REQUEST FOR PROPOSAL (RFP)

NAME & ADDRESS OF FIRM	DATE: December 26, 2019
	REFERENCE: UNDP/RFP/12/2019

Dear Sir / Madam:

We kindly request you to submit your Proposal for **designing of online portal and establishing Climate Finance Information Management System (CFIMS)** for **Green Climate Fund Readiness & Preparatory Support Programme (GCFRPSP).** The detailed Terms of Reference (ToR) is attached as Annex 4.

Please be guided by the form attached hereto as Annex 2, in preparing your Proposal.

Proposals may be submitted on or before **5:00PM Friday, January 17, 2020** , by hand delivery/courier mail to the address below:

United Nations Development Programme
UNDP/RFP/12/2019 – Establishment of CFIMS
UNDP Registry, UN House,
Pulchowk, Lalitpur, Nepal.

Your Proposal must be expressed in the English language, and valid for a minimum period of 90 days.

In the course of preparing your Proposal, it shall remain your responsibility to ensure that it reaches the address above on or before the deadline. Proposals that are received by UNDP after the deadline indicated above, for whatever reason, shall not be considered for evaluation.

Services proposed shall be reviewed and evaluated based on completeness and compliance of the Proposal and responsiveness with the requirements of the RFP and all other annexes providing details of UNDP requirements.

The Proposal that complies with all of the requirements, meets all the evaluation criteria and offers the best value for money shall be selected and awarded the contract. Any offer that does not meet the requirements shall be rejected.

Any discrepancy between the unit price and the total price shall be re-computed by UNDP, and the unit price shall prevail and the total price shall be corrected. If the Service Provider does not accept the final price based on UNDP's re-computation and correction of errors, its Proposal will be rejected.

No price variation due to escalation, inflation, fluctuation in exchange rates, or any other market factors shall be accepted by UNDP after it has received the Proposal. At the time of Award of Contract or Purchase Order, UNDP reserves the right to vary (increase or decrease) 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.

Any Contract or Purchase Order that will be issued as a result of this RFP shall be subject to the General Terms and Conditions indicated herein. The mere act of submission of a Proposal implies that the Service Provider accepts without question the General Terms and Conditions of UNDP in this link: http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html

Please be advised that UNDP is not bound to accept any Proposal, nor award a contract or Purchase Order, nor be responsible for any costs associated with a Service Providers preparation and submission of a Proposal, regardless of the outcome or the manner of conducting the selection process.
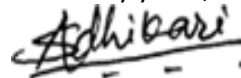
UNDP's vendor protest procedure is intended to afford an opportunity to appeal for persons or firms not awarded a Purchase Order or Contract in a competitive procurement process. In the event that you believe you have not been fairly treated, you can find detailed information about vendor protest procedures in the following link:
http://www.undp.org/content/undp/en/home/operations/procurement/protestandsanctions/

UNDP encourages every prospective Service Provider to prevent and avoid conflicts of interest, by disclosing to UNDP if you, or any of your affiliates or personnel, were involved in the preparation of the requirements, design, cost estimates, and other information used in this RFP.

UNDP implements a zero tolerance on fraud and other proscribed practices, and is committed to preventing, identifying and addressing all such acts and practices against UNDP, as well as third parties involved in UNDP activities. UNDP expects its Service Providers to adhere to the UN Supplier Code of Conduct found in this link : http://www.un.org/depts/ptd/pdf/conduct_english.pdf

Thank you and we look forward to receiving your Proposal.

Sincerely yours,

Shiva Prakash Adhikari
Procurement Associate, UNDP Nepal
12/26/2019

Description of Requirements

Context of the Requirement	This Terms of Reference for the Consultancy Service is prepared to execute the activities under Outcome 2 that aims to facilitate 'developing an online portal and creating an Information Management System on climate finance' for the Ministry of Finance, the National Designated Authority for GCF. The tool will be support in tracking of the climate finance accessed by Nepal in terms of the GCF and other climate funds. The Firm will work under the guidance and supervision of the Project Manager and work closely with the IT Division within MoF to ensure necessary support service to achieve the desired outputs.
Implementing Partner of UNDP	N/A
Brief Description of the Required Services[1]	Design online portal and establishing Climate Finance Information Management System (CFIMS)
List and Description of Expected Outputs to be Delivered	The selected organization is expected to complete the following outputs: i. **Original CFIMS Software Design and System / Program (with in-built security system)** ii. **Data Entry Formats, Forms and Other Required Information:** The consultant also need to prepare and submit the manual or directives for the forms, formats for its effective handling. iii. **Documentation of Technical Design Document, Operational and Training Manuals**: As mentioned in the scope of the activities the consultant needs to submit the **Technical Design of the Software System, Operational and Training Manuals** in the documented form as well as the in Soft copy of electronic version (in Compact Disk and Pen Drive). iv. **System Requirement Specification (SRS):** A complete report of standard SRS including database and MIS design and architecture. v. **The Source Code and right to use by client** exclusively. vi. The **copy right** necessary to use the software and used the one developed by others, if any. vii. The training modules and proceedings of **trainings** and **workshops, seminars** and **consultative meetings** and their reports. viii. The reporting requirements as mentioned in the ToR.
Person to Supervise the Work/Performance of the Service Provider	<mark>Head of IT Department</mark>

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[1] *A detailed TOR may be attached if the information listed in this Annex is not sufficient to fully describe the nature of the work and other details of the requirements.*

Frequency of Reporting	*As per the ToR*
Progress Reporting Requirements	As per the ToR
Location of work	☒ Kathmandu, Nepal
Expected duration of work	15 weeks from the date of contract start
Target start date	February 2020
Latest completion date	May 2020
Travels Expected	N/A
Special Security Requirements	☒ **Others: Not Applicable**
Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal)	☒ **Others: Not Applicable**
Implementation Schedule indicating breakdown and timing of activities/sub-activities	☒ **Required**
Company Registration Certificate	☒ **Required**
Company Profile	☒ **Required**
Latest Tax Clearance Certificate	☒ **Required**
VAT/PAN Registration	☒ **Required (in case of the companies and firms)**
List of projects completed (please indicate contract value and duration)	☒ **Required**
List of major clients with detailed contact address for last two years	☒ **Required**

Names and curriculum vitae of the proposed team including the individuals who will be involved in completing the services	☒ **Required**
Currency of Proposal	☒ **Local Currency: Nepalese Rupees (NPR.)**
Value Added Tax on Price Proposal[2]	☒ **must be inclusive of VAT and other applicable indirect taxes** ☐ must be exclusive of VAT and other applicable indirect taxes
Validity Period of Proposals *(Counting for the last day of submission of quotes)*	☒ **90 days** In exceptional circumstances, UNDP may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal.
Partial Quotes	☒ **Not permitted**

Payment Terms[3]	Outputs	Percentage	Timing	Condition for Payment Release
	Upon submission of Inception Report	20%		Within thirty (30) days from the date of meeting the following conditions: a) UNDP's written acceptance (i.e., not mere receipt) of the quality of the outputs; and b) Receipt of invoice from the Service Provider.
	Submission of System Architecture and Database Design (Deliverable -2)	25%		
	Development of System with Database Design and Integration (Deliverable -3)	25%		

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[2] *VAT exemption status varies from one country to another. Pls. check whatever is applicable to the UNDP CO/BU requiring the service.*

[3] *UNDP preference is not to pay any amount in advance upon signing of contract. If the Service Provider strictly requires payment in advance, it will be limited only up to 20% of the total price quoted. For any higher percentage, or any amount advanced exceeding $30,000, UNDP shall require the Service Provider to submit a bank guarantee or bank cheque payable to UNDP, in the same amount as the payment advanced by UNDP to the Service Provider.*

	Trail and approval of IMS (Deliverable -4)	20%			
	Training for on IMS (Deliverable -5)	10%			

Person(s) to review/inspect/ approve outputs/complete d services and authorize the disbursement of payment	*Program Officer*
Criteria for Contract Award	☒ **Highest Combined Score (based on the 70% technical offer and 30% price weight distribution)** ☒ **Full acceptance of the UNDP Contract General Terms and Conditions (GTC). This is a mandatory criteria and cannot be deleted regardless of the nature of services required. Non acceptance of the GTC may be grounds for the rejection of the Proposal.**
Criteria for the Assessment of Proposal	**Technical Proposal – 1000 points** ☒ Expertise of the Firm - 300 points ☒ Methodology, Its Appropriateness to the Condition and Timeliness of the Implementation Plan- 300 points ☒ Management Structure and Qualification of Key Personnel- 400 points **Financial Proposal – 300 points** To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP.
UNDP will award the contract to:	☒ **One and only one Service Provider**
Type of Contract to be Signed	☐ Purchase Order ☐ Contract Face Sheet (Goods and-or Services) UNDP (this template is also utilised for Long-Term Agreement[4] and *if LTA will be signed, specify the document that will trigger the call-off. E.g., PO, etc.)* ☐ Other Type/s of Contract

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[4] *Minimum of one (1) year period and may be extended up to a maximum of three (3) years subject to satisfactory performance evaluation*

Contract General Terms and Conditions[5]	☐ General Terms and Conditions for contracts (goods and/or services) ☒ General Terms and Conditions for de minimi contracts (services only) Applicable Terms and Conditions are available at: http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html
Annexes to this RFP[6]	☒ **Form for Submission of Proposal (Annex 2)** ☒ **General Terms and Conditions / Special Conditions (Annex 3)[7]** ☒ **Detailed TOR – Annex 4** *[pls. specify]*
Contact Person for Inquiries (Written inquiries only)[9]	*Procurement Unit* *UNDP Nepal* *Email: query.procurement.np@undp.org* Written inquiries must be submitted mentioning RFP Ref: UNDP/RFP/12/2019, on or before 5:00PM, 06 January 2020. UNDP shall respond to the inquiries through a bulletin posted in UNDP Website: http://www.np.undp.org/content/nepal/en/home/operations/ procurement.html. Inquiries received after the above date and time shall not be entertained. Any delay in UNDP's response shall be not used as a reason for extending the deadline for submission, unless UNDP determines that such an extension is necessary and communicates a new deadline to the Proposers

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[5] *Service Providers are alerted that non-acceptance of the terms of the General Terms and Conditions (GTC) may be grounds for disqualification from this procurement process.*
[6] *Where the information is available in the web, a URL for the information may simply be provided.*
[7] *Service Providers are alerted that non-acceptance of the terms of the General Terms and Conditions (GTC) may be grounds for disqualification from this procurement process.*
[8] *A more detailed Terms of Reference in addition to the contents of this RFP may be attached hereto.*
[9] *This contact person and address is officially designated by UNDP. If inquiries are sent to other person/s or address/es, even if they are UNDP staff, UNDP shall have no obligation to respond nor can UNDP confirm that the query was received.*

Other Information *[pls. specify]*	The Financial evaluation will be carried out only for the technically qualified submission that pass the minimum technical score of 70% (700 points) of the obtainable score of 1000 points in the evaluation of the technical proposals. **The Financial Proposal and the Technical Proposal Envelopes <u>MUST BE COMPLETELY SEPARATE</u> and <u>each of them must be submitted sealed individually</u> and clearly marked on the outside and as either "TECHNICAL PROPOSAL" or "FINANCIAL PROPOSAL", as appropriate. Each envelope MUST clearly indicate the name of the Proposer. Failing to submit the Technical and Financial Proposals in separately sealed envelopes will be treated as non-responsive.** The outer envelope shall be Addressed to: **Deputy Resident Representative** **United Nations Development Programme** **UN House, Pulchowk** **Lalitpur, Nepal** **Marked with:** **UNDP/RFP/12/2019 – Designing of online portal and establishing Climate Finance Information Management System (CFIMS)**

Summary of Technical Proposal Evaluation Forms		Score Weight	Points Obtainable
1	Expertise of firm/Organisation submitting proposal	30%	300
2	Proposed Work Plan and Approach	30%	300
3	Personnel	40%	400
			1000

Expertise of firm / organisation submitting proposal (Points obtainable 300 Points)	Points Obtainable
1.1 Reputation of Organisation and Staff (Competence / Reliability)	55
1.2 Litigation and Arbitration history	20
1.3 General Organisational Capability which is likely to affect implementation (i.e. loose consortium, holding company or one firm, size of the firm / organisation, strength of project management support e.g. project financing capacity and project management controls)	40
1.4 Extent to which any work would be subcontracted (subcontracting carries additional risks which may affect project implementation, but properly done it offers a chance to access specialised skills.	15
1.5 Quality assurance procedures, warranty	30
1.6 Relevance of:	140
- Specialised Knowledge (50)	
- Experience on Similar Programme / Projects (75)	
- Experience on Projects in the Region (10)	
- Work for UNDP/ major multilateral/ or bilateral programmes (5)	
Sub-Total (Expertise of Firm)	300
Proposed Work Plan and Approach (Points obtainable 300 Points)	
2.1 To what degree does the Offeror understand the task?	40
2.2 Have the important aspects of the task been addressed in sufficient detail?	20
2.3 Are the different components of the project adequately weighted relative to one another?	25
2.4 Is there evidence that the proposal been prepared based on an in-depth understanding and prior knowledge of the project environment?	45
2.5 Is the conceptual framework adopted appropriate for the task?	50
2.6 Is the scope of task well defined and does it correspond to the TOR?	70
2.7 Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	50
Sub-Total (Proposed Work Plan)	**300**
Personnel (Points obtainable 400 Points)	
3.1 Team Leader / Project Manager (60)	
Experience as a Project Manager/Team Leader in at least 5 years of general experience in working as Project Lead	15
Professional Experience in the area of specialisation	15
Certified on project management professional certification or equivalent	5
Experience in information technology for at least 5 years	25
Sub-Total (Team Leader)	**60**

3.2 System Analyst / Software Engineer (50)	
Experience in at least two web based enterprise level application as a System Analyst with understanding of SRS	15
Knowledge of creating wireframes, prototypes, storyboards and user flows	15
Education requirement	20
Sub-Total (System Analyst)	**50**
3.3 Senior Developers/Programmers (40)	
Education	10
Professional Experience in the area of specialisation	30
Sub-Total (Senior Developers)	**40**
3.4 Developers - 1 (30)	
Education	10
Professional Experience in the area of specialisation	25
Sub-Total (Developers -1)	**35**
3.4 Developers - 2 (30)	
Education	10
Professional Experience in the area of specialisation	20
Sub-Total (Developers - 2)	**35**
3.4 Database Architect (50)	
Education	15
Have certification on database administration from Sun/Oracle, Microsoft or any equivalent	5
Professional Experience in the area of specialisation	30
Sub-Total (Database Architect)	**50**
3.4 Quality Assurance Officer (35)	
Education	15
Professional Experience in the area of specialisation	20
Sub-Total (Quality Assurance Officer)	**35**
3.5 UI Designer (50)	
Education	15
Professional Experience in the area of specialisation	35
Sub-Total (UI Designer)	**50**
3.6 Documentation Expert (45)	
Education	10
Professional Experience in the area of specialisation	35
Sub-Total (Documentation Expert)	**45**

FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL[10]

(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery[11])

[insert: *Location*].
[insert: *Date]*

To: [*insert: Name and Address of UNDP focal point]*

Dear Sir/Madam:

We, the undersigned, hereby offer to render the following services to UNDP in conformity with the requirements defined in the RFP dated *[specify date]* , and all of its attachments, as well as the provisions of the UNDP General Contract Terms and Conditions:

A.   **Qualifications of the Service Provider**

> *The Service Provider must describe and explain how and why they are the best entity that can deliver the requirements of UNDP by indicating the following :*
>
> a) *Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations;*
> b) *Business Licenses – Registration Papers, Latest Tax Payment Certification, etc.*
> c) *Latest Audited Financial Statement – income statement and balance sheet to indicate Its financial stability, liquidity, credit standing, and market reputation, etc. ;*
> d) *Track Record – list of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contact references;*
> e) *Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.*
> f) *Written Self-Declaration that the company is not in the UN Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.*

B.   **Proposed Methodology for the Completion of Services**

> *The Service Provider must describe how it will address/deliver the demands of the RFP; providing a detailed description of the essential performance characteristics, reporting conditions and quality assurance mechanisms that will be put in place, while demonstrating that the proposed methodology will be appropriate to the local conditions and context of the work.*

C.   **Qualifications of Key Personnel**

> *If required by the RFP, the Service Provider must provide:*
> a) *Names and qualifications of the key personnel that will perform the services indicating who is Team Leader, who are supporting, etc.;*
> b) *CVs demonstrating qualifications must be submitted if required by the RFP; and*
> c) *Written confirmation from each personnel that they are available for the entire duration of the contract.*

D.   **Cost Breakdown per Deliverable***

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[10] *This serves as a guide to the Service Provider in preparing the Proposal.*
[11] *Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes*

	Deliverables *[list them as referred to in the RFP]*	Percentage of Total Price (Weight for payment)	Price (Lump Sum, All Inclusive)
1.	Upon submission of Inception Report	20%	
2.	Submission of System Architecture and Database Design (Deliverable -2)	25%	
3.	Development of System with Database Design and Integration (Deliverable -3)	25%	
4.	Trail and approval of IMS (Deliverable -4)	20%	
5.	Training for on IMS (Deliverable -5)	10%	
	Total	100%	

This shall be the basis of the payment tranches

E. **Cost Breakdown by Cost Component:**

SN	Activities	Unit	Rate	No. of Days	Total NPR
A	**Key Human Resources**				
1	Senior Project Manager (Team Leader)			105 days	
2	System Analyst			70 days	
3	Senior Developers / Programmers			105 days	
4	Developers (2 pax)	2 Pax		105 days	
5	Database Architect			56 days	
6	UI Designer			56 days	
7	Documentation Expert			56 days	
8	Quality Assurance Expert			56 days	
	Sub Total A				
B	**Other costs (if any)**				
	Cost for support personnel (on call staff) on the call basis up to warranty & support period	Lumpsum			
	Sub Total B				
C	**Total (A+B)**				
D	**VAT 13%**				
	Grand Total (C+D)				

N. B. Administrative and other associated costs, if any, should be built into the above headings proportionately.

Proposal will be disqualified if it does not follow the above price schedule format.

[Name and Signature of the Service Provider's Authorized Person]
[Designation]
[Date]

Annex 3

General Terms and Conditions of Contract

Terms of Reference to design online portal and establishing Climate Finance Information Management System (CFIMS)

Type:	**Consulting Firm**
Location:	Kathmandu
Project:	Green Climate Fund Readiness & Preparatory Support Programme
Additional Category	Resilience and Climate Change
Starting Date:	February 2020
Duration:	15 weeks

1.   BACKGROUND INFORMATION

Government of Nepal has taken various initiatives in devising appropriate polices, programmes, and institutional and financial arrangements to achieve long term solution to address the climate risks. Ministry of Finance has been effectively and efficiently planning to access resources from Green Climate Fund (GCF) and managing public investments on climate change through national system. Ministry of Finance is designated National Designated Authority (NDA) for GCF and implemented a first phase of GCF readiness initiative, funded by the Government of Germany (BMU) since 2016 to build core institutional capacity and accelerate direct access to the Fund through national entities.

To continue and strengthen the current efforts to effectively and efficiently plan for, access, manage, deploy and monitor climate financing through GCF, a second phase of readiness support was approved by the GCF Secretariat for Nepal with UNDP as delivery partner. This GCF Readiness and Preparatory Support (GCF RPS) project aims to i). Enhance national ownership process beyond the NDA and engage the inter-ministerial technical committee and other stakeholders for a wider and stronger national ownership; and ii). Strategically and systematically build the national capacity at various levels to ensure that the knowledge, processes and mechanisms are transferred to the extent possible and thus contributing to sustainable capacity building efforts. The project will target private sectors and capacity building across the government, both of which will require significant preparatory work before GCF financing will be possible at scale. The readiness activities will build up on key achievements, outputs and learnings from previous readiness efforts towards wider engagement of national stakeholders in the GCF process. Some of the key activities proposed interventions under the Readiness & Preparatory Support includes supporting under five key outcomes of the GCF Readiness & Preparatory support in Nepal includes i). Country capacity strengthened; ii). Stakeholders engaged in consultative processes; iii) Direct access realized; iv) Access to finance and v) Private sector mobilization.

In addition to building national capacities, the Project also aims to document all knowledge products along with creating a national database on GCF to ensure proper documentation. The project will aim to create a web portal that will include updated information on the GCF, national processes of application along information on all knowledge products prepared by the project including governance mechanism of the NDA. The website will also serve to ensure that all national organization have access to update information. In addition to creating an open access to

information, the project will also be supporting the NDA towards creating a national comprehensive Climate Finance Information Management System (CFIMS) in view of tracking of the climate finance accessed by Nepal in terms of the GCF and other climate funds. Besides, creating a database international climate finance funds flows, the CFMIS managed by the Climate Finance Unit will also document yearly reports from all national Accredited Entities and from International Accredited Entities that have accessed the funds from GCF for Nepal. More importantly, the developed information system will also ensure faster and easy access of information and documents as well as support institutional memory of the processes and documents beyond the current scope of the Readiness Programme.

Hence, this Terms of Reference (ToR) is prepared for the procurement of support service to facilitate 'developing an online portal and creating an Information Management System on climate finance' for the Ministry of Finance, the National Designated Authority for GCF, which is completely new information system database. The Firm will work under the guidance and supervision of the Project Manager and work closely with the IT Division within MoF to ensure necessary support service to achieve the desired outputs.

2. OBJECTIVES

The main objectives of this consultancy is to design an information system towards management of information and knowledge on climate finance fund flow particularly from Green Climate Fund in Nepal. The specific objectives include;

- Development of web-enabled Climate Finance Information Management System (CFIMS) solution that will include updated information on the GCF and of direct access entities;
- MIS solution should integrate all independent software modules that support operation of GCF funded activities;
- Establish and maintain a robust Online, Real-time, Database Monitoring System (ORDMS) that enables acquisition of real time data and statistics available for timely decision, policy making, and monitoring and program implemented;
- Generate Decision Support reports to strengthen effective monitoring systems by the Climate Finance Unit;
- Establish and maintain the database relating to activated to GCF and management of knowledge and documents;

3. SCOPE OF WORK

The scope of work for this assignment is premised on the expectation that, at minimum, the firm will design and establish information management system related to GCF. The firm will conduct the following activities to achieve the objectives and produce the deliverables and outputs. In this context scope of services of this consulting service consists (but not limited to) of the following:

OUPUT 1: Review and Stock taking Report

Inception Report

The inception report will have a well-defined timeline, a clear conceptual framework and methodology in-line with the delivery targets outlined in the ToR. The conceptual framework will provide clear step-wise approach linking it with the expected outputs for this consultancy along with effort for coordination and identification of risk and mitigation measures. The firm will consult with concerned officials at the Ministry of Finance i.e Climate Finance Unit and IT Division for the preparation of preparation of well-defined timeline and approach. In development of the MIS, the firm will be fully supported by the concerned national and international entities and stake holders for required input in a particular module and integration.

Stock taking Report

The firm will review current and ongoing activities including the GCFRPS, its activities, eligible criteria of entities, project proposal pipeline and submission format, reporting process, different Norms of Regulation etc. Based on the study the consultant needs to develop and determine the required information and monitoring activities as well as the indicators for GCF RPS database management System.

The firm is also expected to review all relevant publications of GCF, its reporting requirements along with mandates of the NDA towards preparation of the IMS. The firm is also required to review the Software Requirement Specification Report prepared by the Readiness Programme.

Output 2: Design and Development of Management Information System

SYSTEM CHARACTERISTICS:

The information management system for the climate finance will require the following key features and abilities with adequate flexibility or interoperability in the design to upgrade as and when needed in the future:

- Operable on both computers and tablets/mobiles, through a web-based browser.
- Ability to create domestic/international Entities.
- Ability to create users for domestic/international Entities with distinct roles.
- Ability to create proposals, projects, and enter financial data based on different parameters.
- Able to forward proposal for review, approval with remarks with rollback option.
- Able to capture and aggregate different types of financial data for entities, proposals, projects, by pre-defined time periods (such as weekly, monthly, quarterly, and annually).
- Include dashboard functionalities that display individual indicator data and comparison to targets ('performance'), such as green for on target, yellow for within a pre-defined performance range, and red for below target; and other data visualizations, such as charts.
- Capacity to capture activity data and details, including qualitative notes.
- Access to investment criteria for various types of projects including protocols, guidelines and checklists and function to add items as required.
- Dashboard for Entities, CFU, admin to visualize data using color coding, mapping, and other visualization tools
- A proper reporting system to Public, CFU, various entities and Administrators.
- Able to store all change logs, audit trails, access and activity logs.

BASIC WORK FLOW

The work flow diagram below represents the potential process model that should be developed. The working methodology of the model is as summarized below:

- National and international entities and their respective users are created
- National and International entities will submit the proposal on the mentioned proposal format with financial details.
- There are certain formats provided by GCF, so these entities will submit proposal based on those formats.
- There are different judgement criteria different for different types of projects
- Based on format, a proposal can be accepted, rejected or sent for review.
- There are investment criteria provided and based on those criteria proposal is approved, rejected or sent for review.
- Once proposal is received by CFU, all checklist above are verified.
- Then those proposals are sent to review to MOF.
- Once all review process is done, proposal is forwarded to GCF for approval.
- After the proposal is approved, the entities or concerned for the execution of project will input the expenditure data.
- Entities will enter milestones and project progress.
- Entities will enter financial figures spent on each milestones.
- Now reports are generated for General Public, CUF and Concerned Entities.
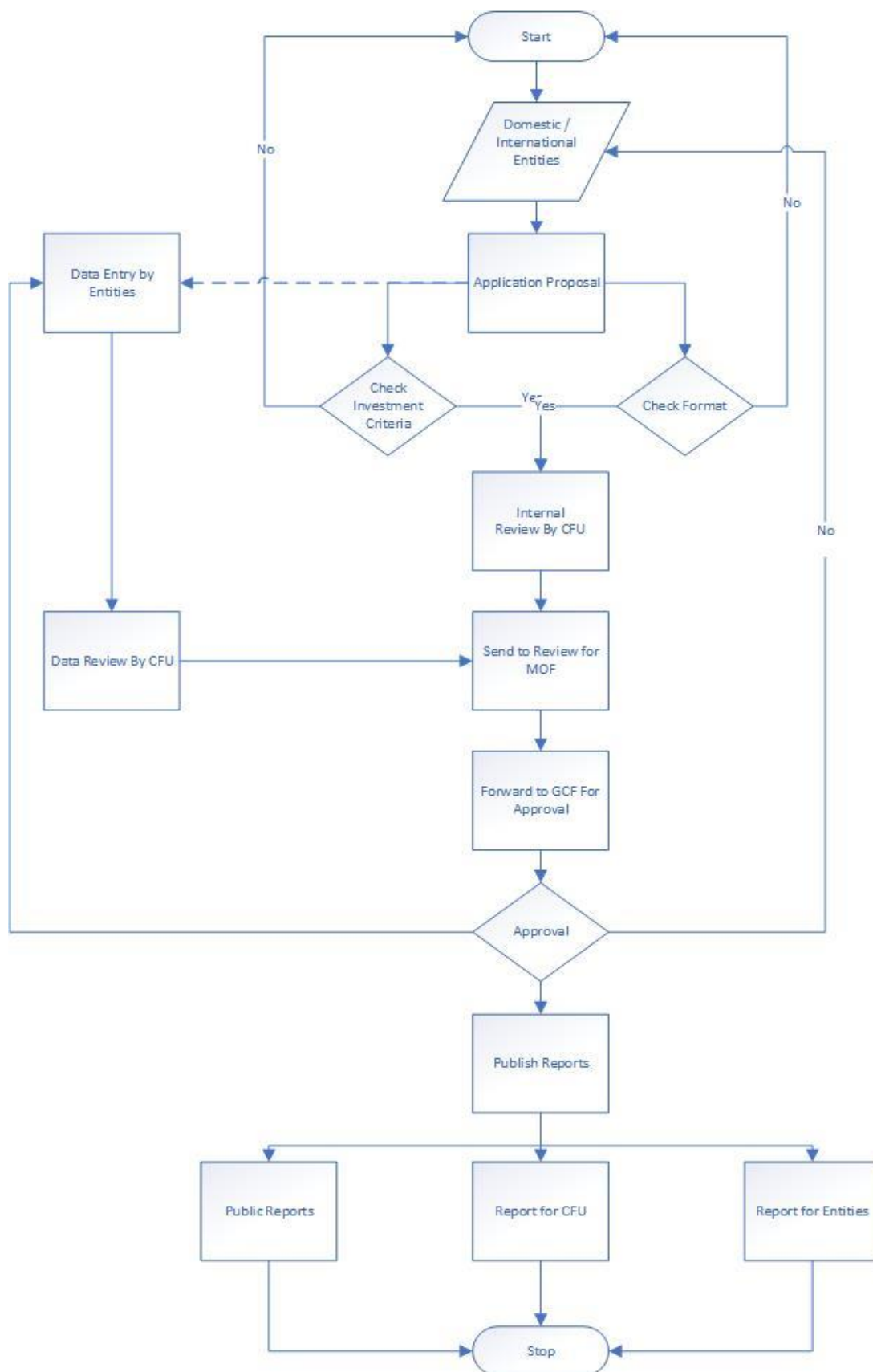- These reports should be able to integrate on other systems as required.

Fig 1: Work flow process of climate finance information management system

DATA ARCHITECTURE (PROPOSED):

Data Architecture is a set of rules, policies, and standards which administrates the way any data is collected and how it is used, stored, managed and integrated within an organization and its database systems. Generally, used by data architects, it comprises the mapping and visualization of data models in an easy to understand way. It provides a proper method to create and manage the flow of data and how it is processed across an IT systems and applications.

Our proposed data architecture will consist of four different layers of permission:

- **Super-admins:** The super-admin user will have all the permission to create entities and their respective users and view accessible reports.
- **Entities Users:** The entity level user will have permission of creation of proposal/project, apply to GCF, and enter the predictions and actual financials on those proposals and projects and viewing the generated report.
- **GCF Users:** The GCF level user will have permission of selecting the type of project/proposal, check formats, check expenses criteria, review and submission of the assessment and viewing the generated report(s).
- **MoF Users:** The MoF level user will only have permission of reviewing any selected project and, submission of the review assessment and viewing the generated report(s).
- **Public Users:** These users will not have any username or password; they can access to the public projects and reports from website or web portal.
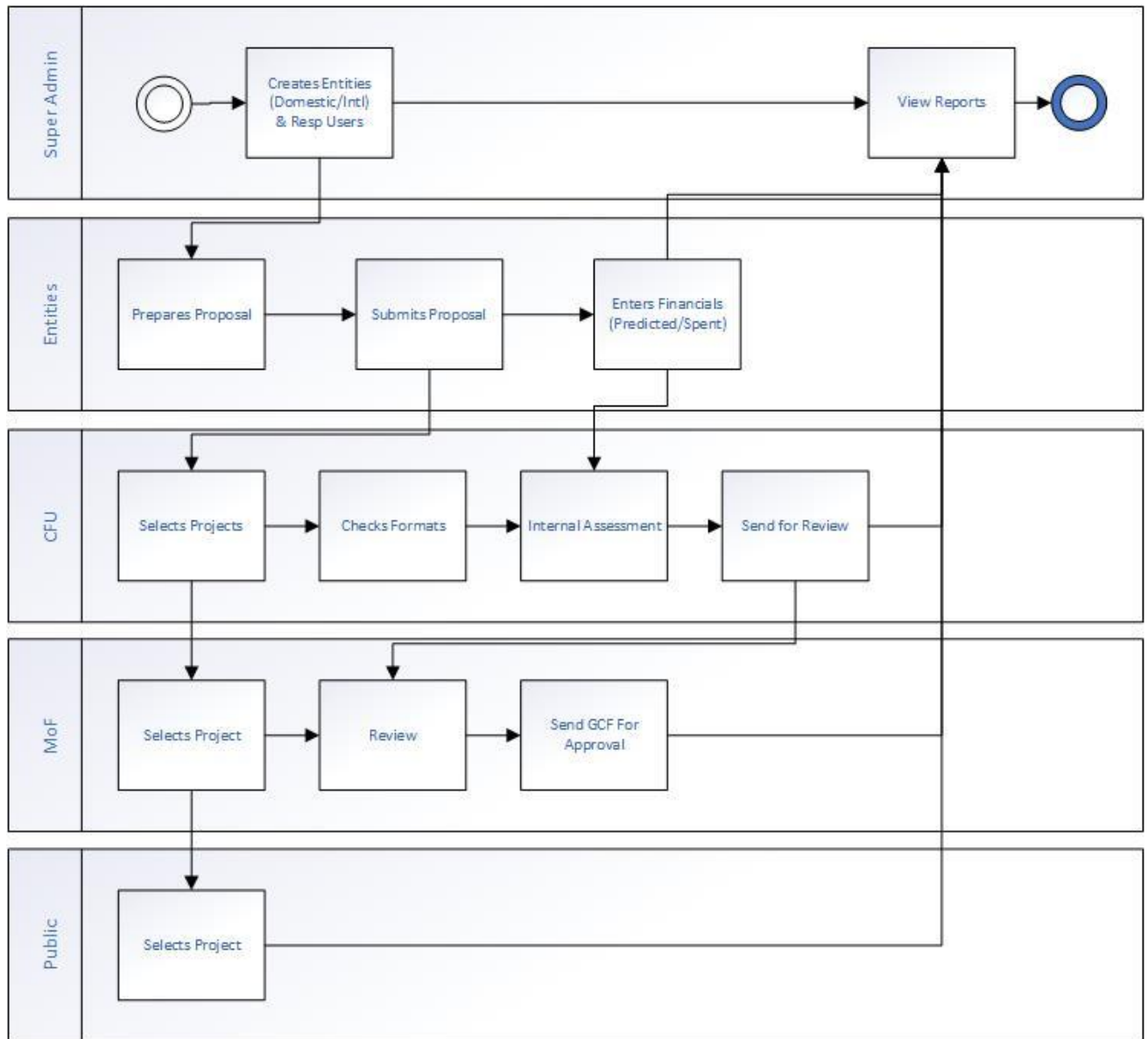
Fig 2: Proposed Data Architecture for CFMIS

Workflow and Reporting Format

The final content is displayed on dashboard once it is verified by concerned expert. The client can export/generate data or save or download as per their requirement. The report can be extracted as chart, graph, Pdf, Word, Excel or info graphs as the nature of the information. This process will continue in different series while encoding and decoding of the information about the GCF. Both the qualitative and quantitative information will be entered related to the projects of NDA and DAEs. (Annex – Reporting formats). The presentation of chart, graphs and other information of project are quite similar to other websites. The information need to be linked with the website of **Ministry of Finance** and official site of green climate fund. The work flow template (Fig 1) is the living document which can be revised as the feedback from IECCD of MoF, other experts and stakeholders if they are rational.

The **IMS of GCFRPS** will be based on **data source, entry, data cross check/ verification and finally publish** as a report on dashboard. At the start, the National Designated Authority (NDA) and four entities will be the current user who will be the data source. The officials, from direct access entities will enter the raw data on available system. NDA official or Technical Experts will review, cross

checking the facts and figures of the raw data. If the enter data were valid, then it will transfer to publish report as an outlet and if the data were invalid then it will inform to the source to review and re check the information and send again. This process continues till the data and information are invalid.

Design and Development of CFIMS

After determining the appropriate forms, formats and information the firm will design and develop the CFIMS for the required information to cater the needs for monitoring, administration and reporting requirements by NDA and accredited entities. The CFIMS should be able to produce and maintain the volume, storage and speed for instant online data entry, recording, retrieving, producing and analyzing the data and its contents. However, the system should have the following features and must satisfy the system requirements. The CFIMS and its operation will need to have the following features:

i.   **A web-based System:** The CFIMS developed or customized by the consultants must be able to run smoothly as a web-based system. The system must accommodate all the web-based system features. It must provide the system that they should be able to make entry in the forms or formats developed for information capture from the concerned offices and institutions.

ii. **Data Entry or Uploading Functions:** The CFIMS should have the features of online submission of data and form. It should also ensure the adequate safety/security mechanism while making entry or uploading the forms, formats or other required information. This system should also contain the sample forms or formats which can be downloaded and filled offline and uploaded to the system, populating the concern database tables.

iii. **Data Forms, Formats and Related Information:** The consultant need to determine the data contents, forms, formats and other information system after analyzing all the requirements of the GCF RPS with MoF technical team as well as concern stake holders and Entities. However, as general guideline it may contain the following:

   a. **Access Control:** The software system should have different access control features as per user levels and user privileges or user roles. This access control feature should be dynamic in nature so that rights of a particular module may be assigned to any user apart from his/her level.

   b. **Parameterization:** The software system should be dynamic to adopt the parameters as defined in related acts, rules, directives etc. This will facilitate any update in parameters like proposal format, eligible criteria, eligible grant, Project types, numbers, etc. in future.

iv. **GEA/NGIF Compliance:** The CFIMS system should follow Nepal Government Enterprise Architecture[12] (GEA) and Nepal Government Interoperability Framework [13](GIF). Compliance of these features by any government software system will facilitate the data interchange among different government agencies.

   a. **Software Architecture:** Software Architecture must be based on Service-Oriented Architecture (SOA) to deliver services. Hence, the CFMIS shall be designed and developed following the underlying principles of SOA i.e general API for the integration of the others systems.

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[12] https://nitc.gov.np/wp-content/uploads/2017/04/Nepal-GEA-Infrastructure-Architecture-v2.0.pdf
[13] https://nitc.gov.np/wp-content/uploads/2017/04/Nepal-eGIF-Guidelines.pdf

b. **Contract First Design Approach:** As per NGEA, contract first design approach is recommended to develop integration services. In contract first design approach, the WSDL serves as the starting point for generating the Web Services for the business functionalities.

v. **Security:** The CFIMS needs to be secured through layers of security system. The software security system should enable the smooth operation of the system without hacking or other security lacking. The system should have an integral security system. The system should have following security features:

Security Level	Details
Coding level security	Security issue should be taken into account while coding CFIMS.
Access level security	Various session monitoring/tracking, password encryption, etc
Database level security	Access to database and their roles, read/write permission, access to database, session monitoring, etc.
Network level security	Access of system inside/outside GCF RPS, MoF, IP and port filtering, etc.

vi. **Data Storage and Back-up System:** The software should have the automatic data storage system as and when the data are entered or feed in regular interval. Similarly, it also should have the back-up system on daily basis. So the software needs to have in-built back-up system to avoid any data loss.

vii. **Disaster Recovery System (DRS):** The consultant should also suggest the DRS for the database safety and loss from every probable natural disaster. It needs to include the DRS plan and the client need to take a precautionary *and correcting mechanism* if disaster happens. It also should contain the *alternative solutions* for DRS, if any.

viii. **Data Export System:** The database system should also be able to export the data to other application program (if any), Excel or other useful application programs that is useful for the analysis and generation of the required report.

ix. **System Integration:** CFIMS should be able to integrate with other available system in MoF which are related to climate finance.

x. **Support and Maintenance:** After successful implementation of the MIS solution and Project Completion Report accepted by GCFRPS and MoF, the system should be kept under warranty period for one years where a regular support, maintenance and regular updates should be carried out by the consulting firm. The support level depends upon the complexity of the task which should determine the service should either be remote support, on call support or stationed support.

TECHNICAL SPECIFICATIONS

S.N	Component	Requirement
i.	Application Software	System should be developed in reliable programming languages and follow the programming standard which must be generic data acquisition, access, coding using web-based application technology.
		Data base should be able to handle very large amount of data; Some languages includes ORACLE, POSTGRESQL, DB2 and Microsoft Windows Database Server
		Application should be highly configurable with option for hard coded options.
		Should be based on current state-of-the-art technology platforms which have been in use in the industry for at least 1 year
		The developed application should be parameter driven with options, choices, popup for various data should be configurable using software option and database configuration.
		Developed system should be compatible and run in Linux and Windows OS in client machine.
		Must follow W3C standards as applicable and compatible to at least following browsers Mozilla Firefox, Internet Explorer, Google Chrome, Opera, Safari.
		Should be based in 3-Tier OR n-tier Architecture.
		Should offer support for authenticating the user with name/password procedures
		Must provide automatic transaction rollback and database recovery in the event of system interruption.
ii.	Programming Language	Software based in web-based application in PHP, node.js, C#, JAVA or any other relevant programming languages. Chosen programming language must have readily available compiler and host environments for common operating systems like Centos Linux, Red Hat Linux OS and windows OS.
iii.	User Management	The system should have role based user management with proper modular permission with at least 4 levels (Super Admin, Admin, User and Public). Each data should have at least create, edit, delete, view permission provision for the 4 levels of user above.
iv.	System Capacity & Performance Requirements	The application platform suggested and the architecture that the contractor would propose must be proven to handle the expected load throughout the project. A Deployment Plan must be such that minimum downtime shall meet the required reliability and availability of 99%.
v.		The proposed solution must include design and implementation of a comprehensive IS security policy in line with ISO 27001 or equivalent standards

	Security Requirements	The designed policy must not be in conflict with the security policy of the Data Centre
		The proposed solution must provide security including identification, authentication, authorization, access control, administration and audit and support for industry standard protocols
		The proposed solution must provide database security mechanism at core level of the database
		Each user must have a user id and a password in order to access the system.
		The user must be able to change his/her password when required.
		The software must ensure periodic change of passwords.
		There must be no facility to read passwords; therefore, forgotten passwords must be reset.
vi.	**User Interface Requirements**	The software should have multiple data entry point. For example, data from a particular NGOs/INGOs may be entered by the focal person of that NGOs/INGOs and data for ministry will be entered by various staffs of Ministry
		The primary user groups using the system are GCF officials, NGOs/INGOs, IT team(admin) and Validators. IT team will be able to manage users, institution and other fields in the proposed System
		Activities entry form is needed to be created consisting of selected fields. Depending on the fields, entry limit is needed to be set.
		Automatic fill-in of all system items
		Automatic save when filling an activity.
		Unlimited text notes fields with word-wrap capabilities and scroll bars.
vii.	**Open Standard**	Developed system should be open standard where possible and not specific to a particular to a vendor or vendor specific technology. Any vendor specific implementation i.e vendor specific component, software, middleware, firmware should be avoid locking situation.
viii.	**Reporting Requirements**	The list of reports given is indicative. This section deals with the broad requirements of the major features to be incorporated in the software applications: a. The report generated by the system will be in compliance to Open Data concept so the users and general public can freely use, re-use and redistribute the data as needed. b. The system must support both graphical and textual output. c. The system must be able to model a reporting format.
		Must be able to launch the report generator from within the software applications through simple keystrokes and these reports should be able to be stored, re-used, printed and emailed.

OUTPUT 3: Strengthen capacity of stakeholders on the established system

Training and knowledge transfer:

The consultant shall prepare the technical, user and operational training module, training materials and session plans for the successful design, development and operation of the system. The trainings should be conducted for officials of MoF Climate Finance Unit, members of technical committee and representative of national accredited entities. The training shall be facilitated by the Readiness Programme.

4. Deliverables

After carrying out the scope of the activities for CFIMS the consultant has to handover the following output and deliverables to the Ministry of Finance and UNDP;

ix. **Original CFIMS Software Design and System / Program (with in-built security system)**

x. **Data Entry Formats, Forms and Other Required Information:** The consultant also need to prepare and submit the manual or directives for the forms, formats for its effective handling.

xi. **Documentation of Technical Design Document, Operational and Training Manuals**: As mentioned in the scope of the activities the consultant needs to submit the **Technical Design of the Software System, Operational and Training Manuals** in the documented form as well as the in Soft copy of electronic version (in Compact Disk and Pen Drive).

xii. **System Requirement Specification (SRS):** A complete report of standard SRS including database and MIS design and architecture.

xiii. **The Source Code and right to use by client** exclusively.

xiv. The **copy right** necessary to use the software and used the one developed by others, if any.

xv. The training modules and proceedings of **trainings** and **workshops, seminars** and **consultative meetings** and their reports.

xvi. The reporting requirements as mentioned in the ToR.

The specific deliverables are outlined below:

S.No	Stage of Work	Deliverables	Milestones	Payment Schedule
1.	**Inception Report**	- Briefing with project team and experts at MoF - Inception Report *with detailed work plan including System Requirement Analysis Report and System Design Document.*	Within 5 days of contract signing	20% payment after approval of inception report
2.	**System Architecture and Database Design Document**	- Requirement analysis report. Database architecture design and analysis. - UI design report	End of week 4	25% payment after submission of progress report
3.	**Development of System with database design and integration**	- Progress report on system development and Integration of system	End of week 10	25% payment after approval of the IMS & online portal
4.	**Trail and approval of IMS**	- Deployment of the developed system will be done at system site while the firm should deploy application servers as per request from MoF; - Successful live run - Implementation Completion Certificate from MoF	End of week 13	20% payment after successful live run
5.	**Delivery training to officials on IMS**	- Development of user and operation manual - 1 Training on the IMS system and online portal to MoF staffs - Submission of completion report - Completion Report	End of week 15	10% payment after handover.

5. Roles And Responsibilities

SERVICE PROVIDER

i. Warranty and Support
- Firm must provide at least 1-year support and warranty after deployment and commissioning.
- Firm will sign to support level agreement (SLA)
- Firm shall provide the support personnel on the call basis up to warranty & support period Support Personnel (on Call Staff)

ii. Reporting Arrangement
- The firm shall be required to provide Requirement Analysis, Complete Technical System Design, User Manual, Technical Manual, Deployment Manual and Completion Report.
- Need to submit monthly report during the development and system status report during support period.

MINISTRY OF FINANCE / GCFRPS

i. Support
- The firm shall work under the close and constant supervision of MoF/ GCFRPS.
- MoF may assign expert/professionals/ officials/team of officials to supervise and / or support the work on behalf of the government. MoF may assign a number of technical experts.
- MoF will provide necessary servers, hosting and public IP, but the firm shall be responsible to manage all development work.

ii. Software Ownership

MoF will have the full ownership of the System including all subsequent modifications. MoF will have the full and sole authority to distribute, license, copyright, modify, and re-engineer the System without binding obligation to any other institution.

6. TECHNICAL TEAM COMPOSITION AND EXPERIENCE

The consultancy will be undertaken by a team of multi-disciplinary team procured and lead by a Team Leader who will be responsible to report and coordination with GCFRPS, MoF and UNDP CO. The qualification, roles and responsibilities and working engagements demanded by the consultancy is provided below.

S.no	Description	Qualification and Work experience	Roles & Responsibilities	Working Days (week)
1.	**Senior Project Manager (Team Leader)**	- At least Bachelor's Degree in IT/Engineering or relevant subject matter; - At least 5 years of experience with Masters Degree and 7 years with Bachelors in web	Create milestones, monitor team work/performance, manage the flow of day to day operations and create reports to update appropriate stockholders.	15 weeks

		based MIS/DSS solution development/implementation and management. - Proven experience in leading multi-disciplinary team in at least 3 projects related to MIS/DSS/data management, etc. within last five years. - Should have the trainings and certification related to IT/Project Management.		
2.	**System Analyst**	- At least Master's Degree in field of IT/Engineering or related subject matter; - Proven 4 years of experience in web based MIS/DSS solution; - Development/implementation and management; - Should have specific experience as System Analyst in at least 3 project related to MIS/DSS/data management, etc. within last five years.	Examine current need, requirement gathering and produce specifications for new system and implement new system	10 weeks
3.	**Senior Developers / Programmers**	- At least bachelor's degree in Computer/IT Engineering or related field. - Minimum 5 years of experience in computer programming, preferably having experience in development of data management system, Oracle/MS SQL Server, CSPro, JAVA, PHP, .Net; - Demonstrate proven experience of developing minimum 2 web based applications; - Should have training/certificates on software development; - Training/certificate on web-based programming, database management and statistical tools will be prioritized;	Directing project, Producing, testing and debugging code and leading developers;	15 weeks
4.	**Developers (2 pax)**	- At least bachelor's degree in Computer/IT Engineering or related field;	- Producing, testing and debugging code; - Troubleshooting system errors and providing tech	15 weeks

		- Minimum 3 years of experience in computer programming, preferably having experience in development of data management system, Oracle/MS SQL Server, CSPro, JAVA, PHP, .Net; - Should have training/ certificates on software development; - Demonstrated experience of developing web based applications; - Preference will be given to the training/certificate on web-based programming, database management and statistical tools;	support;	
5.	**Database Architect**	- At least bachelor's degree in Computer/IT Engineering or related field; - Minimum 3 years of experience in database administration preferably having experience in Oracle/MS SQL Server or Equivalent; - Proven experience of design, development, implement and maintenance of databases including data recovery, security, scalability and disaster recovery at least 2 projects; - Should have training/certification in database administration;	- Database Design, - Development and Management; - Make sure data is clearly defined, making data consistent across the database, user data concurrency, data security and recovery	8 weeks
6.	**UI Designer**	- Bachelor's degree in Information Technology or equivalent; - More than 3 years of experience in designing web application; - Should have training/certification in database administration;	- Plan and implement new designs, - Optimize existing user interface designs;	8 weeks
7.	**Documentati on Expert**	- Bachelor's degree in Information Technology or equivalent - At least three 3 years of	- Prepare technical documentation such as Progress reports, Inception reports, SRS, User Manual, technology transfer	8 weeks

		experience in working as documentation; - Proven experience on preparation of 3 documentation productions;	procedures, protocols and various other documents	
8.	**Quality Assurance Expert**	- Bachelor's degree in Information Technology or equivalent; - More than 3 years of experience in working as QA/QC Expert; - Proven experience in conducting 3 QA of similar assignments;	- Investigate product quality in order to make improvements to achieve better customer satisfaction, test current products and identifying deficiencies; - Suggest solutions to identified product problems; - Plan, create and manage the overall Quality Planning strategy;	8 weeks

7. COMPETENCIES OF SERVICE PROVIDER

Qualification and experience of the firm:

i. Firm will minimum 7 years of documented experience of system software design and web based applications design, development and implementation of similar projects types for government, NGOs, INGOs and similar others;
ii. Proven experience of development of at least 3 web based MIS/DSS projects development in last 4 years with financial value of worth NPR 100,00,000;
iii. Proven financial track record and strong annual financial turnover of NPR 80,00,000 for last three years;
iv. Other relevant documents like company registration, VAT registration, latest tax clearance, etc. are necessary;

Note: The firm and technical experts engaged in preparation of assessment of system requirement and development of specifications (SRS) for the CF IMS will not be eligible to participate in this bidding process.

8. DURATION

The duration of the contract is for the period of 15 weeks upon signing of the contract.

9. WORKING ARRANGEMENTS

The contractors will be given access to relevant information necessary of execution of the tasks under this assignment. The contractor will be responsible for providing his/her own working station (i.e. laptop, internet, phone, printer/scanner etc. and must have access to a reliable internet connection).

10. ESTIMATED BUDGET

It is proposed that the Request for Proposal (RFP) should cover the technical and out of pocket cost i.e., the cost of human resources and includes expense estimation. The cost of three consultation meetings/workshops/trainings will be covered by the Readiness Programme.

11. EVALUATION METHOD

Applicants will be evaluated on the basis of 'Combined Scoring Method' will be used in selection of the consultancy firm where the technical proposal (i.e. expertise of the firm, methodology, qualification and expertise of the key personal) will be weighted a maximum of 70%, and the combined with the financial proposal offer which will be weighted maximum of 30%.

Annex 1: Reporting Format:

a). Readiness Programme

<table>
<tr>
<td colspan="2">SECTION 1: GENERAL INFORMATION
This section provides information on completing the General Information of the Readiness Support Interim Progress Report template.</td>
</tr>
<tr>
<td>1.   Country</td>
<td>Example: The Republic of Vanuatu</td>
</tr>
<tr>
<td>2.   Grant agreement number</td>
<td>Example: VUT-RS-XXX (refer to Grant Agreement)</td>
</tr>
<tr>
<td>3.   Implementing Entity</td>
<td>(refer to Grant Agreement)</td>
</tr>
<tr>
<td>4.   Date of grant agreement signed</td>
<td>Click or tap to enter a date.</td>
</tr>
<tr>
<td>5.   Grant effectiveness date</td>
<td>Example: Effective Date: 24/03/2016 (refer to Grant Agreem</td>
</tr>
<tr>
<td>6.   Date of 1st disbursement received from GCF</td>
<td>Click or tap to enter a date.</td>
</tr>
<tr>
<td>7.   Tranche number of the committed funding during the reporting period</td>
<td>Example: second tranche of disbursement (refer to Grant Ag</td>
</tr>
<tr>
<td>8.   Reporting period</td>
<td>From: Click or tap to enter a date. To: Click or tap to enter a</td>
</tr>
<tr>
<td>9.   Total approved grant amount</td>
<td>Choose an item. Example: USD 300,000</td>
</tr>
<tr>
<td>10. Total grant amount received from GCF during the reporting period</td>
<td>Choose an item. Example: USD 120,000</td>
</tr>
<tr>
<td>11. Total grant amount expended during the reporting period</td>
<td>Choose an item. Example: USD 118,000</td>
</tr>
<tr>
<td>12. Documents provided
(Please tick the relevant boxes)</td>
<td>☐ Interim Progress Report   ☐ Procurement P
☐ Subsequent Disbursement Request   ☐ Financial Report
Report</td>
</tr>
</table>

SECTION 2: REPORTING ON COUNTRY READINESS LOGICAL FRAMEWORK
This section requires an update on progress in implementing the planned Readiness activities. Any draft to the expected output s

Progress is reported for the period (should be consistent with section 1.8)	From: Click or tap to enter a date. To: Click or tap to enter a date.

Outcome 1:

Outcome narrative: Please provide a brief summary of the outcome achieved.

Outputs	Baseline summary	Activities	Targets achieved	Indicators	Milestones and deliverables achieved[14]	Variance explanation	Qualitative assessment of activities undertaken	Planned activities and corresponding deliverables/milestones for the next reporting period
	Please provide a brief summary of the baseline scenario at the proposal stage.		Please rate the status of targets achieved through activities undertaken during the reporting period in the scale 0 to 2, against the baseline and the proposed targets in the proposal.	Based on your approved proposal, please outline the key indicators.	Please state the milestones and deliverables achieved as agreed in Grant Agreement.	In this column, identify and explain the reasons for the difference, if any, between a planned activity and the corresponding actual activity that took place during the reporting period.	In this column, summarize some of the qualitative results achieved through activities undertaken during the reporting period.	Please highlight activities, deliverables and milestones planned for the next reporting period and indicate any modifications that might be made from the original implementation plan. Also, indicate any corrective actions that need to be taken up to address impediments that emerged in the reporting period.
1.1 NDA/focal point lead effective coordination mechanism		**[Example]** 1.1.1 Develop operational guidelines/manuals for the functioning of the NDA, including a procedure to establish an effective coordination mechanism 1.1.2 List activity 2 1.1.3 List activity 3	Choose an item.		**[Example]** Deliverable: An operational manual defining and describing NDA's roles and functions			

SECTION 3: ACTUAL IMPLEMENTATION TIMETABLE
Please provide the timeline of the Readiness Support activities and deliverables described in the outcomes in the Gantt chart belo month(s) in which the deliverable was completed. Please ensure the outcomes/outputs/activities match those highlighted in Secti

Progress is reported for the period (should be consistent with section 1.8)	From: Click or tap to enter a date. To: Click or tap to enter a date.

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[14] If possible, please provide hyperlinks to supporting documents.

Outcome 1.																										
Outputs[15]	**Activities**	**Actual Timeline of Implementation of Activities During the Reporting Period** (Number of months can be adjusted according to the actual project duration and milestones.)																								
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
2.1 Stakeholders engaged in consultative processes																									
2.2 Country programmes, including adaptation priorities, developed and continuously updated																									
2.3 Stakeholder consultations conducted with equal representation of women																									
2.4 Annual participatory review of GCF portfolio in the country organized																									

SECTION 4: BUDGET & EXPENDITURE REPORTING
This section requires the applicant to report on the proposed budget. Double-click the table below to edit the spreadsheet.

Progress is reported for the period on activities (should be consistent with section 1.8 and 1.10). Please fill the budget reporting in the excel format table below by double clicking the table. The currency used should be consistent with Grant Agreement.	From: Click or tap to enter a date. To: Click or tap to enter a date.

Project Outcome	Activities	Cost Categories	Approved Budget	Expenditure	Commitment	Total Expenditure	Available Budget
			i	ii	iii	iv = (ii + iii)	v = (i - iv)
Outcome 1	1.1.1	International Consultant				0	0
		National Consultant				0	0
		Workshops/Trainings				0	0
						0	0
						0	0
	1.1.2	Travel				0	0
Outcome 2						0	0
						0	0
						0	0

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[15] If needed, please adjust the outcomes based on the submitted readiness proposal.
[16] As per signed agreement.
[17] Please provide details information of commitment and accrual including vendor/payee name, amount and payment due date.
[18] Please provide justification for variance, excess of 10% of the amount originally allocated for a Category shall only be done with the Fund's prior written approval.

ii.   Reporting for NDA

1. Country Profile

Geographical location	
Land area	
Population	
Types of climate	
GHG emissions profile	
Key emitter sectors	
Key climate risks	
Vulnerable sectors	
NDA/FP	
National/Regional AEs	
International AEs	

1.1   Climate change profile

➢ *Climate scenarios: projections from national communication for medium and long term climate scenario, basically temperature and precipitations; if available aridity index*
➢ *Vulnerability profile: climate drivers, risks, impacts and key vulnerabilities, climate change threats for the economy, growth, productive sectors, ecosystems and vulnerable social groups like women, indigenous peoples, minorities, the elderly*
➢ *Key emitter sectors and related mitigation challenges*

1.2   Development profile

➢ *Include information on GDP, growth rate, GNI/capita, HDI, domestic credit levels, ease of doing business and other relevant criteria such as sustainable development indicators*
➢ *Development prospects, macro-economic and fiscal circumstances and strategies, poverty reduction strategies, gender mainstreaming and social inclusion strategies, low emission and clean energy policies/ strategies, infrastructure investment policies (e.g related to urban development and transport), adaptation and risk management policies/strategies, and emerging green growth strategies (or the like)*
➢ *Key economic drivers and anticipated sectors for growth, including urbanization*
➢ *Type and capacity of financial system within the country, including capacity of the private sector, including national credit rating*

1.3 Climate change response

1.3.1 National frameworks

➤ *Snapshot of national initiatives under the UNFCCC: Intended Nationally Determined Contributions (INDCs)/ Nationally Determined Contributions (NDCs), National Adaptation Plans (NAP), National Adaptation Programmes of Action (NAPAs) Nationally Appropriate Mitigation Actions (NAMA), Technology Needs Assessment (TNA), and) and any other relevant initiatives. (e.g. REDD+)*

➤ *Snapshot of other climate related initiatives developed at national, sub-national and local level*

➤ *Snapshot of key national institutional partners active in the climate change field*

➤ *Snapshot of existing monitoring systems and predictive climate tools (e.g. National Carbon Emissions Register, Vulnerability Index, Disaster Risk Monitoring System)*

1.3.2 Regional engagement

➤ *Overview of regional participation in terms of: climate negotiation groups, regional sectoral approaches (e.g. in relation to coastal protection, joint water management, etc.)*

1.3.3 Access to finance

➤ *Overview of enabling environment and regulatory framework for mobilization and deployment of climate finance resources, including public private partnerships at national level*

➤ *Overview of current access to finance for projects in mitigation and adaptation from both national and international sources across the public and private sector*

1.4 Gaps and opportunities

➤ *Referring to the issues and priorities identified in sections 1.1 and 1.2 as well as the responses outlined in sub-sections 1.3.1 to 1.3.3, summarize identified gaps, weaknesses and opportunities in terms of:*
   - *Institutional strengthening and existing policy framework*
   - *Financing needs across mitigation and adaptation*
   - *Capacity needs of existing actors across public and private sector*
   - *Technology needs*

2. Country Agenda and GCF Engagement

Section 2 is intended to provide a summary of national plans in view of GCF operational modalities and investment criteria.

2.1 Institutional arrangements

➤ *Overview of strategic role and positioning of the NDA within the national legal and planning structure and institutional set up. (seek to include an update on status of the P&I process)*

➤ *Overview of national climate change engagements with other key international partners or UNFCCC mechanism partners, such as GEF, AF, CTCN.*

➤ *Overview of existing national coordination mechanisms for multilateral and bilateral funding at national level*

Table 2. Relationships with existing Accredited Entities and relevant partners			
Entity/Partner Name	**Area/s of focus**	**Engagement in country**	**Efforts to strengthen engagement with GCF**

E.g *IFAD*	Land use development and food security	*In-country presence. Annual work plan in consultation with xx Ministry. Base funding provided by xx partner with co-financing by government.*	*Mainstream GCF funding consideration into annual work plan.*

2.2   Roles and contributions of key stakeholders

➤ *Overview of key national institutional partners or private sector groups that are active in driving climate action*

➤ *Overview of key stakeholder groups and consultations carried out with regards to determining climate priorities for the country and GCF engagement (The NDA/focal point may summarise the key stakeholders that have a role to play in developing and executing the country programme, highlighting key roles for line ministries (including the Ministry of Women's Affairs, Ministry of Minority Affairs or their equivalent), local government, private sector, civil society (including women – led organizations, representatives from indigenous peoples' groups where applicable, faith – based organizations, and international organisations)*

➤ *Questions that can be considered:*

   (i)   How are they engaged in the development process of country programme?

   (ii)   What have been their inputs?

   (iii) What are their expected roles in the implementation of country programme?

   (iv)   To what extent has the development process of the country programme been inclusive and participatory in nature?

   (v)   Is there particular technical assistance, policy dialogue support, or other support that might enable national stakeholders to take processes forward? Is there a role that GCF support could play in this context?

Table 3: Overview of consultation processes			
Stakeholder group	**Date of consultation**	**Type or objective of consultation**	**Outcome**

2.3   Identification of country priorities for the GCF

➤ *Summarize national priorities derived from policies identified in Section 1.3*

➤ *Summarize key areas of engagement with the GCF in relation to the gaps, weaknesses and opportunities identified in Section 1.4*

➤ *Summarize the process of distilling these priorities into projects and programmes that are consistent with GCF policies, principles and access modalities. Some questions to be addressed in defining these priorities:*

- o *Is there early alignment with GCF's fund level strategic impacts across mitigation and adaptation?[19]*
- o *Is there alignment with the investment criteria (impact potential, paradigm shift potential, sustainable development potential, needs of the recipient, country ownership and efficiency and effectiveness)[20]*
- o *What are the benefits of GCF intervention?*
- o *Have gender and social dimensions been adequately considered while setting these priorities?*
- o *Have other financing options been explored?*
- o *Are financing needs commensurate to the country's needs?*
- o *What options for leveraging the private sector have been assessed?*

➢ **An analysis of the methodology used in the prioritization process should be provided as an Annex to the Country Programme.**

2.4   Country Portfolio

➢ *Overview of the pipeline for projects and programmes, Project Preparation Facility requests, Readiness and accreditation.*

➢ *In the action plan below each project or proposal outline the next steps for taking it forward, along with the lead actor for taking the action forward and a timeline by which the action should be completed.*

Table 4: Country projects/programmes pipeline						
Project Title	**Description**			**Accredited Entity**	**Submission timeframe**	
Fund level strategic impacts				**Total financing:**	**Status**	
E.g (1,4)				GCF:	Other:	E.g. FP Received, Stage 1 Completeness Check, etc.
Action		**Lead**		**Timeline**		
E.g.: *Finalization of feasibility studies*		*AE*				
Submission of proposal		*AE*				
Project Title	**Description**			**Accredited Entity**	**Submission timeframe**	
Fund level strategic impacts:				**Total financing:**	**Status**	

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[19] The 8 GCF Fund level strategic impacts are listed on the GCF website, here. Detailed information is provided in the mitigation and adaptation performance measurement framework, found here.

[20] Initial guidelines on the investment criteria are provided in the GCF Investment Framework provided here with detailed activity-specific sub-criteria and indicative assessment factors further defined here.

		GCF:	Other:	
Action		**Lead**	**Timeline**	

Table 5: Country Project Preparation pipeline				
Project Title	**Description**	**Accredited Entity**		**Submission timeframe**
E.g CN1				
Fund level strategic impacts		**Total financing:**		**Status**
		GCF:	Other:	E.g. *CN developed / PPF application under development*
Action		**Lead**		**Timeline**
E.g *CN Development*		E.g AE, GCF		

Table 6. Country Readiness programme pipeline				
Title	**Description**	**Delivery Partner**		**Submission timeframe**
E.g.1: Readiness for NDA Strenghtening and Strategic Frameworks, Accreditation, NAPs, REDD+ strategies				
		Total financing:		Status
				E.g Proposal Submitted, Pending FMCA, Pending disbursement
Action		**Lead**		**Timeline**
		E.g NDA, Delivery Partner, GCF		

Table 7. Accreditation pipeline				
Entity Name	**Type**	**Action**	**Lead**	**Timeline**

3. Monitoring and evaluation of Country Programme implementation

Section 3 outlines key steps in the updating, monitoring and evaluation of the country programme and its related activities.

Questions which can be considered:

➢ *How will new developments related to economic circumstances, new information on adaptation and mitigation, new information on changing viability or costs of various options inform updates in the country programme?*

➢ *Please outline a practical schedule of periodic reviews/evaluations to effectively monitor progress and adjust course as necessary? How can it be linked to the Paris Agreement's periodic ambition reviews?*

➢ *Specify which parameters of the country programme will likely require updates and what will be the frequency for updating the country programmes*

iii.　　Reporting for Direct Access Entities

Date Accredited	Entity Type	Size	E&S	Fiduciary functions	
B.## 28 Feb 19	Direct Access - National	Small	B	✓ Project Management ☐ Grant Award	☐ On-Lending / Blending ☐ Loans ☐ Equity ☐ Guarantees

Status of Indicative Pipeline

. Project 1

Disclosure* * 　　Public ☐ Board ☐ Confidential
Project/programme title*∆:
Project/programme description[21]*∆: Project/programmedescription[22]*∆:
Result area(s)[23] *∆: *Check the applicable GCF result area(s) that the proposed project/programme targets. Indicate for each checked result area(s) the estimated percentage of GCF budget devoted to it. The summed percentage should be equal to 100%.* Mitigation: Reduced emissions from:　　　　　　　　　Increased resilience of: ✓Energy access and power generation: 20%　　✓ Buildings, cities, industries and appliances: 20%　　✓Most vulnerable people, communities and regions: 20%　　☐Infrastructure and built environment: Enter number% ☐Low-emissions transport: Enter number%　　☐Forestry and land use: Enter number%　　✓ Health and well-being, and food and water security: 40%　　☐Ecosystems and ecosystem services: Enter number%
Alignment to country(ies) priorities[24]*∆:
Climate rationale[25]*∆:
Alignment to AE's vision for engagement with GCF[26]:

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21 This item is related to section B.4 of the Funding Proposal Template.

22 This item is related to section B.4 of the Funding Proposal Template.

23 This item is related to section A.4 of the Funding Proposal Template. Please indicate the targeted results area(s) that the proposed project/programme addresses. Indicative percentages are acceptable at this stage.

24 This item is related to multiple sections of the Funding Proposal Template, including: B.3and D.5. Explain how the project/programme intends to address the beneficiary country's national climate strategy and priorities in mitigation and/or adaptation. This should also align with those contained in the GCF Country Programme, if available.

25 This item is related to section B.1 of the Funding Proposal Template. Based on best available science, please provide information that demonstrates the causal linkages between climate action and expected impacts from the intervention of this project/programme. Please also briefly describe the frequency and intensity of climate variability and change. Include past, present and future timescales. Additional information can include aspects such as: climate impacts and magnitude of exposure, vulnerability and hazards resulting in risks that the project is envisaged to address. These could include exposure to climate variables (e.g., rainfall, temperatures), identified risks (e.g., projected increases in the frequency and intensity of hazardous events) and impacts associated with risks (e.g., food and water security). The AE may also identify physical, social, economic and cultural vulnerabilities that increase the susceptibility of an individual, a community, assets or systems to the impacts of hazards. This section could also articulate the climate mitigation and/or adaptation impact potential of the project/programme.

26 Explain how this project/programme contributes to the AE's vision indicated in the 'Introduction' section.

Expected Submission Date	Country/ies*Δ	Total Financing*Δ (US$M, by Financial Instrument)		Requested GCF Funding*Δ (US$M, by Financial Instrument)		Co-Financing Information[27]Δ (US$M, by Financier)			ESS category Δ	Studies ConductedΔ	NDA No-objection letters Δ	Funding Window
Concept Note:	List Country(ies):	(vi) Grants		(vi) Grants		GoN	(vi) Grants					Choose:
		Options	Enter Amount	Options	Enter Amount	Beneficiaries	(iii) Equity					
		Options	Enter Amount	Options	Enter Amount	Name of Institution	Options	Enter Amount				
		Options	Enter Amount	Options	Enter Amount	Name of Institution	Options	Enter Amount				

Project/programme's complementarity and coherence to other climate funds[28]Δ:

Project Preparation Funding (PPF) Requested[29]	Choose: No	Comments:
Project Preparation Technical Assistance Needed[30]	Choose: Yes	Comments: Technical assiatance to further hone the project concept note.

27This item is related to section C of the Funding Proposal Template. List co-financing amounts, co-financiers, and respective financial instruments.

28This item is related to section B.5 of the Funding Proposal Template.Explain whether other climate funds either have led to this project/programme, are being accessed in parallel, or may be accessed in the future. Other climate funds may include: Global Environment Fund (GEF), Adaptation Fund (AF), Climate Investment Funds (CIF) and/or other multilateral and bilateral sources.

29Indicate if the AE intends to seek Project Preparation Funding (PPF) for this project/programme. If PPF will be sought, describe briefly the type of support required, the amount to be requested, justification, and timelines as to when the AE plans to submit the PPF proposal.

30DAEs (in coordination with NDAs) may request technical assistance from independent consultants provided by the GCF to help strengthen specific project ideas or concept notes and associated PPF applications. Please note this support is available to DAEs only, and subject to initial review by the Secretariat.