

**CARIBBEAN COMMUNITY
CLIMATE CHANGE CENTER**

(CCCCC)



REQUEST FOR PROPOSAL

FOR THE

**Final Evaluation of the Caribbean Regional Resilience Development
Implementation Plan (IP) Project (DFID support)**

Contract # 30/2015/DFID/CCCCC

April 28, 2016

CONTENTS

SECTION 1. Letter of Invitation.....	2
SECTION 2. Instructions to Consultants	5
Data Sheet	20
SECTION 3. Technical Proposal - Standard Forms	25
Form TECH-1 Technical Proposal Submission Form	26
Form TECH-2 Consultant's Organization and Experience	28
A - Consultant's Organization	28
B - Consultant's Experience	29
Form TECH-3 Comments and Suggestions on the Terms of Reference and on Counterpart Staff and Facilities to be Provided by the Centre	30
A - On the Terms of Reference	30
Form TECH-4 Description of Approach, Methodology and Work Plan for Performing the Assignment.....	31
Form TECH-5 Team Composition and Task Assignments	32
Form TECH-6 - Curriculum Vitae (CV) for Proposed Professional Staff	33
Form TECH-7 Staffing Schedule ¹	35
Form TECH-8 Work Schedule	36
SECTION 4. Financial Proposal - Standard Forms	37
Form FIN-1 Financial Proposal Submission Form.....	37
Form FIN-2 Summary of Costs	39
Form FIN-3 Breakdown of Costs by Activity ¹	40
Form FIN-5 Breakdown of Expenses ¹	42
SECTION 5: TERMS OF REFERENCE.....	45
SECTION 6: CONTRACT	59
ANNEX I.....	64
Bank Guarantee for Advance Payment.....	64

REQUEST FOR PROPOSALS
RFP No: Contract # 30/2015/DFID/CCCCC

Organization Name:
CARIBBEAN COMMUNITY CLIMATE CHANGE CENTER

Title of Consulting Services:
**Final Evaluation of the Caribbean Regional Resilience
Development Implementation Plan (IP) Project
(DFID support)**

SECTION 1. Letter of Invitation

Contract # 30/2015/DFID/CCCCC

April 28, 2016

Caribbean Community Climate Change Center (CCCCC)
2nd. Floor
L. Nicholas Building
North Ring Road
Belmopan City
BELIZE

Dear Sir/Madam.

1. The *Caribbean Community Climate Change Centre (CCCCC)* has received funds from the *Department for International Development (DFID) of the United Kingdom* to advance the *Regional Strategy for Achieving Development Resilient to Climate Change* and its accompanying *Implementation Plan* under the **Caribbean Regional Resilience Development Implementation Plan (IP) Project 202595**, and it intends to apply part of the proceeds to payments under the Contract for a **Final Evaluation** of the Project.
2. The CCCCC now invites firms to submit proposals to provide consulting services for the “**Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project.**” More details on the services to be provided are found in the Terms of Reference attached.
3. Bidding for this consultancy will be conducted through the International Competitive Bidding (ICB) procedures specified by the Department for International Development (DFID), and is open to all bidders.
4. A firm will be selected under the **Least Cost Selection (LCS)** and procedures described in this RFP.

5. The RFP includes the following documents:

- Section 1 - Letter of Invitation
- Section 2 – Instructions to Consultants
- Section 3 - Technical Proposal - Standard Forms
- Section 4 - Financial Proposal - Standard Forms
- Section 5 - Terms of Reference
- Section 6 - Standard Forms of Contract.

6. Interested and eligible bidders may obtain further information from *Ms. Allison Williams, Procurement Officer (ag), Caribbean Community Climate Change Centre (CCCCC), Email: procurement@caribbeanclimate.bz, between the hours of 8.00 am to 5.00 pm Monday through Friday, and inspect the Bidding Documents at: <http://caribbeanclimate.bz/>, Opportunities “**Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project.**”*
7. Bids must be delivered to the address below at or before **or before 2:00pm (GMT-6) on the 27th May 2016.**

Electronic bidding will be permitted. Late bids will be rejected. Bids will be opened in the presence of the bidders’ representatives who choose to attend in person in the conference room at the address below at **2:15pm (GMT-6) on the 27th May 2016.**

8. *The address referred to above is:*

*Email: procurement@caribbeanclimate.bz
Caribbean Community Climate Change Centre (CCCCC),
Second Floor, Lawrence Nicholas Building
Ring Road,
Belmopan, BELIZE
Tel. No.: 501-822-1104, 822-1094
Fax.: No. 501-822-1365*

The address referred to for Bid Opening:

*Caribbean Community Climate Change Centre (CCCCC),
Conference Room, Second Floor,
Lawrence Nicholas Building
Ring Road,
Belmopan, BELIZE*

The Caribbean Community Climate Change Centre (CCCCC) reserves the right to accept or reject any tender and to annul the process and reject all tenders at any time prior to the contract signature, without thereby incurring any liability.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Allison Williams', with a stylized flourish at the end.

Allison Williams
Procurement Officer (Ag.)

SECTION 2. Instructions to Consultants

Definitions

- (a) “Centre” means the agency with which the selected Consultant signs the Contract for the Services.
- (b) “Consultant” means any entity or person that may provide or provides the Services to the Centre under the Contract.
- (c) “Contract” means the Contract signed by the Parties and all the attached documents listed in its Clause 1, that is the General Conditions (GC), the Special Conditions (SC), and the Appendices.
- (d) “Data Sheet” means such part of the Instructions to Consultants used to reflect specific country and assignment conditions.
- (e) “Day” means calendar day.
- (f) “Government” means the government of the Centre’s country.
- (g) “Instructions to Consultants” (Section 2 of the RFP) means the document which provides shortlisted Consultants with all information needed to prepare their Proposals.
- (h) “LOI” (Section 1 of the RFP) means the Letter of Invitation being sent by the Centre to the shortlisted Consultants.
- (i) “Personnel” means professionals and support staff provided by the Consultant or by any Sub-Consultant and assigned to perform the Services or any part thereof; “Foreign Personnel” means such professionals and support staff who at the time of being so provided had their domicile outside the Government’s country; “Local Personnel” means such professionals and support staff who at the time of being so provided had their domicile inside the Government’s country.
- (j) “Proposal” means the Technical Proposal and the Financial Proposal.
- (k) “RFP” means the Request For Proposal to be prepared by the Centre for the selection of Consultants, based on the SRFP.
- (l) “SRFP” means the Standard Request for Proposals, which must be used by the Centre as a guide for the preparation of the RFP.
- (m) “Services” means the work to be performed by the Consultant pursuant to the Contract.

- (n) “Sub-Consultant” means any person or entity with whom the Consultant subcontracts any part of the Services.
- (o) “Terms of Reference” (TOR) means the document included in the RFP as Section 5 which explains the objectives, scope of work, activities, tasks to be performed, respective responsibilities of the Centre and the Consultant, and expected results and deliverables of the assignment.

1. Introduction

- 1.1 The **Caribbean Community Climate Change Centre**, will select a consulting firm/organization (the Consultant) from those who respond to publication for the submission of proposals, in accordance with the method of selection specified in the Data Sheet.
- 1.2 Consultants are invited to submit a Technical Proposal and a Financial Proposal, or a Technical Proposal only, as specified in the Data Sheet, for consulting services required for the assignment **“Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project”**. The Proposal will be the basis for contract negotiations and ultimately for a signed Contract with the selected Consultant.
- 1.3 Consultants should familiarize themselves with local and regional conditions and take them into account in preparing their Proposals. To obtain first-hand information on the assignment and local and regional conditions, Consultants are encouraged to visit the Centre before submitting a proposal and to attend a pre-proposal conference if one is specified in the Data Sheet. Attending the pre-proposal conference is optional. Consultants should contact the Centre’s representative named in the Data Sheet to arrange for their visit or to obtain additional information on the pre-proposal conference. Consultants should ensure that these officials are advised of the visit in adequate time to allow them to make appropriate arrangements.
- 1.4 The Centre will provide, on a timely basis, at no cost to the Consultants the inputs and facilities specified in the Data Sheet, assist the firm in obtaining licenses and permits needed to carry out the services, and make available relevant project data and reports.
- 1.5 Consultants shall bear all costs associated with the preparation and submission of their proposals and contract negotiation. The Centre is not bound to accept any proposal, and reserves the right to annul the selection process at any time prior to

Contract award, without thereby incurring any liability to the Consultants.

Conflict of Interest

1.6 The Centre's policy requires that Consultants provide professional, objective, and impartial advice and at all times hold the Centre's interests paramount, strictly avoid conflicts with other assignments or their own corporate interests and act without any consideration for future work.

1.6.1 Without limitation on the generality of the foregoing, Consultants, and any of their affiliates, shall be considered to have a conflict of interest and shall not be recruited, under any of the circumstances set forth below:

Conflicting activities

(i) A firm that has been engaged by the Centre to provide goods, works or services other than consulting services for a project, and any of its affiliates, shall be disqualified from providing consulting services related to those goods, works or services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, and any of its affiliates, shall be disqualified from subsequently providing goods or works or services other than consulting services resulting from or directly related to the firm's consulting services for such preparation or implementation. For the purpose of this paragraph, services other than consulting services are defined as those leading to a measurable physical output, for example surveys, exploratory drilling, aerial photography, and satellite imagery.

Conflicting assignments

(ii) A Consultant (including its Personnel and Sub-Consultants) or any of its affiliates shall not be hired for any assignment that, by its nature, may be in conflict with another assignment of the Consultant to be executed for the same or for another Centre. For example, a Consultant hired to prepare engineering design for an infrastructure project shall not be engaged to prepare an independent environmental assessment for the same project, and a Consultant assisting a Centre in the privatization of public assets shall not

purchase, nor advise purchasers of, such assets. Similarly, a Consultant hired to prepare Terms of Reference for an assignment should not be hired for the assignment in question.

**Conflicting
relationships**

- (iii) A Consultant (including its Personnel and Sub-Consultants) that has a business or family relationship with a member of the Centre's staff who is directly or indirectly involved in any part of (i) the preparation of the Terms of Reference of the assignment, (ii) the selection process for such assignment, or (iii) supervision of the Contract, may not be awarded a Contract, unless the conflict stemming from this relationship has been resolved in a manner acceptable to the Centre throughout the selection process and the execution of the Contract.

1.6.2 Consultants have an obligation to disclose any situation of actual or potential conflict that impacts their capacity to serve the best interest of their Centre, or that may reasonably be perceived as having this effect. Failure to disclose said situations may lead to the disqualification of the Consultant or the termination of its Contract.

1.6.3 No agency or current employees of the Centre shall work as Consultants under their own ministries, departments or agencies. Recruiting former government employees of the Centre to work for their former ministries, departments or agencies is acceptable provided no conflict of interest exists. When the Consultant nominates any government employee as Personnel in their technical proposal, such Personnel must have written certification from their government or employer confirming that they are on leave without pay from their official position and allowed to work full-time outside of their previous official position. Such certification shall be provided to the Centre by the Consultant as part of his technical proposal.

**Unfair
Advantage**

1.6.4 If a shortlisted Consultant could derive a competitive advantage from having provided consulting services related to the assignment in question, the Centre shall make available to all shortlisted Consultants together

with this RFP all information that would in that respect give such Consultant any competitive advantage over competing Consultants.

**Fraud and
Corruption**

1.7 The Centre requires that all Consultants adhere to the highest ethical standards, both during the selection process and throughout the execution of a contract. In pursuance of this policy, the Centre:

- (a) defines, for the purpose of this paragraph, the terms set forth below as follows:
 - (i) “corrupt practice” means the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence the action of a public official in the selection process or in contract execution;
 - (ii) “fraudulent practice” means a misrepresentation or omission of facts in order to influence a selection process or the execution of a contract;
 - (iii) “collusive practices” means a scheme or arrangement between two or more consultants with or without the knowledge of the Centre, designed to establish prices at artificial, noncompetitive levels;
 - (iv) “coercive practices” means harming or threatening to harm, directly or indirectly, persons or their property to influence their participation in a procurement process, or affect the execution of a contract.
- (b) will reject a proposal for award if it determines that the Consultant recommended for award has, directly or through an agent, engaged in corrupt, fraudulent, collusive or coercive practices in competing for the contract in question;
- (c) will cancel the contract if it determines at any time that representatives of the Centre and/or the engaged in corrupt, fraudulent, collusive or coercive practices during the selection process or the execution of the contract.
- (d) will sanction a Consultant, including declaring the

Consultant ineligible, either indefinitely or for a stated period of time, to be awarded a contract by the Centre if at any time determines that the Consultant has, directly or through an agent, engaged in corrupt, fraudulent, collusive or coercive practices in competing for, or in executing the contract; and

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| | 1.8 | Consultants, their Sub-Consultants, and their associates shall not be under a declaration of ineligibility for corrupt and fraudulent practices in accordance with the above para. 1.7. Furthermore, the Consultants shall be aware of the provisions on fraud and corruption stated in the specific clauses in the General Conditions of Contract. |
| | 1.9 | Consultants shall furnish information on commissions and gratuities, if any, paid or to be paid to agents relating to this proposal and during execution of the assignment if the Consultant is awarded the Contract, as requested in the Financial Proposal submission form (Section 4). |
| Origin of Goods and Consulting Services | 1.10 | <p>Goods supplied and Consulting Services provided under the Contract may originate from any country except if:</p> <ul style="list-style-type: none"> (i) as a matter of law or official regulation, the Centres' country prohibits commercial relations with that country; or (ii) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Centre's Country prohibits any imports of goods from that country or any payments to persons or entities in that country. |
| Only one Proposal | 1.11 | Shortlisted Consultants may only submit one proposal. If a Consultant submits or participates in more than one proposal, such proposals shall be disqualified. However, this does not limit the participation of the same Sub-Consultant, including individual experts, to more than one proposal. |
| Proposal Validity | 1.12 | The Data Sheet indicates how long Consultants' Proposals must remain valid after the submission date. During this period, Consultants shall maintain the availability of Professional staff nominated in the Proposal. The Centre will make its best effort to complete negotiations within this period. Should the need arise, however, the Centre may |

request Consultants to extend the validity period of their proposals. Consultants who agree to such extension shall confirm that they maintain the availability of the Professional staff nominated in the Proposal, or in their confirmation of extension of validity of the Proposal, Consultants could submit new staff in replacement, who would be considered in the final evaluation for contract award. Consultants who do not agree have the right to refuse to extend the validity of their Proposals.

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| Eligibility of Sub-Consultants | 1.13 | In case a shortlisted Consultant intends to associate with Consultants who have not been shortlisted and/or individual expert(s), such other Consultants and/or individual expert(s) shall be subject to the eligibility criteria set forth in the Guidelines. |
| 2. Clarification and Amendment of RFP Documents | 2.1 | Consultants may request a clarification of any of the RFP documents up to the number of days indicated in the Data Sheet before the proposal submission date. Any request for clarification must be sent in writing, or by standard electronic means to the Centre's address indicated in the Data Sheet. The Centre will respond in writing, or by standard electronic means and will send written copies of the response (including an explanation of the query but without identifying the source of inquiry) to all Consultants. Should the Centre deem it necessary to amend the RFP as a result of a clarification, it shall do so following the procedure under para. 2.2. |
| | 2.2 | At any time before the submission of Proposals, the Centre may amend the RFP by issuing an addendum in writing or by standard electronic means. The addendum shall be sent to all Consultants and will be binding on them. Consultants shall acknowledge receipt of all amendments. To give Consultants reasonable time in which to take an amendment into account in their Proposals the Centre may, if the amendment is substantial, extend the deadline for the submission of Proposals. |
| 3. Preparation of Proposals | 3.1 | The Proposal (see para. 1.2), as well as all related correspondence exchanged by the Consultants and the Centre, shall be written in the language (s) specified in the Data Sheet. |
| | 3.2 | In preparing their Proposal, Consultants are expected to examine in detail the documents comprising the RFP. Material deficiencies in providing the information requested |

may result in rejection of a Proposal.

3.3 While preparing the Technical Proposal, Consultants must give particular attention to the following:

(a) If a shortlisted Consultant considers that it may enhance its expertise for the assignment by associating with other Consultants in a joint venture or sub-consultancy, it may associate with either (a) non-shortlisted Consultant(s), or (b) shortlisted Consultants if so indicated in the Data Sheet. A shortlisted Consultant must first obtain the approval of the Centre if it wishes to enter into a joint venture with non-shortlisted or shortlisted Consultant(s). In case of association with non-shortlisted Consultant(s), the shortlisted Consultant shall act as association leader. In case of a joint venture, all partners shall be jointly and severally liable and shall indicate who will act as the leader of the joint venture.

(b) The estimated number of Professional staff-months or the budget for executing the assignment shall be shown in the Data Sheet, but not both. However, the Proposal shall be based on the number of Professional staff-months or budget estimated by the Consultants.

For fixed-budget-based assignments, the available budget is given in the Data Sheet, and the Financial Proposal shall not exceed this budget, while the estimated number of Professional staff-months shall not be disclosed.

(c) Alternative professional staff shall not be proposed, and only one curriculum vitae (CV) may be submitted for each position.

Language

(d) Documents to be issued by the Consultants as part of this assignment must be in the language(s) specified in the Reference Paragraph 3.1 of the Data Sheet. If Reference Paragraph 3.1 indicates two languages, the language in which the proposal of the successful Consultant will be submitted shall govern for the purpose of interpretation. It is desirable that the firm's Personnel have a working knowledge of the Centre's national language.

Technical

3.4 Consultants are required to submit a Simplified Technical

**Proposal
Format and
Content**

Proposal (STP). Submission of the wrong type of Technical Proposal will result in the Proposal being deemed non-responsive. The Technical Proposal shall provide the information indicated in the following paragraphs from (a) to (f) using the attached Standard Forms (Section 3). Paragraph (b) (ii) indicates the recommended number of pages for the description of the approach, methodology and work plan of the STP. A page is considered to be one printed side of A4 or letter size paper.

- (a) (i) For the STP all comments and suggestions, if any, should be incorporated into the description of the approach and methodology (refer to following subparagraph 3.4 (b) (ii)).
- (b) (i) For the FTP, and STP: a description of the approach, methodology and work plan for performing the assignment covering the following subjects: technical approach and methodology, work plan, and organization and staffing schedule. Guidance on the content of this section of the Technical Proposals is provided under Form TECH-4 of Section 3. The work plan should be consistent with the Work Schedule (Form TECH-8 of Section 3) which will show in the form of a bar chart the timing proposed for each activity.
 - (ii) For the STP only: the description of the approach, methodology and work plan should normally consist of 10 pages, including charts, diagrams, and comments and suggestions, if any, on Terms of Reference and counterpart staff and facilities.
- (c) The list of the proposed Professional staff team by area of expertise, the position that would be assigned to each staff team member, and their tasks (Form TECH-5 of Section 3).
- (d) Estimates of the staff input (staff-months of foreign and local professionals) needed to carry out the assignment (Form TECH-7 of Section 3). The staff-months input should be indicated separately for home office and field activities, and for foreign and local Professional staff.
- (e) CVs of the Professional staff signed by the staff themselves or by the authorized representative of the

Professional Staff (Form TECH-6 of Section 3).

- (f) For the FTP only: a detailed description of the proposed methodology and staffing for training, if the Data Sheet specifies training as a specific component of the assignment.

**Financial
Proposals**

- 3.5 The Technical Proposal shall not include any financial information. A Technical Proposal containing financial information may be declared non responsive.
- 3.6 The Financial Proposal shall be prepared using the attached Standard Forms (Section 4). It shall list all costs associated with the assignment, including (a) remuneration for staff (foreign and local, in the field and at the Consultants' home office), and (b) reimbursable expenses indicated in the Data Sheet. If appropriate, these costs should be broken down by activity and, if appropriate, into foreign and local expenditures. All activities and items described in the Technical Proposal must be priced separately; activities and items described in the Technical Proposal but not priced, shall be assumed to be included in the prices of other activities or items.

Taxes

- 3.7 The Consultant may be subject to local taxes (such as: value added or sales tax, social charges or income taxes on non resident Foreign Personnel, duties, fees, levies) on amounts payable by the Centre under the Contract. The Centre will state in the Data Sheet if the Consultant is subject to payment of any local taxes. Any such amounts shall not be included in the Financial Proposal as they will not be evaluated, but they will be discussed at contract negotiations, and applicable amounts will be included in the Contract.
- 3.8 Consultants may express the price of their services in a maximum of three freely convertible currencies, singly or in combination. The Centre may require Consultants to state the portion of their price representing local cost in the national currency if so indicated in the Data Sheet.
- 3.9 Commissions and gratuities, if any, paid or to be paid by Consultants and related to the assignment will be listed in the Financial Proposal Form FIN-1 of Section 4.

**4. Submission,
Receipt, and
Opening of**

- 4.1 The original proposal (Technical Proposal and, if required, Financial Proposal; see paragraph 1.2) shall contain no interlineations or overwriting, except as necessary to correct

Proposals

errors made by the Consultants themselves. The person who signed the proposal must initial such corrections. Submission letters for both Technical and Financial Proposals should respectively be in the format of TECH-1 of Section 3, and FIN-1 of Section 4.

- 4.2 An authorized representative of the Consultants shall initial all pages of the original Technical and Financial Proposals. The authorization shall be in the form of a written power of attorney accompanying the Proposal or in any other form demonstrating that the representative has been duly authorized to sign. The signed Technical and Financial Proposals shall be marked "ORIGINAL".
- 4.3 The Technical Proposal shall be marked "ORIGINAL" or "COPY" as appropriate. The Technical Proposals shall be sent to the addresses referred to in para. 4.5 and in the number of copies indicated in the Data Sheet. All required copies of the Technical Proposal are to be made from the original. If there are discrepancies between the original and the copies of the Technical Proposal, the original governs.
- 4.4 The original and all copies of the Technical AND Financial Proposal shall be placed in a sealed envelope clearly marked "TECHNICAL PROPOSAL" Similarly, the original Financial Proposal (if required under the selection method indicated in the Data Sheet) shall be placed in a sealed envelope clearly marked "FINANCIAL PROPOSAL" followed by the **Contract # 30/2015/ DFID /CCCCC** number and the name of the assignment, and with a warning "**DO NOT OPEN WITH THE TECHNICAL PROPOSAL.**" The envelopes containing the Technical and Financial Proposals shall be placed into an outer envelope and sealed. This outer envelope shall bear the submission address, reference number and title of the Loan, and be clearly marked "**DO NOT OPEN, EXCEPT IN PRESENCE OF THE OFFICIAL APPOINTED, BEFORE the date specified in the Instruction to Consultants.**" The Centre shall not be responsible for misplacement, losing or premature opening if the outer envelope is not sealed and/or marked as stipulated. This circumstance may be case for Proposal rejection. If the Financial Proposal is not submitted in a separate sealed envelope duly marked as indicated above, this will constitute grounds for declaring the Proposal non-responsive.
- 4.5 The Proposals must be sent to the address/addresses indicated in the Data Sheet and received by the Centre no later than the

time and the date indicated in the Data Sheet, or any extension to this date in accordance with paragraph 2.2. Any proposal received by the Centre after the deadline for submission shall be returned unopened.

- 4.6 The Centre shall open the Technical Proposal immediately after the deadline for their submission. The envelopes with the Financial Proposal shall remain sealed and securely stored.

**5. Proposal
Evaluation**

- 5.1 From the time the Proposals are opened to the time the Contract is awarded, the Consultants should not contact the Centre on any matter related to its Technical and/or Financial Proposal. Any effort by Consultants to influence the Centre in the examination, evaluation, ranking of Proposals, and recommendation for award of Contract may result in the rejection of the Consultants' Proposal.

Evaluators of Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded.

**Evaluation of
Technical
Proposals**

- 5.2 The evaluation committee shall evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference, applying the evaluation criteria, sub-criteria, and point system specified in the Data Sheet. Each responsive Proposal will be given a technical score (St). A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP, and particularly the Terms of Reference or if it fails to achieve the minimum technical score indicated in the Data Sheet.

**Public Opening
and Evaluation
of Financial
Proposals
(Least Cost
Selection LCS)**

- 5.3 After the technical evaluation is completed the Centre shall inform the Consultants who have submitted proposals the technical scores obtained by their Technical Proposals, and shall notify those Consultants whose Proposals did not meet the minimum qualifying mark or were considered non responsive to the RFP and TOR, that their Financial Proposals will be returned unopened after completing the selection process. The Centre shall simultaneously notify in writing Consultants that have secured the minimum qualifying mark, the date, time and location for opening the Financial Proposals. The opening date should allow Consultants sufficient time to make arrangements for attending the opening. Consultants' attendance at the opening of Financial Proposals is optional.
- 5.4 Financial Proposals shall be opened publicly in the presence of the Consultants' representatives who choose to attend. The names of the Consultants, and the technical scores of the Consultants shall be read aloud. The Financial Proposal of the Consultants who met the minimum qualifying mark will then be inspected to confirm that they have remained sealed and unopened. These Financial Proposals shall be then opened, and the total prices read aloud and recorded. Copy of the record shall be sent to all Consultants and the Bank.
- 5.5 The Evaluation Committee will correct any computational errors. When correcting computational errors, in case of discrepancy between a partial amount and the total amount, or between word and figures the formers will prevail. In addition to the above corrections, as indicated under paragraph 3.6, activities and items described in the Technical Proposal but not priced, shall be assumed to be included in the prices of other activities or items. In case an activity or line item is quantified in the Financial Proposal differently from the Technical Proposal, (i) if the Time-Based form of contract has been included in the RFP, the Evaluation Committee shall correct the quantification indicated in the Financial Proposal so as to make it consistent with that indicated in the Technical Proposal, apply the relevant unit price included in the Financial Proposal to the corrected quantity and correct the total Proposal cost, (ii) if the Lump-Sum form of contract has been included in the RFP, no corrections are applied to the Financial Proposal in this respect. Prices shall be converted to a single currency using the selling rates of exchange, source and date indicated in the Data Sheet.

	5.6	In the case of Least-Cost Selection (LCS), the Client will select the Consultant with the lowest evaluated total price among those consultants that achieved the minimum technical score, and invite such Consultant to negotiate the Contract.
6. Negotiations	6.1	Negotiations will be held at the date and address indicated in the Data Sheet. The invited Consultant will, as a pre-requisite for attendance at the negotiations, confirm availability of all Professional staff. Failure in satisfying such requirements may result in the Centre proceeding to negotiate with the next-ranked Consultant. Representatives conducting negotiations on behalf of the Consultant must have written authority to negotiate and conclude a Contract.
Technical negotiations	6.2	Negotiations will include a discussion of the Technical Proposal, the proposed technical approach and methodology, work plan, and organization and staffing, and any suggestions made by the Consultant to improve the Terms of Reference. The Centre and the Consultants will finalize the Terms of Reference, staffing schedule, work schedule, logistics, and reporting. These documents will then be incorporated in the Contract as "Description of Services". Special attention will be paid to clearly defining the inputs and facilities required from the Centre to ensure satisfactory implementation of the assignment. The Centre shall prepare minutes of negotiations which will be signed by the Centre and the Consultant.
Financial negotiations	6.3	If applicable, it is the responsibility of the Consultant, before starting financial negotiations, to contact the local tax authorities to determine the local tax amount to be paid by the Consultant under the Contract. The financial negotiations will include a clarification (if any) of the firm's tax liability in the Centre's country, and the manner in which it will be reflected in the Contract; and will reflect the agreed technical modifications in the cost of the services. In the cases of QCBS, Fixed-Budget Selection, and the Least-Cost Selection methods, unless there are exceptional reasons, the financial negotiations will involve neither the remuneration rates for staff nor other proposed unit rates. For other methods, Consultants will provide the Centre with the information on remuneration rates described in the Appendix attached to Section 4 - Financial Proposal - Standard Forms of this RFP.
Availability of Professional staff/experts	6.4	Having selected the Consultant on the basis of, among other things, an evaluation of proposed Professional staff, the Centre expects to negotiate a Contract on the basis of the Professional staff named in the Proposal. Before contract

negotiations, the Centre will require assurances that the Professional staff will be actually available. The Centre will not consider substitutions during contract negotiations unless both parties agree that undue delay in the selection process makes such substitution unavoidable or for reasons such as death or medical incapacity. If this is not the case and if it is established that Professional staff were offered in the proposal without confirming their availability, the Consultant may be disqualified. Any proposed substitute shall have equivalent or better qualifications and experience than the original candidate and be submitted by the Consultant within the period of time specified in the letter of invitation to negotiate.

- | | | |
|---------------------------------------|-----|--|
| Conclusion of the negotiations | 6.5 | Negotiations will conclude with a review of the draft Contract. To complete negotiations the Centre and the Consultant will initial the agreed Contract. If negotiations fail, the Centre will invite the Consultant whose Proposal received the second highest score to negotiate a Contract. |
| 7. Award of Contract | 7.1 | After completing negotiations the Centre shall award the Contract to the selected Consultant, and promptly notify all Consultants who have submitted proposals. After Contract signature, the Centre shall return the unopened Financial Proposals to the unsuccessful Consultants. |
| | 7.2 | The Consultant is expected to commence the assignment on the date and at the location specified in the Data Sheet. |
| 8. Confidentiality | 8.1 | Information relating to evaluation of Proposals and recommendations concerning awards shall not be disclosed to the Consultants who submitted the Proposals or to other persons not officially concerned with the process, until the publication of the award of Contract. The undue use by any Consultant of confidential information related to the process may result in the rejection of its Proposal. |

Instructions to Consultants
Data Sheet

Paragraph Reference	
1.1	Name of the Client: Caribbean Community Climate Change Center (CCCCC) Method of selection: <u>Least-Cost Selection (LCS)</u>
1.2	Consultant is required to submit a Technical AND Financial Proposal Name of the assignment is: “Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project (DFID support).”
1.3	A pre-proposal conference will be held: No For inquiries the Centre’s representative is: Allison Williams, Procurement Officer <i>Caribbean Community Climate Change Center (CCCCC)</i> <i>2nd Floor, L. Nicholas Building, North Ring Road,</i> <i>Belmopan City, Belize</i> <i>Email: procurement@caribbeanclimate.bz</i> <i>Telephone: (501) 822-1104/1109 Facsimile: (501) 822-1385</i>
1.4	The Centre will provide the following inputs and facilities: Nil
1.5	The Centre is not bound to accept any proposal, and reserves the right to annul the selection process at any time prior to Contract award, without thereby incurring any liability to the consultant
1.6	Conflict of Interest -The Centre’s policy requires that Consultants provide professional, objective, and impartial advice and at all times hold the Centre’s interests paramount, strictly avoid conflicts with other assignments or their own corporate interests and act without any consideration for future work.
1.6.1 (iii)	Conflicting relationship - A Consultant (including its Personnel and Sub-Consultants) that has a business or family relationship with a member of the Centre’s staff who is directly or indirectly involved in any part of (i) the preparation of the Terms of Reference of the assignment, (ii) the selection process for such assignment, or (iii) supervision of the Contract, may not be awarded a Contract, unless the conflict stemming from this relationship has been resolved in a manner acceptable to the Centre throughout the

	selection process and the execution of the Contract.
1.12	Proposals must remain valid 90 days after the submission date, i.e. until: August 27th 2016.
2.1	<p>Clarifications may be requested not later than 10 days before the submission date at the following address:</p> <p><i>Email: procurement@caribbeanclimate.bz</i> <i>Caribbean Community Climate Change Center (CCCCC)</i> <i>2nd Floor, L. Nicholas Building, North Ring Road,</i> <i>Belmopan City, Belize</i> Telephone: (501) 822-1104/1109 Facsimile: (501) 822-1385</p>
3.1	Proposals shall be submitted in the following language: English
3.3 (b)	The estimated number months required for the assignment: 3 Month
3.4	<p>The format of the Technical Proposal to be submitted is: Full Technical Proposal (FTP)</p> <p><u>For FULL TECHNICAL PROPOSAL (FTP):</u></p> <ul style="list-style-type: none"> (1) Power of Attorney to sign the Proposal (2) TECH-1 (3) TECH-2 (4) TECH-3 (5) TECH-4 (6) TECH-5 (7) TECH-6 (8) TECH-7 (9) TECH-8 <p>Methodology proposed must be based on a clear rationale for the approach.</p>
3.6	<p>The Financial Proposal shall be prepared using the Standard Forms (Section 4).</p> <ul style="list-style-type: none"> (1) FIN-1 (2) FIN-2 (3) FIN-3 (4) FIN-5 <p>In order to demonstrate competitive fee rates and expenses in relation to the market and</p>

	<p>to demonstrate Value for Money all costs associated with the assignment, including fees and expenses where appropriate shall be broken down by activity. All activities and items described in the Technical Proposal must be priced separately; activities and items described in the Technical Proposal but not priced, shall be assumed to be included in the prices of other activities or items.</p> <p>Reimbursable expenses. No</p>
3.7	<p>Amounts payable by the Centre to the Consultant under the contract to be subject to local taxation: No (a) The Consultant is responsible for paying his/her own taxes.</p>
3.8	<p>Consultant to state all cost in US currency: Yes</p>
4.0	<p>Electronic submission will be permitted. Technical Proposal and Financial Proposal submitted electronically must be submitted as two separate PDF files.</p> <p>Proposals submitted electronically must be submitted to the address below <u>on or before 2:00pm (GMT -6), 27th May 2016:</u></p> <p><i>Email: procurement@caribbeanclimate.bz Caribbean Community Climate Change Center (CCCCC) 2nd Floor, L. Nicholas Building, North Ring Road, Belmopan City, Belize</i></p>
4.3	<p>Consultant who chose to submit their proposals via conventional mail should:</p> <p>Submit one (1) original and two (2) copies of both the Technical AND Financial Proposal.</p> <p>The original and copies of the Technical AND Financial Proposal shall be placed in separate envelopes, sealed and be clearly marked “TECHNICAL PROPOSAL” similarly, the Financial Proposal shall be placed in a sealed envelope clearly marked “FINANCIAL PROPOSAL” and bear the warning “DO NOT OPEN WITH THE TECHNICAL PROPOSAL.” The envelopes containing the Technical and Financial Proposals shall be placed into an outer envelope and sealed. This outer envelope shall bear the submission address, contract number 30/2015/ DFID /CCCCC and title of the assignment Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project (DFID support and be clearly marked “DO NOT OPEN, EXCEPT IN PRESENCE OF THE OFFICIAL APPOINTED, BEFORE <u>2:00pm (GMT-6), 27th May 2016.</u></p>
4.5	<p>For consultant who chose to submit their proposals via conventional mail the proposal submission address is:</p>

	Executive Director Caribbean Community Climate Change Center (CCCCC) 2nd. Floor, L. Nicholas Building, North Ring Road, Belmopan City, Belize		
5.2	Evaluation of Technical Proposal: Criteria, subcriteria, and point system for the evaluation of the Technical Proposals and Financial Proposal are:		
	#	Description	Weighting
	Main (Technical)criteria (60 marks total)		
	A	Quality of suggested consultant/consultants team (including back up support/quality assurance where necessary) and availability of named individuals including national experts. The provider will need to demonstrate that it has sufficiently skilled staff to undertake all aspects of the assignment.	15
	B	Adherence to ToR's specifications and related requirements: a clear understanding of required deliverables.	10
	C	Robust, relevant and appropriate proposed approach and methodology including new ideas and use of mixed methods for review and evaluation given potential constraints (e.g. aggregation across focus areas, project level success etc.). Awareness of benefits and limitations of different techniques	15
	D	Displayed capacity for similar work on data collection, evidence-gathering, and/or M&E in the climate change and environment sector as well as national/regional fund mechanisms. Experience in working in the Caribbean region will be an advantage.	15
	E	Writing skills and language proficiency	5
	Commercial criteria (40 marks total)		
	F	Competitive fee rates and expenses in relation to the market and demonstration of Value for Money.	25
	G	Clear and effective financial plan to deliver output based deliverables and key performance measures	5
	H	Financial approach and methodology for ensuring the requirements will be delivered on time and in line with agreed costs, highlighting any financial risks.	10
		Total	100
	<u>Required Minimum Technical Score 50 points</u>		

5.6	Evaluation of Financial Proposal In the case of Least-Cost Selection (LCS), the Client will select the Consultant with the lowest evaluated total price from among those consultants that achieved the minimum technical score, and invite such Consultant to negotiate the Contract
5.7	The formula for determining the financial scores is the following: N/A Weights will <u>not</u> be used in the evaluation of proposals, as the Least Cost Selection method does not require this.
6.1	Expected date and address for contract negotiations: To be determined after confirmation of availability of professional staff
7.2	Expected date for commencement of consulting services: June 2016

SECTION 3. Technical Proposal - Standard Forms

Refer to Reference Paragraph 3.4 of the Data Sheet for format of Technical Proposal to be submitted, and paragraph 3.4 of Section 2 of the RFP for Standard Forms required and number of pages recommended.

Checklist of Required Forms

Required for FTP or STP (v)		FORM	DESCRIPTION	Page Limit
FTP	STP			
√	√	TECH-1	Technical Proposal Submission Form.	✓
“√” If applicable		TECH-1 Attachment	If the Proposal is submitted by a joint venture, attach a letter of intent or a copy of an existing agreement.	✓
“√” If applicable		Power of Attorney	No pre-set format/form. In the case of a Joint Venture, several are required: a power of attorney for the authorized representative of each JV member, and a power of attorney for the representative of the lead member to represent all JV members	✓
√		TECH-2	Consultant’s Organization and Experience.	✓
√		TECH-2A	A. Consultant’s Organization	✓
√		TECH-2B	B. Consultant’s Experience	✓
√		TECH-3	Comments or Suggestions on the Terms of Reference and on Counterpart Staff and Facilities to be provided by the Centre.	✓
√		TECH-3A	A. On the Terms of Reference	✓
√		TECH-3B	B. On the Counterpart Staff and Facilities	✓
√	√	TECH-4	Description of the Approach, Methodology, and Work Plan for Performing the Assignment	✓
√	√	TECH-5	Team Composition and Task Assignment	✓
√	√	TECH-6	Team Composition, Key Experts Inputs, and attached Curriculum Vitae (CV)	✓
√		TECH-7	Staffing Schedule	✓
√		TECH - 8	Work schedule	✓

All pages of the original Technical and Financial Proposal shall be initialled by the same authorized representative of the Consultant who signs the Proposal.

Form TECH-1 Technical Proposal Submission Form

*Belize, Central American
28th April 2016*

To: *Caribbean Community Climate Change Center (CCCCC)
2nd Floor, L. Nicholas Building, North Ring Road,
Belmopan City, Belize*

Dear Sirs:

We, the undersigned, offer to provide the consulting services for the **“Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project (DFID support).”** in accordance with your Request for Proposal dated **28th April 2016** and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal, and a Financial Proposal sealed under a separate envelope¹.

{If the Consultant is a joint venture, insert the following: We are submitting our Proposal a joint venture with: {Insert a list with full name and the legal address of each member, and indicate the lead member}. We have attached a copy {insert: “of our letter of intent to form a joint venture” or, if a JV is already formed, “of the JV agreement”} signed by every participating member, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture.

{OR

If the Consultant’s Proposal includes Sub-consultants, insert the following: We are submitting our Proposal with the following firms as Sub-consultants: {Insert a list with full name and address of each Sub-consultant.}

We hereby declare that:

- (a) All the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Centre.
- (b) Our Proposal shall be valid and remain binding upon us for the period of time specified in the Data Sheet, Clause 1.12.
- (c) We have no conflict of interest in accordance with ITC 1.6 and 1.61 (i-iii).
- (d) We meet the eligibility requirements as stated in ITC 6, and we confirm our understanding of our obligation to abide by the Centres’ policy in regard to corrupt and fraudulent practices as per ITC 1.7.

- (e) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

We undertake, if our Proposal is accepted and the Contract is signed, to initiate the Services related to the assignment no later than the date indicated in Clause 7.2 of the Data Sheet.

We understand that the Centre is not bound to accept any Proposal that the Centre receives.

We remain,

Yours sincerely,

Authorized Signature {In full and initials}: _____

Name and Title of Signatory: _____

Name of Consultant (company's name or JV's name):

In the capacity of: _____

Address: _____

Contact information (phone and e-mail): _____

{For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached}

-
- 1 [In case Paragraph Reference 1.2 of the Data Sheet requires to submit a Technical Proposal only, replace this sentence with: "We are hereby submitting our Proposal, which includes this Technical Proposal only."]
2 [Delete in case no association is foreseen.]

Form TECH-2 Consultant's Organization and Experience

A - Consultant's Organization

[Provide here a brief (two pages) description of the background and organization of your firm/entity and each associate for this assignment.]

B - Consultant's Experience

[Using the format below, provide information on each assignment for which your firm, and each associate for this assignment, was legally contracted either individually as a corporate entity or as one of the major companies within an association, for carrying out consulting services similar to the ones requested under this assignment . Use 20 pages.]

Assignment name:	Approx. value of the contract (in current US\$ or Euro):
Country: Location within country:	Duration of assignment (months):
Name of Centre:	Total N° of staff-months of the assignment:
Address:	Approx. value of the services provided by your firm under the contract (in current US\$ or £):
Start date (month/year): Completion date (month/year):	N° of professional staff-months provided by associated Consultants:
Name of associated Consultants, if any:	Name of senior professional staff of your firm involved and functions performed (indicate most significant profiles such as Project Director/Coordinator, Team Leader):
Narrative description of Project:	
Description of actual services provided by your staff within the assignment:	

Firm's Name: _____

Form TECH-3 Comments and Suggestions on the Terms of Reference and on
Counterpart Staff and Facilities to be Provided by the Centre

A - On the Terms of Reference

[Present and justify here any modifications or improvement to the Terms of Reference you are proposing to improve performance in carrying out the assignment (such as deleting some activity you consider unnecessary, or adding another, or proposing a different phasing of the activities). Such suggestions should be concise and to the point, and incorporated in your Proposal.]

Form TECH-4 Description of Approach, Methodology and Work Plan for
Performing the Assignment

Form TECH-5 Team Composition and Task Assignments

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

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

1. Proposed Position *[only one candidate shall be nominated for each position]:* _____

2. Name of Firm *[Insert name of firm proposing the staff]:* _____

3. Name of Staff *[Insert full name]:* _____

4. Date of Birth: _____ **Nationality:** _____

5. Education *[Indicate college/university and other specialized education of staff member, giving names of institutions, degrees obtained, and dates of obtainment]:* _____

6. Membership of Professional Associations: _____

7. Other Training *[Indicate significant training since degrees under 5 - Education were obtained]:* _____

8. Countries of Work Experience: *[List countries where staff has worked in the last ten years]:* _____

9. Languages *[For each language indicate proficiency: good, fair, or poor in speaking, reading, and writing]:* _____

10. Employment Record *[Starting with present position, list in reverse order every employment held by staff member since graduation, giving for each employment (see format here below): dates of employment, name of employing organization, positions held.]:*

From [Year]: ____ To [Year]: _____

Employer: _____

Positions held: _____

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

13. Certification:

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

[Signature of staff member or authorized representative of the staff]



Date: _____
Day/Month/Year

Full name of authorized representative: _____

Form TECH-7 Staffing Schedule¹

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

- 1 For Professional Staff the input should be indicated individually; for Support Staff it should be indicated by category (e.g.: draftsmen, clerical staff, etc.).
- 2 Months are counted from the start of the assignment. For each staff indicate separately staff input for home and field work.
- 3 Field work means work carried out at a place other than the Consultant's home office.

 Full time input
 Part time input

Form TECH-8 Work Schedule

N°	Activity ¹	Months ²												
		1	2	3	4	5	6	7	8	9	10	11	12	n
1														
2														
3														
4														
5														
N														

- 1 Indicate all main activities of the assignment, including delivery of reports (e.g.: inception, interim, and final reports), and other benchmarks such as Centre approvals. For phased assignments indicate activities, delivery of reports, and benchmarks separately for each phase.
- 2 Duration of activities shall be indicated in the form of a bar chart.

SECTION 4. Financial Proposal - Standard Forms

Financial Proposal Standard Forms shall be used for the preparation of the Financial Proposal according to the instructions provided under para. 3.6 of Section 2. Such Forms are to be used whichever is the selection method indicated in para. 4 of the Letter of Invitation.

[The Appendix “Financial Negotiations - Breakdown of Remuneration Rates” is to be only used for financial negotiations when Quality-Based Selection, Selection Based on Qualifications, or Single-Source Selection method is adopted, according to the indications provided under para. 6.3 of Section 2.]

FIN-1 Financial Proposal Submission Form

FIN-2 Summary of Costs

FIN-3 Breakdown of Costs by Activity

FIN-4 Breakdown of Remuneration

FIN-5 Reimbursable expenses

Belize, Central American
28th April 2016

To: *Caribbean Community Climate Change Center (CCCCC)*
2nd Floor, L. Nicholas Building, North Ring Road,
Belmopan City, Belize

Dear Sirs:

We, the undersigned, offer to provide the consulting services for “**Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project (DFID support).**” in accordance with your Request for Proposal dated **28th April 2016** and our Technical Proposal. Our attached Financial Proposal is for the sum of _____
_____[Insert amount(s) in words and figures¹]. This amount is exclusive of the local taxes, which shall be identified during negotiations and shall be added to the above amount.

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal, i.e. before the date indicated in Paragraph Reference 1.12 of the Data Sheet.

Commissions and gratuities paid or to be paid by us to agents relating to this Proposal and Contract execution, if we are awarded the Contract, are listed below²:

Name and Address of Agents	Amount and Currency	Purpose of Commission or Gratuity
_____	_____	_____
_____	_____	_____
_____	_____	_____

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

We remain,

Yours sincerely,

Authorized Signature [*In full and initials*]: _____

Name and Title of Signatory: _____

Name of Firm: _____

Address: _____

1 Amounts must coincide with the ones indicated under Total Cost of Financial proposal in Form FIN-2.

2 If applicable, replace this paragraph with: “No commissions or gratuities have been or are to paid by us to agents relating to this Proposal and Contract execution.”

Form FIN-2 Summary of Costs

Item		
	[US Currency] ¹	[Pound Sterling (£)] ¹
Total Costs of Financial Proposal ²		

- 1 Indicate between brackets the name of the foreign currency. Maximum of three currencies; use as many columns as needed, and delete the others.
- 2 Indicate the total costs, net of local taxes, to be paid by the Centre in US Currency. Such total costs must coincide with the sum of the relevant Subtotals indicated in all Forms FIN-3 provided with the Proposal.

Form FIN-3 Breakdown of Costs by Activity¹

Group of Activities (Phase): ² <hr style="border: 0; border-top: 1px solid black; margin: 2px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 2px 0;"/>	Description: ³ <hr style="border: 0; border-top: 1px solid black; margin: 2px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 2px 0;"/>	
Cost component	Costs	
	<i>[US Currency]</i>	<i>[Pound Sterling (£)]</i>
Remuneration ⁵		
Expenses ⁵		
Subtotals		

- 1 Form FIN-3 shall be filled at least for the whole assignment. The Consultant shall fill a separate Form FIN-3 for each group of activities. Subtotals of all Forms FIN-3 provided must coincide with the Total Costs of Financial Proposal indicated in Form FIN-2.
- 2 Names of activities (phase) should be the same as, or correspond to the ones indicated in the second column of Form TECH-8.
- 3 Short description of the activities whose cost breakdown is provided in this Form.
- 4 Indicate between brackets the name of the foreign currency. Use the same columns and currencies of Form FIN-2.
- 5 For each currency, Remuneration and Expenses must respectively coincide with relevant Total Costs indicated in Forms FIN-4, and FIN-5.

FORM FIN-4 BREAKDOWN OF REMUNERATION¹

(This Form FIN-4 shall only be used when the Lump-Sum Form of Contract has been included in the RFP. Information to be provided in this Form shall be used to establish Value for Money and payments to the Consultant for possible additional services requested by the Centre)

Name ²	Position ³	Staff-month Rate ⁴
Foreign Staff		
		[Home] [Field]
Local Staff		
		[Home] [Field]

- 1 Form FIN-4 shall be filled in for the same Professional and Support Staff listed in Form TECH-7.
- 2 Professional Staff should be indicated individually; Support Staff should be indicated per category (e.g.: draftsmen, clerical staff).
- 3 Positions of the Professional Staff shall coincide with the ones indicated in Form TECH-5.
- 4 Indicate separately staff-month rate and currency for home and field work.

Form FIN-5 Breakdown of Expenses¹

(This Form FIN-5 shall only be used when the Lump-Sum Form of Contract has been included in the RFP. Information to be provided in this Form shall be used to establish Value for Money and payments to the Consultant for possible additional services requested by the Centre)

N°	Description ²	Unit	Unit Cost ³	Quantity	[US Currency] ⁴	[Pound Sterling (£)] ⁴
	Per diem allowances	Day				
	International flights ⁵	Trip				
	Miscellaneous travel expenses	Trip				
	Communication costs between [Insert place] and [Insert place]					
	Drafting, reproduction of reports					
	Equipment, instruments, materials, supplies, etc.					
Total Costs						

- 1 Form FIN-5 should be filled for each of the Forms FIN-3 provided, if needed.
- 2 Delete items that are not applicable or add other items according to Paragraph Reference 3.6 of the Data Sheet.
- 3 Indicate unit cost and currency.
- 4 Indicate between brackets the name of the foreign currency. Use the same columns and currencies of Form FIN-2. Cost = Unit Cost x Quantity.
- 5 Indicate route of each flight, and if the trip is one- or two-ways.

Sample Form

Consulting Firm:

Assignment:

Country:

Date:

Consultant's Representations Regarding Costs and Charges

We hereby confirm that:

- (a) the basic salaries indicated in the attached table are taken from the firm's payroll records and reflect the current salaries of the staff members listed which have not been raised other than within the normal annual salary increase policy as applied to all the firm's staff;
- (b) attached are true copies of the latest salary slips of the staff members listed;
- (c) the away from headquarters allowances indicated below are those that the Consultants have agreed to pay for this assignment to the staff members listed;
- (d) the factors listed in the attached table for social charges and overhead are based on the firm's average cost experiences for the latest three years as represented by the firm's financial statements; and
- (e) said factors for overhead and social charges do not include any bonuses or other means of profit-sharing.

[Name of Consulting Firm]

Signature of Authorized Representative

Date

Name: _____

Title: _____

Consultant's Representations Regarding Costs and Charges

(Expressed in *US Currency*)

Personnel		1	2	3	4	5	6	7	8
Name	Position	Basic Salary per Working Month/Day/Year	Social Charges ¹	Overhead ¹	Subtotal	Fee ²	Away from Headquarters Allowance	Proposed Fixed Rate per Working Month/Day/Hour	Proposed Fixed Rate per Working Month/Day/Hour ¹
Home Office									
Field									

1. Expressed as percentage of 1

2. Expressed as percentage of 4

SECTION 5: TERMS OF REFERENCE

Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project (DFID support)

1. Consultancy Overview

Purpose: The Caribbean Community Climate Change Centre (CCCCC) is seeking to contract a Service Provider (SP)/firm comprised of a team of skilled evaluation consultants to conduct a final performance evaluation (FPE) on the contribution of the Caribbean Regional Resilience Development Implementation Plan (IP) Project to development outcomes and impacts within the region. The FPE will, *inter alia*, identify key successes, lessons learned, effectiveness of IP as a delivery model, and help to inform future interventions under the Implementation Plan approved by Heads of Government for the Caribbean region. These terms of reference, therefore, set out the scope of work, requirements and reporting procedures for the SP that will carry out the FPE.

Budget for this consultancy: US\$200,000

Estimated Time line of consultancy: June 2016 – August 2016

Location of Evaluation: Caribbean Community member states with focus on Barbados, Belize, Grenada, Guyana, Jamaica, Saint Lucia and St. Vincent and the Grenadines.

2. Background

Global climate change is arguably the most serious challenge to the development aspirations of the Caribbean region. During the 20th century the Caribbean's mean temperature increased by approximately 0.6 degrees Celsius, mean sea level rose between 2 and 6 mm/yr during the period and rainfall variability has increased. It is estimated that 60% of the Caribbean population live within 1.5 kilometres of the coast, making them particularly vulnerable to the vagaries of rising sea levels and its attendant threats such as:

1. Salt water intrusion and a reduction and growing scarcity in freshwater resources,
2. Deteriorating coastal conditions through beach erosion and coral bleaching which adversely affect local resources and reduce their value as tourist destinations, and
3. Floods, storm surge, erosion and other coastal hazards, exacerbated by sea-level rise that threaten vital infrastructure, settlements and facilities that support the livelihood of island communities.

Other natural hazards have impacted the region and are expected to increase in intensity. On the basis of the vulnerabilities of the marine and coastal ecosystems, a change of 1.5°C is seen as the critical threshold. Climate change related events are already profoundly impacting the region's geophysical, biological and socio-economic systems, depleting national budgets, compromising livelihoods and exacerbating poverty. According to the United Nations framework Convention on Climate Change (UNFCCC) Fifth Assessment Report (2014) these natural hazards are expected to grow in intensity in the future.

Accordingly, the Caribbean Community Climate Change Centre, which has a mandate to coordinate the Caribbean Community (CARICOM) countries' responses to climate change and with assistance from the Commonwealth Secretariat, developed the *Regional Framework for Achieving Development Resilience to Climate Change*. With financial assistance from the Department for International Development (DFID) and the Climate Development Knowledge Network (CDKN), the Centre developed and had approved in March 2012 the Implementation Plan (IP) to actualize the Regional Framework document. The IP highlights the existing and significant resource and capacity challenges that hold back the region's sustainable development efforts and growth, and the need for a more cogent and coordinated approach to assist in resource mobilization and co-ordination of actions.

The United Kingdom (UK) is providing up to £4,950,308 from the International Climate Fund (ICF), between Oct 2011 and March 2016, to support a project of priority actions identified within the Caribbean Community (CARICOM) *Regional Framework for Achieving Development Resilient to Climate Change* Implementation Plan (IP)¹. This will strengthen the ability of the regional institution to support national-level adaptation as well as Caribbean participation in global negotiations. It will also help some of the most vulnerable communities to withstand the impacts of climate variability and change.

Critical to the success of this project is the collaboration with critical stakeholders including the Caribbean Development Bank (CDB), the CARIBSAVE Partnership, national governments, non-governmental organizations and community groups; as well as the linkages formed with other initiatives being implemented by the CCCCC, such as the development and roll out of the Caribbean Climate Online Risk and Adaptation Tool (CCORAL), preparing the Caribbean to be climate-finance ready through various CDB-supported initiatives, and the development and implementation of a monitoring, reporting and evaluation (MR&E) framework. CCCCC is also the focal point for the Regional track of the Strategic Programme for Climate Resilience for the Caribbean Programme².

¹Caribbean Regional Framework for Achieving Development Resilient to Climate Change 2009-2015: has five strategic elements which include: i) mainstreaming adaptation strategies into sustainable development agenda; ii) promoting implementation of specific adaptation measures to address key vulnerabilities; iii) reducing greenhouse gas emissions through fossil fuel reduction and conservation, and switching to cleaner energy and renewable energy sources; iv) actions to reduce vulnerability of natural and human systems and v) prudent management of standing forests

²The Pilot Program for Climate Resilience (PPCR) was the first program to become operational under the Strategic Climate Fund (SCF), one of two global Climate Investment Funds. The Caribbean PPCR is designed into a national track with pilots in six countries, and a regional track.

According to the logical framework for the project (see attachment 1), the goal is to build the resilience of the Caribbean's peoples to the threats posed by global climate variability and change, while simultaneously seeking to ensure value for money. This logical framework agreed for the project identifies its expected impact as being Caribbean states and the vulnerable poor are resilient to climate change. The long term measurable change expected, in part is, *(i) more countries are monitoring reduction of annual gross domestic product (GDP) losses due to extreme climate events/natural disasters, and (ii) an increased number of people are better able to cope with the effects of climate change through support from DFID funded programme."*

The logical framework identifies the outcome as increased climate adaptation measures for the vulnerable poor in the Caribbean. Two key behaviour changes anticipated from programme outputs are:

- The number of CARICOM states with risk profiling and risk management assessments conforming to the revised CARICOM guidelines increases, and
- The number of people better able to cope with the effects of climate change from DFID-Funded Programme increases.

Lastly, the logical framework identifies the following main outputs:

- a) Better resource mobilisation for national adaptation priorities,
- b) Endorsed collective Caribbean positions in international climate negotiating fora,
- c) Countries are integrating climate change adaptation and risk management into their national planning processes,
- d) Demonstration of adaptation projects in areas, such as, water resource management, critical buildings and agriculture,
- e) Improved fisheries and coral reef diversity through improved management, and
- f) Stronger regional monitoring, reporting, and verification and evidence-based systems developed.

From the above outputs, the following results are expected to be realized at the ending of the project:

Regionally

- The CDB has been accredited to the Adaptation Fund (AF) and/or the Green Climate Fund (GCF) and has prepared at least 1 proposal for submission to one of the Funds for funding.
- Declaration or position statements issued 2 – 3 months before the Conference of Parties (CoP) meetings.
- Social media messages, monthly periodicals, and at least 12 audio visuals used to disseminate regional climate change impacts and identify measures being adopted.

- At least 5 countries are utilizing the monitoring, reporting and verification system (MRV) for evaluation of progress in the IP delivery and effectiveness.

Nationally

- 7 countries are implementing climate finance readiness plans
- 7 countries incorporate CC adaptation into their development planning and resource allocation
- 9 CARICOM states are applying the CCORAL Risk Screening tool for decision making activities (including legislation, national planning, strategy/policy/programmes/projects and budgeting).
- 7 pipeline investments in critical sectors undertaking climate vulnerability assessments for adaptation measures.

Locally, in partnership with the private sector

- Fish biomass increased by 30% or more inside the sanctuary and 20% outside and adjacent to the sanctuary boundaries in 15 fish sanctuaries..
- 45% of local population are benefitting from new income-generating activities associated with fisheries and marine tourism in 10 targeted communities.
- 90% of fish sanctuaries have effective monitoring programmes in the Commonwealth of Dominica, Grenada, Jamaica, St. Lucia and St. Vincent and the Grenadines.
- A minimum of US\$240,000 is raised from medium, small and micro-enterprises (MSME) fund-raising programme.
- 100% of managers in targeted fish sanctuaries are trained in the Commonwealth of Dominica, Grenada, Jamaica, St. Lucia and St. Vincent and the Grenadines and 2 countries assessed positively for implemented.
- At least 3 adaptation projects that meet rate of return criteria are 100% completed

These outputs are consistent with the five (5) strategic priorities identified in the Regional Framework and its accompanying Implementation Plan (IP).

The project agreement was signed in December 2011 and implementation began in January 2012, with a completion date of March 31, 2016. The project is now required to undergo a FPE to determine the impact of the project and whether it has met its expected goal. This can assist in informing future intervention that the DFID and other like-minded partners may wish to pursue in the Caribbean region.

3. The Purpose and Objectives of the Final Project Evaluation

The purpose of the FPE of the DFID IP project is to assess the achievements towards effectiveness (outputs to outcomes), its contribution to impact, and to understand the pathways to impact through testing the assumptions in the theory of change (*refer Annex I*) that underpins this project. The evaluation, in examining the logical

framework and other documents, and in consultation with project proponents, must also identify unexpected or unplanned issues that may have hindered or facilitated the success of the project. Additionally, the evaluation is expected to outline the lessons learned, which is aimed at capturing key lessons to assess what worked best during project implementation. The FPE will inform possible future interventions and assistance to elaborate the IP, and the follow-up DFID project to expand current fisheries management and coastal protection in the Eastern Caribbean. .

The FPE has two (2) primary objectives:

- 1) To examine, as far as possible, the performance of individual interventions under the Project, and
- 2) To assess the difference the Project has made as a whole to the vulnerable poor, including unintended consequences.

This will involve the evaluation team assessing project activities, reach and the effects of interventions on end-users, and:

- the overall relevance of the project and governance model, in the Caribbean context, in building capacity and influencing policy;
- the effectiveness of the project, including in stimulating greater donor coordination and mobilising resources as well as complementing wider climate resilient activities in line with the Region's IP; and
- its potential long-term sustainability and the replicability of some of the activities in other future interventions/programmes. A further £4.5m of DFID funds is earmarked to support coastal defences and asset protection with the private sector specifically. It expands on the current fisheries management adaptation programme component in the Eastern Caribbean participating countries. The FPE should specifically identify any critical gaps and key lessons to guide this second phase and achieve the results expected;
- its impacts on women and girls who are often disproportionately affected by the impacts associated with climate variability and change. Furthermore, gender inequality remains a key obstacle to poverty reduction. Consequently, it is important that the approaches, methodologies, data and outputs are designed to capture gender impacts, provide understanding about the roles of women and girls in programmes and capture lessons learned about how to improve the delivery and impact of programmes for women and girls.

4. Final Project Evaluation Scope and Criteria

The SP is expected to work during the period March 2016 – May 2016. The consultancy will commence in Belize given that this is the location of the CCCCC, the Executing Agency that manages the overall project implementation. In addition to Belize, field visits will be paid to Barbados to meet with the funding agency and implementing partners, and in Jamaica, Grenada, Saint Lucia, and St. Vincent and the Grenadines, to

meet with downstream partners of the project and direct beneficiary community groups, as well as national entities where project implementation occurred. The SP is required to develop a robust and suitable sampling strategy for intended beneficiaries and key stakeholder groups. The SP is also expected to conduct some telephone interviews with stakeholders from other Caribbean Community states as relevant to certain regional goods and activities of the IP. We require the SP to use robust and appropriate methods of data collection and analysis that are relevant to the evaluation questions.

The SP will be requested to provide evidence of the degree to which the operation of the project has been effective and efficient in achieving its objectives through carrying out a final project evaluation using the logical framework for this project as a guide. Evaluation criteria related to relevance, effectiveness, efficiency, impact and sustainability are provided in Table 1 below and draft questions have been developed. Further, the SP will be expected to examine the longer-term impacts (first five year interval) of the Project and implications for future interventions.

The FPE is also expected to include the documentation of lessons learned, findings and recommendations in the following areas:

- Opportunities and challenges brought out by the partners who assisted with project implementation, and
- Potential and effective contribution by beneficiary entities to their own development and to the development of other stakeholders in the field of interest.

Table 1: Final Project Evaluation for the DFID Sponsored IP Project

OECD-DAC Category	Type of questions to consider
Relevance	<ul style="list-style-type: none"> • To what extent were the objectives of the Project valid? • Was the project supporting activities/projects/programmes consistent with the overall objectives of the IP? • Were the activities of the project consistent with the intended impacts and effects of the IP? • What contribution has the project made or is expected to make in reducing vulnerability of local communities in CARICOM States, to the effects of climate variability and change?
Effectiveness	<ul style="list-style-type: none"> • To what extent have outcomes been delivered/likely to be achieved? • What were(are) the major factors influencing the achievement or non-achievement of outcomes? • To what extent did the project delivered its intended outputs to time and to cost? • Did the interventions work for key target groups? • How have benefits been distributed amongst different groups (poor/women/men/rural/urban)?

Efficiency	<ul style="list-style-type: none"> • Were activities cost-efficient? What were the major cost drivers for the different types of activities under the project? • Were projects outputs delivered on time? • Were project activities implemented in the most efficient way compared to alternatives?
Impact	<ul style="list-style-type: none"> • What change (positive or negative, direct/indirect, intended/non intended), if any, has happened as a result of the DFID IP project? • What has been the impact (on local, social, economic, environmental, and other development indicators) of the project? • What real quantifiable difference has the intervention made to beneficiaries in the above-mentioned areas?
Sustainability	<ul style="list-style-type: none"> • To what extent will the benefits, outcomes and impacts of the project continue after donor funding ceases? Is user uptake maintained? • Did Government or private sector take on the interventions? • What were the major factors which influence(d) the likely achievement or non-achievement of sustainability of the project? • How has the governance structure of the project contributed or influenced its achievements/non-achievements?

The SP will be expected to review and refine these questions if needed during the inception phase based on the theory of change (Annex 1), evidence gaps and what it is possible in principle and in practice to evaluation in the operational context

The primary recipient of the required services will be the DFID Caribbean programme management team who are responsible for delivering and managing the climate and environment programme portfolio. Deliverables will be used by the team to inform decision-making and the development of appropriate policies and programmes.

The CCCCC, international partners including partner governments and civil society organisations will be the secondary beneficiaries of the knowledge and lessons learned by this contract. Again, it is envisaged that the deliverables will be used to inform decision-making and the development of appropriate policies and programmes.

The SP will be expected to communicate evaluation findings in appropriate language and formats that reflect the levels of knowledge of these audiences and intended use of the evaluation findings.

5. Methodological Approach

The FPE is expected to utilize a range of appropriate and robust quantitative and qualitative evaluation methods, including participatory methods, to test and explore causal relationships; understand performance and assess the difference that this project has made to the lives of vulnerable poor people.

Specifically, these will include:

- 1) Review of existing documentation including but not limited to:
 - Project documents including on <http://devtracker.dfid.gov.uk/projects/GB-1-202595/documents/> and <http://devtracker.dfid.gov.uk/projects/GB-1-203272/>
 - Semi-annual progress reports and work plans of various implementers
 - Audited financial statements
 - Mission reports
 - Mid- term review
 - Monitoring framework
 - Public communication and outreach materials
- 2) Interviews in the field with stakeholders including, but not limited to:
 - Project team at the Executing Agency
 - Project implementation team
 - Development partners/donors
 - Project stakeholders/beneficiaries
- 3) Additional document/information:
 - The *CARICOM Regional Strategy for Achieving Development Resilient to Climate Change* (2009 – 2015) and its accompanying Implementation Plan (2011 – 2021)

Use of experimental or quasi-experimental methods is not envisaged; however there may be scope to deploy counterfactuals at the activity level to answer specific questions comparing the application of technologies or interventions in different contexts. It is particularly important that views and experience from intended beneficiaries of the project are sought through engagement with national and community groups in the beneficiary countries. The project's logical framework (*Annex 2*) will provide the indicators expected to have been achieved by the end of the Project. The SP should propose robust and appropriate sampling techniques to ensure a range of intended beneficiaries are consulted.

The SP should, at a minimum, organize consultations with the following implementing agencies/organizations:

- Caribbean Development Bank (CDB),
- The CARIBSAVE Partnership (in Barbados, Jamaica, Grenada, Saint Lucia and St. Vincent and the Grenadines),
- Ya'axche Conservation Trust (YCT) of Belize,
- Acclimatise,
- National authorities in Jamaica, Grenada, Belize, Saint Lucia, and St. Vincent and the Grenadines, and
- Other national and community stakeholders as determined relevant in discussion with the CCCCC.

Target Groups

- The donors including DFID, European Commission, AusAid, KfW, Climate and Development Knowledge Network (CDKN), IDB, USAID, IICA, and UNDP,
- Project staff at both the Executing and Implementing Agencies,
- National Stakeholders, and
- Direct beneficiaries of project activities in each country.

6. Reporting and Outputs/deliverables

The SP will report to the Head, Programme Development and Management Unit, CCCCC who will forward onto DFID and the IP coordinating committee.

In completing this FPE the SP will be expected to produce:

- a. **An Inception Report** 2 weeks after the signing of the contract. This report will include a detailed work plan for the execution of the assignment, methodology to be followed and the timeline for accomplishment of the tasks of the assignment.
- b. **A draft final evaluation report** addressing the scope of work above and that should:
 - be concise and follow the thematic areas identified in Table 1 above. This draft report will be shared with the CCCCC, DFID and key implementers to enable a review to be undertaken to identify any factual inaccuracies that may need to be addressed,
 - detail the number of people assessed as being better able to cope with the effects of climate variability and change through this project and disaggregate this by gender, and

- assess value for money or cost effectiveness in terms of risk reduced, losses avoided and comment on the appropriate monitoring and measuring systems for similar project interventions under the IP, and on tracking progress and assessing effectiveness (where possible).

This draft report, to be submitted as electronic copies, is expected by the ending of the second month of the assignment. The CCCCC will provide written consolidated comments on the draft at least two (2) weeks after receiving the draft report.

- c) A copy of the **final report**, is to be submitted electronically and 1 hardcopy version to the Centre at a maximum of 2 weeks after receiving the written comments from the CCCCC.

The report must be of high enough quality to be published on CCCCC and DFID's external websites. It must include a summary of major achievements and recommendations on the overall implementation as well as improvements to monitoring and log frame. Key content standards for the final report include:

- Executive Summary of 1-4 pages highlighting the main findings, conclusions, recommendations and any overall lessons. This should be accessible, engaging and written for a policy makers and programme managers
- Introduction - including the policy, institutional and development context and their influence on the impacts and outcomes;
- Methodological section detailing the evaluation design, methods and analysis. This section should also highlight any constraints and how these were overcome
- Findings, conclusions and lessons learned;
- Recommendations - for future IP support and for similar programmes (including coastal protection phase 2 programme);
- Dissemination plan
- Appendices - including TORs, timetable, work plan, people met, sources used, detailed analysis

DFID may send this report for external quality assurance or peer review and require the consultants to amend the report based on feedback received.

7. Qualifications and Experience

The SP is expected to field a team comprising at least two (2) persons with knowledge and experience in the following areas. , The SP should also be able to co-op other skills as it deems necessary for the assignment.

Essential

Lead consultant:

- At least 5 years' experience in reviewing and evaluating climate change development projects
- At least 5 years' expertise in collecting, analysing and synthesising qualitative and quantitative evaluative evidence
- At least a Master's of Science Degree in Environmental Science or Engineering, Climate Change, or related area
- Using reviews and evaluations as a tool for lesson learning
- Must be able to travel within the Caribbean, and
- Excellent written and spoken English communication skills.

Experience within the team:

- Evaluation and review of development interventions using quantitative and qualitative methods
- Understanding of the climate change-social and economic development linkages as well as risk management;
- Climate resilience approaches and climate action modalities
- Caribbean or SIDS experience and understanding of political economy issues in the region;
- Implementation of multi-country, multi-sectoral projects and public-private partnerships
- Institutional development, project development and management, budgeting;
- Natural sciences, environment, agriculture, hydrology or coastal zone management as well as ecosystems based adaptation technical expertise;
- Working with international donors;
- Ability to lead, conduct, facilitate and document discussions with stakeholders;
- Generating data to demonstrate programme effects for different segments of the population (i.e. women vs. men, low income vs. middle income etc).

8. Bid assessments

At bidding stage, bidders are encouraged to make provisions in their commercial tenders to ensure that at least parts of their fees are linked and subject to performance. Quality and timeliness of deliverables, ability to deliver, conduct of team personnel including responsiveness to stakeholders and regular communication, as well as innovation in evaluation design and contribution to learning for this demand-led fund model are important performance measures.

The Bid Evaluation Criteria and Weightings that will be applied are as follows:

#	Description	Weighting
Main criteria (60 marks total)		
A	Quality of suggested consultant/consultants team (including back up support/quality assurance where necessary) and availability of named individuals including national experts. The provider will need to demonstrate that it has sufficiently skilled staff to undertake all aspects of the assignment.	15
B	Adherence to ToR's specifications and related requirements: a clear understanding of required deliverables.	10
C	Robust, relevant and appropriate proposed approach and methodology including new ideas and use of mixed methods for review and evaluation given potential constraints (e.g. aggregation across focus areas, project level success etc.). Awareness of benefits and limitations of different techniques	15
D	Displayed capacity for similar work on data collection, evidence-gathering, and/or M&E in the climate change and environment sector as well as national/regional fund mechanisms. Experience in working in the Caribbean region will be an advantage.	15
E	Writing skills and language proficiency	5
Commercial criteria (40 marks total)		
F	Competitive fee rates and expenses in relation to the market and demonstration of Value for Money.	25
G	Clear and effective financial plan to deliver output based deliverables and key performance measures	5
H	Financial approach and methodology for ensuring the requirements will be delivered on time and in line with agreed costs, highlighting any financial risks.	10
	Total	100

9. Evaluation Quality and Ethical Standards

The evaluator will take all reasonable steps to ensure that the security and dignity of affected populations is not compromised and that disruption to on-going operation is minimized. It is expected that the evaluation will adhere to the ethical and quality standards as outlined in the Evaluation Quality Standards of the Development Assistance Committee (DAC) of the OECD at www.oecd.org/dataoecd/30/62/36596604.

10. Application procedures

An Expression of Interest that includes the methodology proposed based on a clear rationale for the approach. It should include:

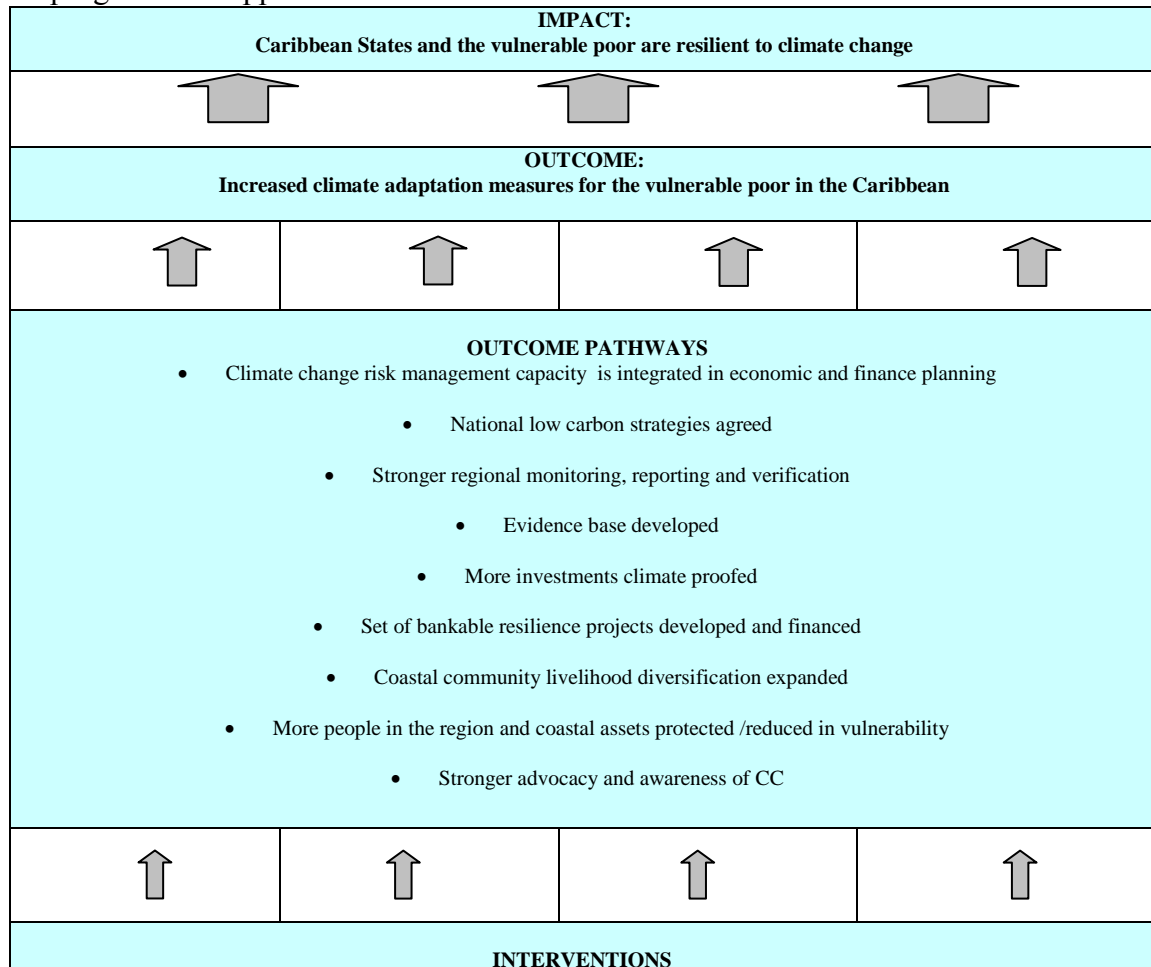
- a) A technical proposal.

- b) A financial proposal (indicative budget), inclusive of all consultancy fees and expenses to cover the assignment, with a clear distinction between the two category of costs.
- c) Detailed Curriculum Vitae of person(s) to be involved in the consultancy.
- d) A field plan for the completion of the assignment.

Annex 1: THEORY OF CHANGE

A number of changes (in policies, regulations and systems, as well as investment levels) are needed to ensure Caribbean states and the vulnerable poor become more resilient to climate change. Resources, system strengthening and (political) commitment to act are key drivers of action.

The programme's approach will be:



Strengthen institutions that are nationally influential, mandated to direct CC action and with strong technical capacity or oversight (SCs-Liliendaal Bureau; CDB) to supply high quality advice, CC information, training and mentoring	Assist finance and planning ministries to integrate risk management into development and investment planning	Strengthen the architecture for resource mobilisation and access to finance in support of national priorities, including from the private sector	Demonstrate the case for action and scale up through needs based adaptation for coastal communities, fisheries and coral reef assets
--	--	--	--

Caribbean countries are highly vulnerable to climate change and lack the capacity and resources to tackle the scale of the challenge by themselves. It is important to focus on priorities – partly because urgent action needs to take place now in critical areas (national planning and resource allocation, low carbon strategies, disaster risk reduction) and partly to build confidence that adaptation projects can actually make the Caribbean more resilient to climate change. Given the small size of most countries in the region, and the fact that climate change is a new and highly technical area, it makes sense to act together and draw on regional experts who can provide coordination oversight, information, advice and access to resources.

The programme's theory of change is that better climate resilience can be achieved by 2015 if Caribbean countries: i) undertake climate risk profiling assessments by 2012 and adaptation action plans by 2014; ii) agree low carbon strategies by 2015; iii) secure resources; and iv) immediately begin adaptation projects in priority areas (water resource management, coastal zone settlements, fisheries).

While disaster risk reduction (DRR) has been recognised as a key element for resilience, since DFID Caribbean already supports a regional DRR implementation programme through the Caribbean Disaster Emergency Management Agency, we have not included this in this programme. Work is already underway in the region to converge the DRR and adaptation work programmes

SECTION 6: CONTRACT

Contract # 30/2015/DFID/CCCCC

THIS CONTRACT (“Contract”) is entered into this _____, June 2016 by and between *Caribbean Community Climate Change Center (CCCCC)*, (“the Centre”) having its principal place of business at *2nd Floor, L. Nicholas Building, North Ring Road, Belmopan City, Belize*, and _____ (“the Consultant”) having its principal office located at *[insert Consultant’s address]*.

WHEREAS, the Centre wishes to have the Consultant perform the services hereinafter referred to, and

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

1. Services

- (i) The Consultant shall perform the services specified in Annex A, “Terms of Reference and Scope of Services,” which is made an integral part of this Contract (“the Services”).
- (ii) The Consultant shall provide the personnel listed in Annex B, “Consultant’s Personnel,” to perform the Services.
- (iii) The Consultant shall submit to the Centre the reports in the form and within the time periods specified in Annex C, “Consultant’s Reporting Obligations.”

2. Term

The Consultant shall perform the Services during the period commencing _____, June 2016 and continuing through _____, August 2016, or any other period as may be subsequently agreed by the parties in writing.

A. Ceiling

3. Payment

For Services rendered pursuant to Annex A, the Centre shall pay the Consultant an amount not to exceed *[insert amount]*. This amount has been established based on the understanding that it includes all of the Consultant's costs and profits as well as any tax obligation that may be imposed on the Consultant.

B. Schedule of Payments

The schedule of payments is specified below:

20% upon the Centre's receipt of a **advance payment security in the same amount, an updated work plan and an inception report acceptable to the Centre within two (2) weeks** of signing of the contract by the Consultant;

60% upon the Centre's receipt and acceptance of a substantial **draft evaluation report**, to the Centre by January 2015; and

20% upon the Centre's receipt and acceptance of the **final evaluation report**, in both hard and soft copies.

100% Total

C. Payment Conditions

Payment shall be made in **United States Dollars**, no later than 30 days following submission by the Consultant of invoices in duplicate to the Executive Director of the CCCCC.

4. Advance Payment Guarantee

The following provisions shall apply to the advance payment and the advance bank payment guarantee:

- (1) An advance payment of *20% of the contract amount* shall be made within **two (2) weeks** after the receipt of an advance payment guarantee by the Consultant.
- (2) The advance bank payment guarantee shall be in the amount and in the currency of the advance payment.
- (3) The bank guarantee will be released upon acceptance of the final evaluation report

5. Performance Standards

The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Centre considers unsatisfactory.

6. Liquidated Damages

If the consultant fails to complete any or all of the Services by the date(s) of completion or perform Related Services within the period specified in the Contract, the Center may without prejudice to all its other remedies under the Contract, deduct from the Contract Price, as liquidated damages, a sum equivalent to two percent (2%) of the contract price for each week or part thereof of delayed until actual delivery or performance, up to a maximum deduction of ten percent (10%) of the contract price. Once the maximum is reached, the Center may terminate the Contract pursuant to Clause 12 of this contract.

7. Confidentiality

The Consultants shall not, during the term of this Contract and within

two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Centre's business or operations without the prior written consent of the Centre.

**8. Project
Administration**

Coordinator.

The Centre designates **Dr. Mark Bynoe**, Head, Programme Development and Management Unit, as the Centre's Coordinator, for the contract, **Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project**. The Coordinator will be responsible for the coordination of activities under this Contract, for acceptance and approval of the reports and of other deliverables on behalf of the Centre and for receiving and approving invoices for the payment.

B. Reports.

The reports listed in Annex B, "Consultant's Reporting Obligations," shall be submitted in the course of the assignment, and will constitute the basis for the payments to be made under paragraph 3 – "Payment".

**9. Ownership of
Material**

Any studies reports or other material, graphic, software or otherwise, prepared by the Consultant for the Centre under the Contract shall belong to and remain the property of the Centre. The Consultant may retain a copy of such documents and software however will not be allowed to disclose such information with express written approval of the Centre

**10. Consultant Not
to be Engaged
in Certain
Activities**

The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, shall be disqualified from providing goods, works or services (other than the Services and any continuation thereof) for any project resulting from or closely related to the Services.

11. Insurance

The Consultant will be responsible for taking out any appropriate insurance coverage.

**12. Conflict of
Interest**

The Consultant:

(a) Represents and warrants that he/she individually, or as a member of a firm, has not been previously contracted by the Centre to supply goods or execute works or provide services (other than the Services) for a project that has originated the Services or is closely related to them.

(b) Agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, shall be

disqualified from providing goods, works or services (other than the Services and any continuation thereof) for any project resulting from or closely related to the Services.

(c) Agrees that, during the term of this Contract not to enter into any other contract for the provision of services that, by its nature, may be in conflict with the Services assigned to the Consultant.

(d) Represents and warrants that he/she does not have a business or family relationship with a member of the Centre's staff (or of the beneficiary or Borrower of a loan) who are directly or indirectly involved in any part of:

(i) the preparation of the TOR of the Contract, (ii) the selection process for such Contract, or (iii) supervision of such Contract, unless the conflict stemming from this relationship has been resolved in an acceptable manner.

- | | |
|--|--|
| 13. Assignment | The Consultant shall not assign this Contract or sub-contract any portion of it without the Centre's prior written consent. |
| 14. Termination of Contract | Without constituting a breach of contract by either party, the present contract may be terminated for the following reasons: (a) agreement between both parties; and (b) force majeure that may disable the fulfilment of the obligations by of the parties, if written notice is sent fifteen days beforehand. In this event, the relationship will be settled and the Consultant paid for services rendered up to the date of submission of the written justification. |
| 15. Law Governing Contract and Language | The Contract shall be governed by the laws of Belize, and the language of the Contract shall be in English |
| 16. Dispute Resolution | Any dispute arising out of the Contract, which cannot be amicably settled between the parties, shall be referred to adjudication/arbitration in accordance with the laws of the Belize. |

SIGNATURE:

.....
KENRICK R. LESLIE
EXECUTIVE DIRECTOR
CARIBBEAN COMMUNITY
CLIMATE CHANGE CENTRE

DATE: _____

SIGNATURE:

.....
CONSULTANT

DATE: _____

ANNEX I
Bank Guarantee for Advance Payment

Guarantor: _____ *[insert commercial Bank's Name, and Address of Issuing Branch or Office]*

Beneficiary: _____ *[insert Name and Address of Centre]*

Date: _____ *[insert date]*_____

ADVANCE PAYMENT GUARANTEE No.: _____ *[insert number]*_____

We have been informed that _____ *[name of Consultant or a name of the Joint Venture, same as appears on the signed Contract]* (hereinafter called "the Consultant") has entered into Contract No. _____ *[reference number of the contract]* dated _____ *[insert date]*_____ with the Caribbean Community Climate Change Centre (hereinafter called "the Centre") for the provision of **Final Evaluation of the Caribbean Regional Resilience Development Implementation Plan (IP) Project** (hereinafter called "the Contract").

Furthermore, we understand that, according to the conditions of the Contract, an advance payment in the sum of _____ *[insert amount in figures]* (_____) *[amount in words]* is to be made against an advance payment guarantee.

At the request of the Consultant, we, as Guarantor, hereby irrevocably undertake to pay the Centre any sum or sums not exceeding in total an amount of _____ *[amount in figures]* (_____) *[amount in words]*¹ upon receipt by us of the Centre's complying demand supported by the Centre's written statement, whether in the demand itself or in a separate signed document accompanying or identifying the demand, stating that the Consultant is in breach of their obligation under the Contract because the Consultant:

- (a) has failed to repay the advance payment in accordance with the Contract conditions, specifying the amount which the Consultant has failed to repay;
- (b) has used the advance payment for purposes other than toward providing the Services under the Contract.

It is a condition for any claim and payment under this guarantee to be made that the advance payment referred to above must have been received by the Consultant on their account number _____ at _____ *[name and address of bank]*.

¹ The Guarantor shall insert an amount representing the amount of the advance payment and denominated either in the currency(ies) of the advance payment as specified in the Contract, or in a freely convertible currency acceptable to the Centre.

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Consultant as indicated in certified statements or invoices marked as “paid” by the Centre which shall be presented to us. This guarantee shall expire, at the latest, upon our receipt of the payment certificate or paid invoice indicating that the Consultant has made full repayment of the amount of the advance payment, or on the __ day of [month]_____, [year]__,² whichever is earlier. Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees (URDG) 2010 revision, ICC Publication No. 758.

[signature(s)]

{Note: All italicized text is for indicative purposes only to assist in preparing this form and shall be deleted from the final product.}

² Insert the expected expiration date. In the event of an extension of the time for completion of the Contract, the Centre would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the Centre might consider adding the following text to the form, at the end of the penultimate paragraph: “The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months][one year], in response to the Centre’s written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee.”