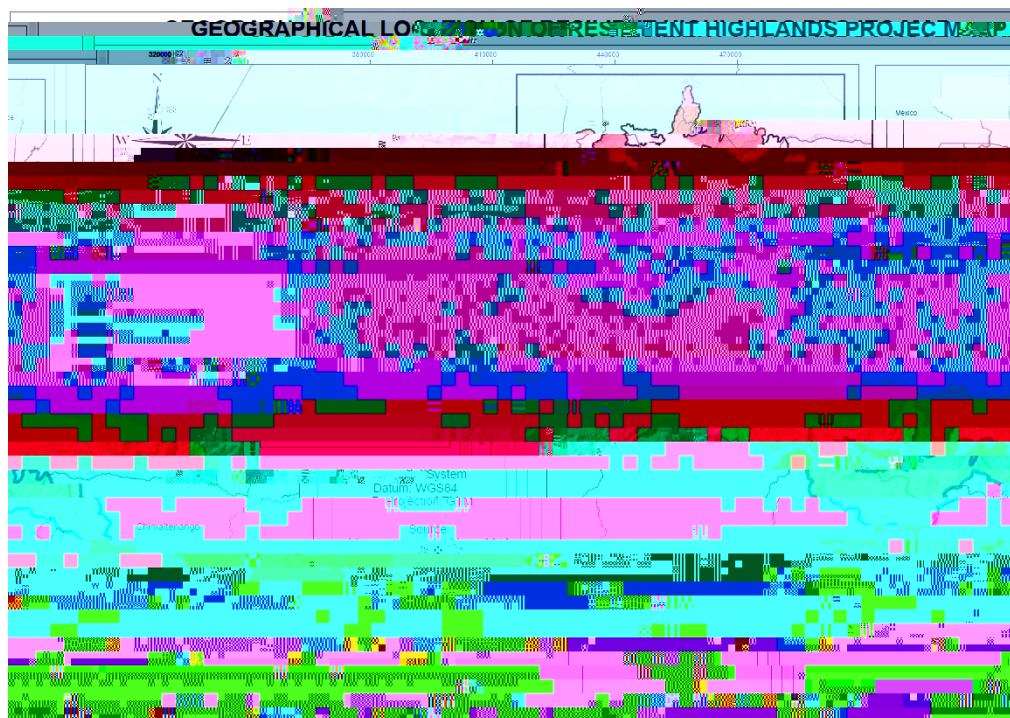


Figure 1. Map with location of the intervention and the influence area of the project.

Project information can be reviewed in this link: [GCF project information](#). The Funding Proposal (project document) can be accessed on this link: [Funding Proposal](#)

The Funding Proposal defined a core of seventeen indicators stated in the Project's logical framework, as it is shown in Table 1:

developed during 2023 and will be available during the development of the interim independent evaluation.

The baseline report describing each indicator and methodology used will be available upon request.

During 2022, the Accredited Entity (AE) undertook two supervision/assessment missions with field visits, interviews and review of existing reports and other secondary information. They assessed progress made in terms of the project performance / effectiveness and efficiency, including the project management, strategies, and tools; and specific recommendations were provided to improve the project implementation, each output as well as transversal topic (communication, gender, social inclusion and monitoring). The report of the 2 supervision missions/internal assessment will be provided at the beginning of the evaluation mission.

The GCF's Evaluation Policy establishes the following statements related to the interim evaluation report:

Principles for evaluations: All evaluations will uphold the following four principles:

- a) Impartial, objective, and unbiased: All GCF evaluations will be impartial, objective and unbiased. All evaluations will be operationally and analytically unbiased and will adhere to the highest ethical standards while upholding the Fund's procedures and policies that address conflicts of interest and those that are specific to the evaluation profession.
- b) Relevance, use and participation: All evaluations must be relevant to the question at hand and should be suitable for decision-making, accountability, and learning. They should provide relevant guidance and should be timely and participatory.
- c) Credibility and robustness: All GCF evaluations need to be complete, fair, and based on state-of-the-art standards of evidence, analyses, and transparency. Methodologies used should be credible enough such that findings and conclusions of evaluations would be replicable if others followed a similar evaluation methodology.
- d) Measurability: All evaluations should, to the extent possible, be able to measure, either quantitatively or qualitatively, the performance of the GCF at all levels. This will only be possible if GCF investments incorporate the capacity and systems for rigorous data collection and real-time information in its investments, policies, and frameworks. Measurability also provides comparability between time frames, groups, or alternative theories.

Evaluation criteria. The GCF evaluation criteria shall be applied to all GCF evaluations conducted by AEs. The criteria are as follows:

- a) Relevance, effectiveness, efficiency, impact, and sustainability of projects.
- b) Coherence in climate finance delivery with other multilateral entities.
- c) Gender equity.
- d) Country ownership of the project.
- e) Innovativeness in result areas – the extent to which interventions may lead to paradigm shift towards climate-resilient development pathways.
- f) Replication and scalability – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries.
- g) Unexpected results, both positive and negative.

Types of evaluations. The AE "is responsible for either producing or quality-assuring interim/final evaluations and submits reports of interim and final evaluations to the Secretariat. Shares, at its discretion, reports with the GCF relating to the knowledge-sharing and learning function of the GCF, and evaluations in a timely manner. Project interim evaluation that must be submitted to the GCF by AEs are critical for informing and improving the implementation of the project, and for helping the Fund to report on results and lessons relevant to GCF objectives. All project-level evaluations should be submitted to the Secretariat" (Evaluation Policy for the GCF).

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Evaluate, according to the GCF criteria and IUCN policies, the degree of the project's technical and financial progress, including results and impacts according to the medium term's goals; and provide sound recommendations. The evaluation will cover the period spanning from April 2020 to September 2023.

2.2. Specific:

The evaluation will follow the criteria as defined by the GCF and those from IUCN: (relevance, coherence, effectiveness, efficiency, impact, and sustainability). The evaluation will also pay special attention to the following aspects: gender, indigenous peoples and youth, science/policy/action interface, and environmental and social management standard (ESMS), as defined in IUCN evaluation policy.

Assess the financial progress of the project in terms of use of funds, disbursements and expenditures against the disbursement plan and budget, and the procurement plan.

Assess the performance of the project in terms of timing, quality, accomplishment, and cost effectiveness of the activities, including the project procurement.

Assess the project progress towards attaining its objectives, outcomes and expected impacts.

vi. Review and assess the organization and management of the project.

Assess the adequacy and efficiency of the executing agencies and the project management unit.

Analyse the effectiveness of the organizational structure and dedicated human resources.

Review the appropriateness and clarity of the roles and responsibilities of stakeholders involved in the project.

Review the structure of the project's governance structure, including the Steering Committee, the Scientific Technical Committee and the Local Advisory Committees.

Verify functionality of the project monitoring and evaluation systems, in particular the collection and analysis of information/data against indicators of the project logical framework and advice on the regularity, quality, and content of mandatory reports.

Analyse the use of the monitoring system for decision making.

vii. Assess the institutional effectiveness of the project including partnership.

Analyse the effectiveness and adequacy of stakeholders' engagement as planned (and not planned).

Verify and analyse the co-financing of the project as planned and resource leveraging/mobilization.

Identify and analyse partnership and complementarity with other related initiatives.

viii. Assess risk management and gender mainstreaming.

Review the project risk analysis and its contingency plan and mitigation measures where necessary.

Review the progress in implementing the environment and social safeguards including indigenous and gender plans.

The deliverables expected are the following:

No.	Deliverable	Description
1	Deliverable 1. Inception report.	As mentioned in (b) in previous section.
2	Deliverable 2. Aide-Mémoire.	At the end of the field/in situ visit, the team will present main findings and preliminary recommendations to the AE, government officials and the PNB staff through a meeting.

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		<ul style="list-style-type: none"> (ix) Discuss with project beneficiaries, other project stakeholders and collaborating institutions to ascertain their views on implementation progress. (x) Assess the status and progress in implementing the environment and social management plan and the gender plan. (xi) Assessing the status of the various approved procurement activities and performance of the approved contracts for services, goods and works under each Project. (xii) Assess status of readiness for the Annual Audit for 2022 in addition to following-up and verifying implementation of the recommendations arising from external audits from years 2021 and 2020. (xiii) Provide implementation recommendations to the PMU. (xiv) Agree jointly on necessary adjustments of the logical framework, activities and outputs to be delivered, the overall budget lines allocation (within the approved budget), procurement and disbursements that would be required.
4	Deliverable 4. Interim Independent Evaluation Report.	Final report to the AE (covering the mentioned information in deliverable 3), including PPT and document with all background evidence and annexes.

4. INTELLECTUAL PROPERTY

Coordinate the consulting team in order the evaluation complies with the policies of IUCN, GCF and KOICA.

Lead the evaluation of the project governance structure, such as the Steering Committee, the Scientific Technical Committee and the Local Advisory Committees.

Coordinate the administrative / financial review of the project, including the review of the co-financing of government agencies.

Lead the preparation and presentation, in form and time, of the four products committed in these terms of reference.

Relevant professional experience of at least 10 years in environment, agriculture and natural resource management.

At least 7 years of specific experience in the monitoring and performance and impact evaluation of projects generating/ using evidence-based data.

b) Economic incentives and grants:

Key expertise and elements in the area to be developed during the Evaluation:

Relevant experience of at least 5 years in environment, agriculture and natural resource management.

5 years of specific experience in the monitoring and performance and impact evaluation of projects generating/ using evidence-based data.

Prepare the methodology for estimation of indicators, including impact evaluation (scope of objectives and results) and result evaluation (scope of products and development of activities) related to the grant mechanism.

Develop the methodology for the estimation of indicators.

Participate in the simulation

Leads the relationships and interactions with the Executing Agency and the PMU on all matters related to financial management and related transactions.

Reviews all bank accounts and financial transactions related to the project, jointly with the PMU.

Reviews all accounting systems jointly with the PMU. Reports on financial progress.

Reviews implementation of IUCN, GCF and KOICA financial management policies and practices.

Reviews execution of disbursements. Suggest any adjustments to budgets and financial

- Base line report
- Annual Performance Reports (APR)
- Learning-Oriented Real-Time Impact Assessment (LORTA) report

Project base documents

- Funded Activity Agreement (FAA)
- IUCN's: GEF/GCF Project Monitoring and Supervision Requirements and Guidance
- Risk Registry Matrix

Project financial documents

- Audits
- Letters of Co-financing
- NAV | Jet Report | CEP
- Executing Partners' Contracts
- Grantees Contracts, available upon request
- Procurement Plans
- IUCN Policies, available upon request

ANNEX 2: LETTER OF INTEREST

Fill in the information in blue

[Place and date]

TO: [IUCN]

The undersigned, [name of the professional], after having examined the Terms of Reference for the Contracting of the Professional Consulting Services for (name of the consultancy) and offers to perform these services in accordance with the call for date _____.

The attached Financial Proposal is for the total sum of [amount in letters and figures], which includes all taxes required by law.

The period of time in which the signatory of this document agrees to provide the services is from the date of signing the contract, until the date of termination thereof, without price variation, unless modifications are made resulting from contract negotiations.

The undersigned declares that all the information and statements made in the submitted proposals are true and that any misinterpretation contained in them may lead to disqualification.

Cordially,

Signature _____

Full name of the proposer or legal representative _____

ATTACHMENT 3b - For Consulting Companies

DECLARATION in relation to RfP <name of the Consultancy Service>

I, the undersigned, hereby confirm that I am an authorised representative of the following organisation:

Registered Name of Organisation (the "Organisation"): _____

Registered Address (incl. country): _____

Year of Registration: _____

I hereby authorise IUCN to store and use the information included in the attached Proposal for the purpose of evaluating Proposals and selecting the Proposal IUCN deems the most favourable. I acknowledge that IUCN is required to retain the Proposal in its entirety for 10 years after then end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

Where the Proposal includes Personal Data as defined by the European Union's General Data Protection Regulation (GDPR), I confirm that the Organisation has been authorised by each Data Subject to share this Data with IUCN for the purposes stated above.

I further confirm that the following statements are correct:

1. The Organisation is duly registered in accordance with all applicable laws.
2. The Organisation is fully compliant with all its tax and social security obligations.
3. The Organisation and its staff and representatives are free of any real or perceived conflicts of interest with regards to IUCN and its Mission.
4. The Organisation agrees to declare to IUCN any real or perceived emerging conflicts of interests it or any of its staff and representatives may have concerning IUCN. The Organisation acknowledges that IUCN may terminate any contracts with the Organisation that would, in IUCN sole discretion, be negatively affected by such conflicts of interests.
5. None of the Organisation's staff has ever been convicted of grave professional misconduct or any other offence concerning their professional conduct.
6. Neither the Organisation nor any of its staff and representatives have ever been convicted of fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation.
7. The Organisation acknowledges that engagement by itself or any of its staff in fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation will entitle IUCN to terminate any and all contracts with the Organisation with immediate effect.
8. The Organisation is a going concern and is not bankrupt or being wound up, is not having its affairs administered by the courts, has not suspended business activities, is not the subject of proceedings concerning those matters, or in any analogous situation arising from a similar procedure provided for in national legislation or regulations.
9. The Organisation complies with all applicable environmental regulatory requirements or other legal

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- World Commission on Protected Areas
- International Law Commission
- Species Survival Commission
- Commission on Ecosystem Management
- Commission on Education and Communication
- Commission on Environmental, Economic and Social Policy

For Consultant Companies:

Is the Company/Organization an IUCN Member?

Yes No