



REQUEST FOR PROPOSAL (RFP)

All interested	DATE: April 19, 2017
	REFERENCE: RFP UKR/2017/018

Dear Sir / Madam:

We kindly request you to submit your Proposal for **Conducting a research of the first wave of e-asset declaration**.

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

Proposals may be submitted on or before **23:59 (Kyiv time) Thursday, May 04, 2017** and via email to the address below:

United Nations Development Programme
tenders.ua@undp.org
Procurement Unit

Your Proposal must be expressed in the **English or Ukrainian or Russian**, and valid for a minimum period of **90 days**.

In the course of preparing your Proposal, it shall remain your responsibility to ensure that it reaches the address above on or before the deadline. Proposals that are received by UNDP after the deadline indicated above, for whatever reason, shall not be considered for evaluation. If you are submitting your Proposal by email, kindly ensure that they are signed and in the .pdf format, and free from any virus or corrupted files.

NB. The Offeror shall create 2 archive files (*.zip format only!): one should include *technical proposal*, another one should include *financial proposal* and be encrypted with password. Both files should be attached to the email letter.

During evaluation process only technically compliant companies will be officially asked by UNDP procurement unit via email to provide password to archive with financial proposal. Please do not include the password either to email letter or technical proposal and disclose before official request.

Messages should **not exceed 5 MB in size**. Offers larger than 5 MB should be split into several messages and each message subject should indicate "part x of y" besides the marking mentioned in the announcement and the solicitation documents. Messages larger than 5 Mb will not be delivered. *All electronic submissions are confirmed by an automatic reply.*

The Offeror shall mark the email letter/s:

Subject of the message should include: **“RFP UKR/2017/018”** and **“Conducting a research of the first wave of e-asset declaration”**.

Body of the message should include: **Name of the offeror**

Archive files should be marked as: **Technical proposal** and **Financial proposal**

Note: if the email letters or archive files are not marked as per the instructions in this clause, the procuring UNDP entity will not assume responsibility for the Proposal’s misplacement or premature opening.

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

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

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

No price variation due to escalation, inflation, fluctuation in exchange rates, or any other market factors shall be accepted by UNDP after it has received the Proposal. At the time of Award of Contract or Purchase Order, UNDP reserves the right to vary (increase or decrease) the quantity of services and/or goods, by up to a maximum twenty five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.

Any Contract or Purchase Order that will be issued as a result of this RFP shall be subject to the General Terms and Conditions attached hereto. The mere act of submission of a Proposal implies that the Service Provider accepts without question the General Terms and Conditions of UNDP, herein attached as Annex 3.

Please be advised that UNDP is not bound to accept any Proposal, nor award a contract or Purchase Order, nor be responsible for any costs associated with a Service Providers preparation and submission of a Proposal, regardless of the outcome or the manner of conducting the selection process.

UNDP’s vendor protest procedure is intended to afford an opportunity to appeal for persons or firms not awarded a Purchase Order or Contract in a competitive procurement process. In the event that you believe you have not been fairly treated, you can find detailed information about vendor protest procedures in the following link:

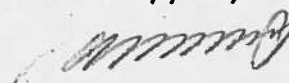
<http://www.undp.org/content/undp/en/home/operations/procurement/protestandsanctions/>

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

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

Thank you and we look forward to receiving your Proposal.

Sincerely yours,



Ms. Andra Brige
Deputy Country Director
(Operations)
UNDP Ukraine

Annex 1

Description of Requirements

Project name:	Enhanced Public Sector Transparency and Integrity Project
Brief Description of the Required Services	Conducting a research of the first wave of e-asset declaration
The overall objective	The goal of this request is to conduct research and produce a report entitled “The outcomes of the first wave of e-asset declaration”. The research shall provide a comprehensive account of cognitive and behavioral outcomes of introduction of e-asset declaration system for the target groups (declarants and adult population).
Person to Supervise the Work/Performance of the Service Provider	Team Lead, Enhanced Public Sector Transparency and Integrity Project
Frequency of Reporting	According to TOR attached
Progress Reporting Requirements	According to TOR attached
Location of work	According to TOR attached
Expected duration of work	According to the proposed timeframe specified in the attached TOR
Target start date	May 2017
Latest completion date	July 2017
Travels Expected	According to TOR attached
Special Security Requirements	n/a
Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal)	The Contractor will be responsible for all organizational and logistics support involved in organization and finalization of the survey.
Implementation Schedule indicating breakdown and timing of activities/sub-activities	<input checked="" type="checkbox"/> Required <input type="checkbox"/> Not Required
Names and curriculum vitae of individuals who will be involved in completing the services	<input checked="" type="checkbox"/> Required <input type="checkbox"/> Not Required
Currency of Proposal	<input checked="" type="checkbox"/> United States Dollars (US\$) – strongly advised to use as a risk mitigation measure against the impact of the local currency devaluation. UNDP shall arrange the payment in local currency based on the UN Operational Exchange Rate prevailing at the time of invoicing. For details please see: http://treasury.un.org <input type="checkbox"/> Euro <input checked="" type="checkbox"/> UAH
Value Added Tax on Price Proposal	<input checked="" type="checkbox"/> must be inclusive of VAT and other applicable indirect taxes (VAT should be clearly indicated in separate line), if applicable <input type="checkbox"/> must be exclusive of VAT and other applicable indirect taxes
	<input type="checkbox"/> 30 days

Validity Period of Proposals (Counting for the last day of submission of quotes)	<input type="checkbox"/> 60 days <input checked="" type="checkbox"/> 90 days <input type="checkbox"/> 120 days In exceptional circumstances, UNDP may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal.
Partial Quotes	<input checked="" type="checkbox"/> Not permitted <input type="checkbox"/> Permitted
A pre-proposal conference will be held on:	Will not be held
Payment Terms ¹	The payment for Contractor's services will be arranged in 3 installments after the completion of respective tasks: 1. 40% of the total amount will be paid after achieving the Deliverable 1; 2. 30% of the total amount will be paid after the achievement of Deliverable 2; 3. 30% of the total amount will be paid after the achievement of Deliverable 3. Payment terms: Not later than thirty (30) days as of meeting the following conditions: a) UNDP's written acceptance (i.e., not mere receipt) of the quality of the outputs; b) Receipt of invoice from the Contractor.
Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment	UNDP Governance Analyst
Type of Contract to be Signed	<input type="checkbox"/> Purchase Order <input type="checkbox"/> Institutional Contract <input checked="" type="checkbox"/> Contract for Professional Services <input type="checkbox"/> Long-Term Agreement <input type="checkbox"/> Other Type of Contract
Criteria for Contract Award	<input type="checkbox"/> Lowest Price Quote among technically responsive offers <input checked="" type="checkbox"/> Highest Combined Score (based on the 70% technical offer and 30% price weight distribution) <input checked="" type="checkbox"/> Full acceptance of the UNDP Contract General Terms and Conditions (GTC). This is a mandatory criterion and cannot be deleted regardless of the nature of services required. Non-acceptance of the GTC may be grounds for the rejection of the Proposal.

¹ UNDP preference is not to pay any amount in advance upon signing of contract. If the Service Provider strictly requires payment in advance, it will be limited only up to 20% of the total price quoted. For any higher percentage, or any amount advanced exceeding \$30,000, UNDP shall require the Service Provider to submit a bank guarantee or bank cheque payable to UNDP, in the same amount as the payment advanced by UNDP to the Service Provider.

Criteria for the Assessment of Proposal	Technical Proposal (70%) <input checked="" type="checkbox"/> Experience of the Organization 36% <input checked="" type="checkbox"/> Proposed work plan, methodology and approach 28% <input checked="" type="checkbox"/> Personnel and invited experts/consultants 36% Financial Proposal (30%) To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP.
UNDP will award the contract to:	<input checked="" type="checkbox"/> One and only one Contractor <input type="checkbox"/> One or more Contractors, depending on the following factors:
Annexes to this RFP	<input checked="" type="checkbox"/> Form for Submission of Proposal (Annex 2) <input checked="" type="checkbox"/> General Terms and Conditions / Special Conditions - Available through the Link: http://www.undp.org/content/undp/en/home/operations/procurement/how we buy/contract terms/ <input checked="" type="checkbox"/> Detailed TOR and Evaluation Criteria (Annex 3) <input checked="" type="checkbox"/> Contract for professional services template (Annex 4)
Contact Person for Inquiries (Written inquiries only) ²	<i>Procurement Unit</i> <i>UNDP Ukraine</i> <i>procurement.ua@undp.org</i> Any delay in UNDP's response shall be not used as a reason for extending the deadline for submission, unless UNDP determines that such an extension is necessary and communicates a new deadline to the Proposers.

² This contact person and address is officially designated by UNDP. If inquiries are sent to other person/s or address/es, even if they are UNDP staff, UNDP shall have no obligation to respond nor can UNDP confirm that the query was received.

Documents to be submitted in proposal	<ul style="list-style-type: none"> ☑ Dully filled in and Signed Form for Submission of Proposal (Annex 2); ☑ Business Licenses (Copies of State/Tax registration documents) and other Certificates (if any). In case a group of experts decides to apply, a letter of affiliation with an officially registered organization (which will be the Contractor in case of contract award) must be provided; ☑ Copies of other licenses or certificates (if any); ☑ Financial statements (Copies of income/balance statements for last 2 years or Audited statements); ☑ Letter of interest/letter of proposal, which briefly describes the methodology for the performance of work (up to 2 pages); ☑ Technical proposal (under 5 pages) detailing the proposed analytical approach and the detailed workplan of the assignment; ☑ Proof of at least 5 years' worth of experience in conducting sociological surveys (including monitoring of electoral processes, exit-polling, political developments, as well as citizen trust towards institutions or political developments) including links to at least 5 samples of surveys / studies conducted; ☑ At least two references from previous clients; ☑ Personal CVs of at least 3 mandatory team members (Team Leader, Key Expert on Public Perceptions and Key Expert on Statistics), including information about past experience in similar assignments and contact details for referees.
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Other Information Related to the RFP	<p><u>Administrative Requirements:</u></p> <p>Submitted offers will be reviewed on “Pass” or “Fail” basis to determine compliance with the below formal criteria/ requirement/s:</p> <ul style="list-style-type: none"> ✓ Offers must be submitted within the stipulated deadline ✓ Offers must meet required Offer Validity ✓ Offers have been signed by the proper authority ✓ Offers include requested company/organization documentation, including documentation regarding the company/organization’s legal status and registration ✓ Offers must comply with general administrative requirements: <ul style="list-style-type: none"> a) Officially registered organisation (commercial or non-profit). In case, is Group of Experts decide to apply, a letter of affiliation with an officially registered organisation (which will be the Contractor in case of contract award) must be provided; b) At least 5 years’ worth of experience in conducting sociological surveys (including monitoring of electoral processes, exit-polling, political developments, as well as citizen trust towards institutions or political developments); c) At least 10 sociological surveys in the area of monitoring of electoral processes, exit-polling, political developments, as well as citizen trust towards institutions or political developments. <p>Other information is available on http://www.ua.undp.org/content/ukraine/en/home/operations/procurement/; For the information, please contact procurement.ua@undp.org</p>
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Annex 2

FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL³

(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery⁴)

[insert: Location].

[insert: Date]

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

Dear Sir/Madam:

We, the undersigned, hereby offer to render the following services to UNDP in conformity with the requirements defined in the RFP UKR/2017/018 dated 4/19/2017, and all of its attachments, as well as the provisions of the UNDP General Contract Terms and Conditions:

A. Qualifications of the Service Provider

BRIEF COMPANY PROFILE	
The Service Provider must describe and explain how and why they are the best entity that can deliver the requirements of UNDP by indicating the following:	
Full registration name	
Year of foundation	
Legal status	If Consortium, please provide written confirmation from each member
Legal address	
Actual address	
Bank information	
VAT payer status	
Contact person name	
Contact person email	
Contact person phone	
Company/Organization's core activities	

³ This serves as a guide to the Service Provider in preparing the Proposal.

⁴ Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations (If any);	Please indicate here
Business Licenses – Registration Papers, Tax Payment Certification, etc	EDRPOU, ID tax number Copies of State registration and Tax registration should be attached
Latest Audited Financial Statement or Financial results (2015 -2016)	Copies of income statement and balance sheet to indicate Its financial stability, liquidity, credit standing, and market reputation
Track Record performed within the last 5 years	Please indicate here the List of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contract references; Brief description of previous products developed by the company (list);
Certificates and Accreditation	Please indicate here applicable including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.
Please provide contact details of at least 2 previous partners for reference	Please attach the signed reference letters <i>if any</i> .
Company is not in the UN Security Council 1267/1989 List, UN Procurement Division List or other UN Ineligibility List.	Yes/No (Please choose)
Other relevant information	

B. Proposed Methodology for the Completion of Services

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

Must include:

- 1. Letter of interest/letter of proposal, which briefly describes the methodology to the performance of work (up to 2 pages);***
- 2. Technical proposal (under 5 pages) detailing the proposed analytical approach and the detailed workplan of the assignment;***
- 3. Proof of at least 5 years' worth of experience in conducting sociological surveys (including monitoring of electoral processes, exit-polling, political developments, as well as citizen trust towards institutions or political developments) including links to at least 5 samples of surveys / studies conducted;***
- 4. At least two references from previous clients;***
- 5. Personal CVs of at least 3 mandatory team members (Team Leader, Key Expert on Public***

Perceptions and Key Expert on Statistics), including information about past experience in similar assignments and contact details for referees.

C. Qualifications of Key Personnel

If required by the RFP, the Service Provider must provide:

a) Names and qualifications of the key personnel that will perform the services; description of roles of key personnel (who is Team Leader, who are supporting, etc.);

b) CVs demonstrating qualifications;

c) Written confirmation from each team member that they are available for the entire duration of the contract.

At least:

- 1) Team Leader*
- 2) Key Expert (Public Perceptions)*
- 3) Key Expert (Statistics)*
- 4) Other personnel (if needed)*

Financial Proposal

The Proposer is required to prepare the Financial Proposal in an envelope separate from the rest of the RFP as indicated in the Instruction to Proposers.

The Financial Proposal must provide a detailed cost breakdown. Provide separate figures for each functional grouping or category.

Any estimates for cost-reimbursable items, such as travel and out-of-pocket expenses, should be listed separately.

In case of an equipment component to the service provider, the Price Schedule should include figures for both purchase and lease/rent options. UNDP reserves the option to either lease/rent or purchase outright the equipment through the Contractor.

The format shown on the following pages is suggested for use as a guide in preparing the Financial Proposal. The format includes specific expenditures, which may or may not be required or applicable but are indicated to serve as examples.

A. Cost Breakdown per Deliverables*

#	Deliverables <i>[list them as referred to in the RFP]</i>	Percentage of Total Price (Weight for payment)	Amount, currency, excl. VAT	VAT, currency, (if applicable)	Price, currency, (Lump Sum, All Inclusive) incl. VAT
1	Deliverable 1				
2	Deliverable 2				
3	Deliverable 3				
	Total (please indicate currency)	100%			

**This shall be the basis of the payment tranches*

B. Cost Breakdown by Cost Component:

The Proposers are requested to provide the cost breakdown for the above given prices for each deliverable based on the following format. UNDP shall use the cost breakdown for the price reasonability assessment purposes as well as the calculation of price in the event that both parties have agreed to add new deliverables to the scope of Services.

No	Activity/Costs	Unit	Number	Cost per unit, currency	Amount, currency excl. VAT	VAT, currency (if applicable)	Amount including VAT, currency
1	Personnel						
1.1	Team Leader						
1.2	Key Expert (Public Perceptions)						
1.3	Key Expert (Statistics)						
1.4	Other experts (as required)						
2	Administration Costs (if necessary)						
2.1	Communication (Internet/Phone/etc.)						
2.2	Other (if any - to define clearly activities/costs)						

3	Travel and Lodging						
3.1	Travel costs (tickets)						
3.2	Accommodation						
3.3	Daily Allowance						
4	Survey- and Research-related Costs						
4.1	Sociological survey (in-person interviews using questionnaires)						
4.2	Other (if any - to define clearly activities/costs)						
5	Other costs (if any - to define clearly activities/costs)						
5.1	...						
5.2	...						
	Total (please indicate currency)						

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

[Designation]

[Date]

Annex 3

TERMS OF REFERENCE Enhanced Public Sector Transparency and Integrity Conducting a research of the first wave of e-asset declaration

Project name:	Enhanced Public Sector Transparency and Integrity
Services required:	Conducting a research of the first wave of e-asset declaration
Country / Duty Station:	Kyiv, Ukraine, with trips to other regions of Ukraine
Starting date of assignment:	15 May, 2017
Duration of assignment / or end date (if applicable):	1.25 months
Supervisor's name and functional post:	Team Lead
Payment arrangements:	Lump Sum (payments linked to deliverables)
Administrative arrangements:	Office premises, equipment or expendables shall not be provided.

1. BACKGROUND:

The UNDP Project “Enhanced Public Sector Transparency and Integrity” contributes to establishment of a strong and comprehensive corruption prevention ecosystem in the country. Its goal is to put into practice key preventive anti-corruption instruments: an effective asset declaration system for public officials, regulations that prevent and help manage conflict of interest, as well as tools for corruption-risk analysis. The Project takes a three-pronged approach by working to develop capabilities of key anti-corruption agencies, training public officials, and cooperating with CSOs at national and local levels.

Ukrainian Government took note of high-level commitments to ensure effective work of the National Agency on Corruption Prevention and launch of the comprehensive electronic asset declaration system. UNDP has been supporting NACP since its inception. In particular, UNDP was involved in development of the e-declaration system that is one of the biggest achievements in reforming public administration.

The electronic system for asset declarations submission and publication has been announced on 10 June 2016 and deployed on 1 September 2016. A new electronic system of asset and income declaration has been introduced in Ukraine to promote better transparency and integrity of public administration. While the 1st wave of e-declaration for senior officials ended on 30 October 2016, and an overall review of these e-declarations was finished by the end of 2016, the current 2nd wave applies to a wider range of civil servants of national and local levels and is to end by 31 March 2017.

At least 700,000 additional declarants are to join the first 105,000 top public officials who have already submitted their information in the publicly searchable database. The range of declarants who should declare their assets in Ukraine is one of the widest in the world.

Relevance of the study

As a partner of the Ukrainian Government in building a robust system of corruption prevention and deterrence for the country, UNDP Ukraine stands by its commitments to continue its assistance for designing and implementing high-impact interventions that can lead to true progress in Ukraine's democratic governance.

As such, UNDP project would like to conduct a comprehensive sociological research on the first wave of electronic declaring assets and incomes covering declarants and general population. It is important to

study this first experience, conclude on the outcomes of the system of e-asset declaration, and take into account the lessons learnt for the second wave of e-asset declaration starting in 2017. Such an inquiry is also of vital importance as the launch of e-asset declaration system enforced the article of the Criminal Code of Ukraine on lie or incomplete information in asset declarations.

2. OBJECTIVES:

The goal of this request is to conduct research and produce a report entitled “The outcomes of the first wave of e-asset declaration”. The research shall provide a comprehensive account of cognitive and behavioral outcomes of introduction of e-asset declaration system for the target groups (declarants and adult population).

The research shall identify:

- the behavioral changes of declarants of the first wave (in particular, changes in retirements rates and transferring possessions to relatives or friends);
- the perception of the outcomes of introduction of the system of e-asset declaration among declarants and adult population (overall and among principal socio-demographic categories: at minimum within the divisions of gender, age, settlement type and size, residence macroregion, and education level; it is also recommended to consider income level and occupation type).

Upon completion of the research, the contractor organization shall present the research findings on the round table in Kyiv city, tentatively in June 2017.

3. SCOPE OF WORK AND EXPECTED OUTPUTS

In order to achieve the set goals, the selected contractor organization shall:

1. Conduct a survey of declarants of the first wave by the face-to-face interview method by representative sample, stratified by the specified major declarant categories; the sample size shall be no less than 500 respondents. The approximate number of variables in the final dataset is 50 (up to 4-pages questionnaire, developed by the contractor organization). The categories of declarants (total 105,000 persons):
 - a. The President of Ukraine, Members of Parliament of Ukraine, the Prime Minister of Ukraine, the Members of the Cabinet of Ministers of Ukraine, Heads of Government Agencies and their deputies;
 - b. Judges, prosecutors, investigators, and also category A civil servants and category A civil servants (according to the Law “On State Service” – civil servants of 1-3 categories);
 - c. In local self-governance bodies: heads of oblast councils of oblast centers and their deputies, secretaries of city councils of oblast center and their deputies, secretaries of city councils, mayors of cities of oblast significance, heads of rayon councils and heads of city district councils, and also other officials of local self-governance of 1-3 categories.
2. Conduct a survey of general population using the method of face-to-face interview using a sample representative for adult population of Ukraine over 18 years, stratified by regions, covering all oblasts of Ukraine, apart from the Autonomous Republic of Crimea and temporarily occupied parts of Donetsk and Luhansk oblasts, the sample shall be random / stochastic at the last stage; the sample size shall be no less than 2000 respondents. The approximate number of variables in the final dataset is 50 (up to 4-pages questionnaire, developed by the contractor organization).
3. Based on results gained from the 2 abovementioned sources (the declarants survey and the general population survey, the contractor shall prepare an analytical 20-page report with data visualizations (up to 25% of report space) in Ukrainian.

- a. To ensure more exact and balanced interpretation of the findings, the contractor organization shall take into account reasonable comments of the customer to the first report draft and send the customer the second report draft within 2 working days;
 - b. If needed, the customer has the right to comment the second report draft and expect that the contractor organization will introduce reasonable comments within 1 working day as a final report draft.
4. Present the results of the research at the round table in the Kyiv city in the Power Point format presentation of 10 slides in Ukrainian, tentatively in June 2017.

Deliverables:

1. Instruments used in the course of the research:
 - a. questionnaires for all target groups in all languages used for the survey;
 - b. SPSS syntax files in English.
2. Data obtained as this research findings:
 - a. statistical data from governmental agencies – tables in Microsoft Excel files format in Ukrainian;
 - b. the results of surveys of declarants, subordinates of declarants, general population, and experts – as datasets in SPSS file format in Ukrainian;
 - c. tables of one-dimensional distributions and crosstabulations, and respective figures in Microsoft Excel file format in Ukrainian.
3. An analytical report based on research findings, containing methodology description and data visualization 20 page long in Ukrainian titled “The outcomes of the first wave of e-asset declaration” in Microsoft Word format.
4. A concise visual description and interpretation of the findings in Power Point file format 10 slides long in Ukrainian.

While preparing research methodology and instrument, conducting fieldwork, and during research report and presentation preparation the contractor organization shall closely cooperate with UNDP and relevant governmental institutions.

Questionnaires texts, as well as report structure for this research shall be agreed upon by the UNDP Project “Enhanced Public Sector Transparency and Integrity” Project Manager.

Basic characteristics of the report:

- The structure of the report shall include the title page, executive summary, contents, introduction, report body (analysis of the research findings), recommendations, conclusion and appendices.
- All appendices have to be numbered; all tables and illustrations have to have citations referring to the sources and have references within the text of the report.
- All tables have to be presented in Microsoft Excel Format or be easily converted hereinto. The Contractor shall not embed external editable Excel images and tables into the Word documents.
- The results of the work shall include but not be limited to: the electronic version of the report (*.docx), baseline materials and addenda (*.docx, *.xls, *.cdr formats).
- The report should be written in Ukrainian and not exceed 20 pages, excluding annexes.

The report shall highlight the identified in research cognitive and behavioral outcomes of introduction of e-asset declaration for the target groups.

The report shall give concrete answers to the following questions:

The main research question:

Does the system of e-asset declaration have any effect on opinions or actions of the target groups? If yes, then what is the impact?

Specific research questions:

1. Has the behavior of declarants of the first stage of e-declaring changed due to the start of the system of e-asset declaration? If yes, then in which way?
2. How the declarants themselves assess the outcomes of introduction of the system of e-asset declaration?
3. How population assesses the outcomes of introduction of the system of e-asset declaration?
4. Is there any difference in perceptions of the outcomes of introduction of e-declarations among declarants and population? If yes, then what is the difference?

Commencement date and performance period:

1. Approval of the final methodology and questionnaires, report structure – 1 week.
2. Conducting the surveys of the declarants and the general population, and submitting distribution tables – 2 weeks.
3. Data analysis, writing and submitting the first report draft – 1 week.
4. Taking into account comments, submitting the second and the final report drafts and the presentation – 1 week.
5. Presenting the findings at the round table – tentatively in June-July 2017.

The overall research and report preparation cycle shall not take longer than 5 weeks from the signing of the contract and commencement of the work.

	Deliverable Description	Period (days)
Deliverable 1	Initial meeting with the Customer conducted and collection of relevant background materials completed;	1
	Documents reviewed, consultations with experts conducted, and draft survey questionnaire amended as relevant and approved by the Customer;	3
	Methodology for the field research (surveys) finalized, questionnaires finalized and approved, and general report outline approved;	3
Deliverable 2	Representative polls (field stage involving in person interviews) conducted;	14
	Data received, data quality assured, data entered into a statistics-processing package, and variable cross-checking conducted;	2
	First draft of the report, including analysis of the opinion polls as per the methodological approach agreed;	5
Deliverable 3	The first draft of the report discussed	1
	Comments to the report addressed and the second draft of the report produced	2
	The second draft of the report discussed	2
	Comments to the report addressed and final draft of the report produced	2
	Study findings presented at the roundtable	TBD

4. REQUIREMENTS FOR MONITORING/REPORTING:

Basic requirements to the reports

The structure of the report shall include the title page, the report summary, contents, glossary of terms used, introduction, report body with the analysis of the research findings, conclusion, recommendations and appendices.

The report has to be written in professional and comprehensible language. The analysis shall adhere to basic requirements of research, in particular: rely on empirical data, use scientific methodology of data analysis, contain an objective consideration of different positions and reasoning for conclusions, the data should be verifiable, while the analysis of quantitative and qualitative data should have the possibility to be reproduced by independent experts.

All tables have to be presented in Microsoft Excel Format.

The report structure shall be agreed with the UNDP Project “Enhanced Public Sector Transparency and Integrity” Project Manager.

The contractor organization shall cooperate with the Customer. All reasonable proposals and comments of the Customer shall be taken into account by the Contractor.

The contractor organization shall present its report in electronic form at the email of the UNDP Project “Enhanced Public Sector Transparency and Integrity” Project Manager and shall print and send one paper copy to the postal address of the Project.

The report shall be published after it is accepted by UNDP Project “Enhanced Public Sector Transparency and Integrity” Project Manager.

Work planning

The work is built in strict adherence to the contract, including annexes and this ToR, signed by the Customer and Contractor.

The work and reporting schedule, research methodology, surveys sampling, questionnaires texts, and official requests texts shall be cleared by the UNDP Project “Enhanced Public Sector Transparency and Integrity” Project Manager.

Quality control

In the course of the current work, quality control is performed by the UNDP Project “Enhanced Public Sector Transparency and Integrity” Project Manager. In order to control the quality of the produced work, the UNDP has the right to establish any task forces of experts who shall, according to the techniques designed by respective task forces, assess the research conducted. All reasonable recommendations by the Project Manager and the expert task forces need to be taken into account in the subsequent work of the Contractor.

The Contractor shall report to the “Enhanced Public Sector Transparency and Integrity” Project Manager. The payment shall be arranged in stages in accordance with the proposed payment scheme below and upon acceptance of the deliverables based on quality control and acceptance of recommendations. UNDP will be the ultimate authority to control the quality of work results and assess the Contractor’s performance during the assignment. The Contractor shall comply with the quality assurance system of UNDP, and provide the necessary information, reports and statistics according to a preliminary determined schedule or as soon as possible (within a reasonable period of time).

In particular, the payment schedule will be as follows:

Deliverable 1	40%
Deliverable 2	30%
Deliverable 3	30%

5. MANAGEMENT ARRANGEMENTS

Contractor will act under supervision of the “Enhanced Public Sector Transparency and Integrity” Project Manager. Contractor will receive necessary guidance, clarifications, information/materials that may be needed for this task. Contractor shall be responsible and ensure timely performance hereunder, logistics, its human resources and expenditures related hereto as well as the quality of works in close consultation with the UNDP Ukraine. The Contractor will, through a designated representative – Team Leader, work closely with the “Enhanced Public Sector Transparency and Integrity” Project Manager for the assignment implementation. The team leader shall work in close coordination with the UNDP Expert. Work-progress reporting/monitoring meeting will be held with the Contractor on weekly basis; however, UNDP Project may request information on the current status of works and services at any time. UNDP shall have final authority as for acceptance of works in terms of the quality and completeness thereof.

6. EXPERIENCE AND QUALIFICATION REQUIREMENTS

Contractor requirements

- Officially registered organization (commercial or non-profit).
- At least 5 years’ worth of experience in conducting sociological surveys;
- Track record of conducting at least 10 sociological surveys in the area of monitoring of electoral processes, exit-polling, political developments, as well as citizen trust towards institutions or political developments;
- Research team that has the following minimum composition and qualifications:
 - **Team Leader**
 - Master’s degree or equivalent in social sciences (sociology), applied technical sciences or other related field;
 - Proven track record (no fewer than 5 years) of managing and controlling quality of nation-wide or regionally-representative opinion polls (samples of works or links thereto are to be provided);
 - Fluent Ukrainian / Russian, working knowledge of English is an asset.
 - **Key Expert (public perceptions)**
 - Master’s degree or equivalent in social sciences (sociology), political science, applied technical sciences or other related field;
 - Proven track record (no fewer than 3 years) of working in teams that conduct nation-wide or regionally-representative opinion polls regarding public views and perceptions (samples of works or links thereto are to be provided);
 - Proven track record (no fewer than 2 years) of cooperation with Ukrainian state institutions;
 - Fluent Russian/Ukrainian, working knowledge of English is an asset;
 - **Key Expert (statistics)**
 - Master’s degree or equivalent in social sciences (sociology), applied technical sciences, applied mathematics / IT or other related field;
 - Proven track record (no fewer than 2 years) in using various statistical packages (preferably SPSS or analogous) for the analysis of survey data;

Bidders may propose a different team composition with a justification, as long as the above-quoted essential competencies are present in the team.

7. REPORTING

The Contractor shall provide the first, the second drafts, and the final report (in soft and hard copies) incorporating final recommendations in Ukrainian. No reports and/or documents shall be published, circulated or distributed to any third party without prior approval of UNDP.

8. DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS

Applicants shall submit the following documents:

Required	Description
<input checked="" type="checkbox"/>	Organization's profile (date of creation, size, number of staff/consultants, description of key staff/consultants, areas of expertise). Proof of at least 5 years' worth of experience in conducting sociological surveys (including monitoring of electoral processes, exit-polling, political developments, as well as citizen trust towards institutions or political developments) including links to at least 5 samples of surveys / studies conducted;
<input checked="" type="checkbox"/>	Technical proposal (under 5 pages) detailing the proposed analytical approach and the detailed workplan of the assignment,
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> ✓ Description of the team to be involved, including the following items: ✓ CV of the Team Lead including description of academic qualifications, samples of works or links thereto as proof of track record of no fewer than 5 years of managing and controlling quality of nation-wide or regionally-representative opinion polls, referee contacts; ✓ CV of the Key Expert (public perceptions) including description of academic qualifications, links to studies and research that utilize nation-wide or regionally-representative opinion polls regarding public views and perceptions and attest to no fewer than 3 years of experience of working on production teams (role within the team to be specified), proof of no fewer than 2 years of cooperation with Ukrainian state institutions (proof of awareness of mandate and operations of Verkhovna Rada and other Ukrainian government institutions), referee contacts; ✓ CV of the Key Expert (statistics) including description of academic qualifications, links to studies and research that were produced with assistance of the expert in terms of processing statistical data for no fewer than 2 years (with indication of statistical packages used), referee contacts; ✓ CVs of any other experts to be involved into the task delivery and their professional credentials (optional);
<input checked="" type="checkbox"/>	Financial proposal in line with the instructions provided below;

9. FINANCIAL PROPOSAL

The financial proposal shall specify the cost of professional services for the assignment – the total amount and distribution in accordance with the above-mentioned proposed schedule of tranches, as

well as line-item breakdown. Payments will be made in tranches as described in the section “Requirements for monitoring/reporting”.

All travel arrangements will be handled by the Contractor. The travel costs of the team members, if necessary for the assignment, should be included in the proposal. In general, UNDP should not accept travel costs exceeding those of an economy class ticket. Should the Team Members wish to travel on a higher class he/she should do so using their own resources.

10. EVALUATION CRITERIA

Evaluation and comparison of proposals

A two-stage procedure is utilized in evaluating the proposals, with evaluation of the technical proposal being completed prior to any price proposal being opened and compared. The price proposals will be opened only for submissions that have passed the minimum technical score of 70% (or 490 points) of the obtainable score of 700 points in the evaluation of the technical proposals.

At the First Stage, the technical proposal is evaluated on the basis of its responsiveness to the Terms of Reference (TOR) and as per below Evaluation Criteria.

At the Second Stage, the price proposals of all offerors, who have attained minimum 70% score in the technical evaluation, shall be reviewed.

Overall evaluation shall result from a cumulative analysis, under which the technical and financial aspects will have pre-assigned weights on 70% and 30% of the overall score, respectively. The lowest cost financial proposal (out of technically compliant) will be selected as a baseline and allocated the maximum number of points obtainable for financial part (i.e. 300). All other financial proposals will receive a number of points inversely proportional to their quoted price; e.g. 300 points \times lowest price / quoted price.

The winning proposal shall be the one with the highest number of points after the points obtained in both technical and financial evaluations, respectively, are added up. The contract will be awarded to the bidder which had submitted the winning proposal.

Technical evaluation criteria

Summary of Technical Proposal Evaluation Form		Score Weight	Max Points obtainable	Company			
1	Expertise of firm /organization submitting proposal	36%	250				
2	Proposed work plan, methodology, and approach	28%	200				
3	Personnel	36%	250				
	Total	100%	700				
	Remarks						

Evaluation forms for technical proposals follow. The obtainable number of points specified for each evaluation criterion indicates the relative significance or weight of the item in the overall evaluation process.

The Technical Evaluation Forms are:

Form 1. Expertise of a company / organization submitting proposal

Form 2. Proposed Work Plan/Methodology and Approach

Form 3. Personnel

Technical evaluation criteria

Technical Proposal Evaluation Form 1		Points obtainable	Company / Other Entity		
			A	B	C
Expertise of a company					
1.1	Reputation of Organization and Staff / Credibility / Reliability / Industry Standing / Organisation /Company profile Excellent reputation & proven experience in the sphere of social studies - Excellent – 50 points, good – 30 points, satisfactory – 20 points, weak – 10 points;	50			
1.2	At least 5 years’ worth of experience in conducting sociological surveys: - 5 years of experience in conducting sociological surveys - 60 points; - from 6 to 10 years – 80 points; - over 10 years – 100 points.	100			
1.3	Track record of conducting at least 10 sociological surveys in the area of monitoring of electoral processes, exit-polling, political developments, as well as citizen trust towards institutions or political developments: - 10 sociological surveys – 60 points; - From 11 to 20 sociological surveys – 80 points; - Over 20 sociological surveys – 100 points.	100			
Total for Form 1		250			

Technical Proposal Evaluation Form 2		Points Obtainable	Company / Other Entity		
			A	B	C
Proposed Work Plan, Methodology, and Approach					
2.1	Is the approach suggested appropriate for the task and corresponds to the TOR?	Up to 40			
2.2	Have the important aspects of the task been addressed in sufficient detail and is the sequence of activities logical?	Up to 40			
2.3	Are the different components of the assignment adequately weighted and relative to one another?	Up to 40			
2.4	Is the proposed work plan detailed and realistic and promises efficient implementation to the project?	Up to 40			
2.5	Is the quality assurance plan proposed in the methodology adequate?	Up to 40			
Total for Form 2		200			

Technical Proposal Evaluation Form 3	Points Obtainable	Company / Other Entity		
		A	B	C
Personnel				

	Team Leader				
3.1	Master's degree or equivalent in social sciences (sociology), applied technical sciences or other related field; - Master's/Specialist degree – 10 points, Ph. D - 20 points	20			
3.2	Proven track record (no fewer than 5 years) of managing and controlling quality of nation-wide or regionally-representative opinion polls (samples of works or links thereto are to be provided); - 5 years – 40 points; - over 5 years - 50 points;	50			
3.3	Fluent Ukrainian / Russian, knowledge of English is an asset - Fluent Ukrainian / Russian – 10 points; - Same plus English – 20 points.	20			
	Sub-score for 3.1-3.3	90			
	Key Expert (public perceptions)				
3.4	Master's degree or equivalent in social sciences (sociology), political science, applied technical sciences or other related field; - Master's/Specialist degree – 10 points - Ph. D - 20 points;	20			
3.5	Proven track record (no fewer than 3 years) of working in teams that conduct nation-wide or regionally-representative opinion polls regarding public views and perceptions (samples of works or links thereto are to be provided); - 3 years of experience - 30 points; - over 3 years - 40 points;	40			
3.6	Proven track record (no fewer than 2 years) of cooperation with Ukrainian state institutions (proof of awareness of mandate and operations of Verkhovna Rada and other Ukrainian government institutions): - 2 years of cooperation – 10 points; - More than 2 years of cooperation – 20 points.	20			
3.7	Fluent Ukrainian / Russian, knowledge of English is an asset - Fluent Russian/Ukrainian – 5 points; - Same plus English – 10 points.	10			
	Sub-score for 3.4-3.7	90			
	Key Expert (statistics)				
3.7	Master's degree or equivalent in social sciences (sociology), applied technical sciences, applied mathematics / IT or other related field; - Master's/Specialist degree – 10 points; - Ph. D - 20 points;	20			
3.8	Proven track record (no fewer than 2 years) in using various statistical packages (preferably SPSS or analogous) for the analysis of survey data; - 2 years of experience – 40 points; - over 2 years – 50 points.	50			
	Sub-score for 3.7-3.8	70			
	Total for Form 3	250			

Annex 1: report format

While every bidder is free to suggest their own vision of the report format, UNDP would expect alignment with the following general requirements:

- The structure of the report shall include the title page, executive summary, contents, introduction, report body (analysis of the research findings), recommendations, conclusion and appendices.
- All appendices have to be numbered; all tables and illustrations have to have citations referring to the sources and have references within the text of the report.
- All tables have to be presented in Microsoft Excel Format or be easily converted hereinto. The Contractor shall not embed external editable Excel images and tables into the Word documents.
- The results of the work shall include but not be limited to: the electronic version of the report (*.docx), baseline materials and addenda (*.docx, *.xls, *.cdr formats).
- The report should be written in Russian and not exceed 50 pages, excluding annexes.

The structure:

1. Title page
2. Contents
3. List of abbreviations and acronyms
4. **Executive Summary** (clearly summarizing the assessment and key findings in comprehensible terms)
5. **Introduction** (context of the intervention and objectives of the initiative)
6. **Findings and analysis** (the results of the assessment according to the objectives given in this ToR, combining qualitative and quantitative data.
7. **Lessons Learnt and/or Recommendations** (must be clearly related to the evidence given in the Findings section of the report).
8. Conclusions
9. Annexes: These might include:
 - a. Methodology and itinerary/ schedule
 - b. List of people and organizations consulted
 - c. References / list of documents reviewed
 - d. Examples of all data collection tools used (e.g. questionnaires, semi-structured interview questions)
 - e. Additional methodological information if required (e.g. more detailed information on sampling)
 - f. Full data tables of all quantitative results (if appropriate and if not all included in main report)
 - g. Additional maps, photos or more detailed case studies if available
 - h. Not in the actual report, but all raw data (quantitative data files, etc.) should also be submitted for reference and future use.

Suggested page lengths above give a 20-page report excluding annexes (Myriad Pro font, size 11, single-spaced).

Annex 4

Model Contract for Professional Consulting Services
between UNDP and a Company or other entity⁵

Date _____

Dear Sir/Madam,

Ref.: _____/ _____/ _____ **[INSERT PROJECT NUMBER AND TITLE OR OTHER REFERENCE]**

The United Nations Development Programme (hereinafter referred to as "UNDP"), wishes to engage your **[company/organization/institution]**, duly incorporated under the Laws of _____ **[INSERT NAME OF THE COUNTRY]** (hereinafter referred to as the "Contractor") in order to perform services in respect of _____ **[INSERT SUMMARY DESCRIPTION OF THE SERVICES]** (hereinafter referred to as the "Services"), in accordance with the following Contract:

1. Contract Documents

- 1.1 This Contract is subject to the UNDP General Conditions for Professional Services attached hereto as Annex I. The provisions of such Annex shall control the interpretation of this Contract and in no way shall be deemed to have been derogated by the contents of this letter and any other Annexes, unless otherwise expressly stated under section 4 of this letter, entitled "Special Conditions".
- 1.2 The Contractor and UNDP also agree to be bound by the provisions contained in the following documents, which shall take precedence over one another in case of conflict in the following order:
 - a) this letter;
 - b) the Terms of Reference [ref.dated.....], attached hereto as Annex II;
 - c) the Contractor's technical proposal [ref....., dated], as clarified by the agreed minutes of the negotiation meeting⁶[dated.....], both documents not attached hereto but known to and in the possession of both parties.
- 1.3 All the above shall form the Contract between the Contractor and UNDP, superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Contract.

2. Obligations of the Contractor

- 2.1 The Contractor shall perform and complete the Services described in Annex II with due diligence and efficiency and in accordance with the Contract.
- 2.2 The Contractor shall provide the services of the following key personnel:

NameSpecializationNationalityPeriod of service

⁵This model contract is intended for services (studies, consultancies by firms, etc) to be obtained from companies as well as from NGOs, Universities, etc. It is not to be used for procuring goods or works. Any substantial deviations to the text should be made in consultation with BOM.

⁶ If there are updates to the technical proposal or correspondence exchanged in clarification of certain aspects, reference them too, provided that they are fully acceptable to UNDP. Otherwise, aspects which resolution is pending should be dealt with in this letter itself or in the Terms of Reference, as appropriate.

.....

2.3 Any changes in the above key personnel shall require prior written approval of _____ **[NAME and TITLE]**, UNDP.

2.4 The Contractor shall also provide all technical and administrative support needed in order to ensure the timely and satisfactory performance of the Services.

2.5 The Contractor shall submit to UNDP the deliverables specified hereunder according to the following schedule:

[LIST DELIVERABLES]

[INDICATE DELIVERY DATES]

e.g.

Progress report

../../....

Final report

../../....

2.6 All reports shall be written in the English language, and shall describe in detail the services rendered under the Contract during the period of time covered in such report. All reports shall be transmitted by the Contractor by _____ **[MAIL, COURIER AND/OR FAX]** to the address specified in 9.1 below.

2.7 The Contractor represents and warrants the accuracy of any information or data provided to UNDP for the purpose of entering into this Contract, as well as the quality of the deliverables and reports foreseen under this Contract in accordance with the highest industry and professional standards.

OPTION 1 (FIXED PRICE)

3. Price and Payment⁷

3.1 In full consideration for the complete and satisfactory performance of the Services under this Contract, UNDP shall pay the Contractor a fixed contract price of _____ **[INSERT CURRENCY & AMOUNT IN FIGURES AND WORDS]**.

3.2 The price of this Contract is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the Contractor in the performance of the Contract.

3.3 Payments effected by UNDP to the Contractor shall be deemed neither to relieve the Contractor of its obligations under this Contract nor as acceptance by UNDP of the Contractor's performance of the Services.

3.4 UNDP shall effect payments to the Contractor after acceptance by UNDP of the invoices submitted by the Contractor to the address specified in 9.1 below, upon achievement of the corresponding milestones and for the following amounts:

MILESTONE⁸

AMOUNT

TARGET DATE

Upon.....

.....

../../....

Invoices shall indicate the milestones achieved and corresponding amount payable.

⁷ This version of section 3 is to be used for fixed price contracts. Fixed price contracts should normally be used when it is possible to estimate with reasonable accuracy the costs of the activities which are the subject of the Contract.

⁸ If an advance payment is granted, define the first milestone as "upon signature of the contract by both parties". Please note that advance payments should be granted only in exceptional cases, and that they must comply with UNDP policies and procedures.

OPTION 2 (COST REIMBURSEMENT)

3. Price and payment⁹

- 3.1 In full consideration for the complete and satisfactory performance of the Services under this Contract, UNDP shall pay the Contractor a price not to exceed _____ **[INSERT CURRENCY & AMOUNT IN FIGURES AND WORDS]**.
- 3.2 The amount contained in 3.1 above is the maximum total amount of reimbursable costs under this Contract. The Breakdown of Costs in Annex _____ **[INSERT ANNEX NUMBER]** contains the maximum amounts per cost category that are reimbursable under this Contract. The Contractor shall reflect in his invoices the amount of the actual reimbursable costs incurred in the performance of the Services.
- 3.3 The Contractor shall not do any work, provide any equipment, materials and supplies, or perform any other services which may result in any costs in excess of the amount under 3.1 or of any of the amounts specified in the Breakdown of Costs for each cost category without the prior written agreement of _____ **[NAME and TITLE]**, UNDP.
- 3.4 Payments effected by UNDP to the Contractor shall be deemed neither to relieve the Contractor of its obligations under this Contract nor as acceptance by UNDP of the Contractor's performance of the Services.
- 3.5 The Contractor shall submit invoices for the work done every _____ **[INSERT PERIOD OF TIME OR MILESTONES]**.

OR

- 3.5. The Contractor shall submit an invoice for _____ **[INSERT AMOUNT AND CURRENCY OF THE ADVANCE PAYMENT IN FIGURES & WORDS]** upon signature of this Contract by both parties and invoices for the work done every _____ **[INSERT PERIOD OF TIME OR MILESTONES]**.¹⁰

3.6 Progress and final payments shall be effected by UNDP to the Contractor after acceptance of the invoices submitted by the Contractor to the address specified in 9.1 below, together with whatever supporting documentation of the actual costs incurred is required in the Breakdown of Costs or may be required by UNDP. Such payments shall be subject to any specific conditions for reimbursement contained in the Breakdown of Costs.

4. Special conditions¹¹

4.1 The responsibility for the safety and security of the Contractor and its personnel and property, and of UNDP's property in the Contractor's custody, rests with the Contractor.

4.1.1. Security

The Contractor shall:

- (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the services are being provided;

⁹ This version of section 3 is to be used for cost reimbursement contracts. Normally, cost reimbursement contracts should be used when it is not possible to estimate with reasonable accuracy the total costs of the activities which are the subject of the Contract.

¹⁰ This clause should be used if an advance payment is granted. Please note that advance payments should be granted only in exceptional cases, and that they must comply with UNDP policies and procedures. Any advance which represents 30% or more of the proposed total contract value must be cleared by the Office of Finance and Administration prior to contract signature, with the exception of contracts below \$50,000.

¹¹ Under this Section, you may propose special clauses in order to adapt the model contract to the specific situation. In this sample clause 4, several clauses of common use are given. If they are not required, they should be deleted. If there are no special conditions, please choose the alternative version of 4 in order to conform to clause 1.1.

- (b) assume all risks and liabilities related to the Contractor's security, and the full implementation of the security plan.

4.1.2 UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this contract. Notwithstanding the foregoing, the Contractor shall remain solely responsible for the security of its personnel and for UNDP's property in its custody as set forth in paragraph 4.1 above.

4.2 Audits and Investigations

Each invoice paid by UNDP shall be subject to a post-payment audit by auditors, whether internal or external, of UNDP or the authorized agents of the UNDP at any time during the term of the Contract and for a period of three (3) years following the expiration or prior termination of the Contract. The UNDP shall be entitled to a refund from the Contractor for any amounts shown by such audits to have been paid by the UNDP other than in accordance with the terms and conditions of the Contract. Should the audit determine that any funds paid by UNDP have not been used as per contract clauses, the company shall reimburse such funds forthwith. Where the company fails to reimburse such funds, UNDP reserves the right to seek recovery and/or to take any other action as it deems necessary.

4.2.1 The Contractor acknowledges and agrees that, at anytime, UNDP may conduct investigations relating to any aspect of the Contract, the obligations performed under the Contract, and the operations of the Contractor generally. The right of UNDP to conduct an investigation and the Contractor's obligation to comply with such an investigation shall not lapse upon expiration or prior termination of the Contract. The Contractor shall provide its full and timely cooperation with any such inspections, post-payment audits or investigations. Such cooperation shall include, but shall not be limited to, the Contractor's obligation to make available its personnel and any documentation for such purposes and to grant to UNDP access to the Contractor's premises. The Contractor shall require its agents, including, but not limited to, the Contractor's attorneys, accountants or other advisers, to reasonably cooperate with any inspections, post-payment audits or investigations carried out by UNDP hereunder.

4.3 Anti-terrorism

The Contractor agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received under this Contract are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Contract.

4.4 The advance payment to be made upon signature of the contract by both parties is contingent upon receipt and acceptance by UNDP of a bank guarantee for the full amount of the advance payment issued by a Bank and in a form acceptable to UNDP.¹²

4.5 The amounts of the payments referred to under section 3.6 above shall be subject to a deduction of _____ **[INSERT PERCENTAGE THAT THE ADVANCE REPRESENTS OVER THE TOTAL PRICE OF THE CONTRACT]** % (... percent) of the amount accepted for payment until the cumulative amount of the deductions so effected shall equal the amount of the advance payment.¹³

¹² This clause must be used when an advance payment of \$50,000 or more is granted to the Consultant and may be used for payments under \$50,000 when appropriate. Please note that advance payments should be exceptional, whatever their amount and must comply with UNDP Financial Regulations and Rules.

¹³ This clause must be used when an advance payment is granted (whatever the amount) in a cost reimbursement contract. A payment upon signature is considered an advance payment.

4.6 Owing to [.....], Article(s) [.....] of the General Conditions in Annex I shall be amended to read/be deleted.¹⁴

5. Submission of invoices

5.1 An original invoice shall be submitted by mail by the Contractor for each payment under the Contract to the following address:

5.2 Invoices submitted by fax shall not be accepted by UNDP.

6. Time and manner of payment

6.1 Invoices shall be paid within thirty (30) days of the date of their acceptance by UNDP. UNDP shall make every effort to accept an invoice or so advise the Contractor of its non-acceptance within a reasonable time from receipt.

6.2 All payments shall be made by UNDP to the following Bank account of the Contractor:

[NAME OF THE BANK], [ACCOUNT NUMBER], [ADDRESS OF THE BANK]

7. Entry into force. Time limits.

7.1 The Contract shall enter into force upon its signature by both parties.

7.2 The Contractor shall commence the performance of the Services not later than _____ **[INSERT DATE]** and shall complete the Services within _____ **[INSERT NUMBER OF DAYS OR MONTHS]** of such commencement.

7.3 All time limits contained in this Contract shall be deemed to be of the essence in respect of the performance of the Services.

8. Modifications

8.1 Any modification to this Contract shall require an amendment in writing between both parties duly signed by the authorized representative of the Contractor and _____ **[NAME AND TITLE]** UNDP.

9. Notifications

For the purpose of notifications under the Contract, the addresses of UNDP and the Contractor are as follows:

For the UNDP:

_____ **[INSERT CONTRACT REFERENCE & NUMBER]**

For the Contractor:

[INSERT NAME, ADDRESS AND TELEX, FAX AND CABLE NUMBERS]

If the above terms and conditions meet with your agreement as they are typed in this letter and in the Contract Documents, please initial every page of this letter and its attachments and return to this office one original of this Contract, duly signed and dated.

Yours sincerely,

[INSERT NAME AND TITLE]

For **[INSERT NAME OF THE COMPANY/ORGANIZATION]**

¹⁴ This is a sample clause for the rare cases where there is a conflict with a provision of the General Conditions which does not involve privileges and immunities, arbitration or some other fundamental aspects of the UNDP legal status. All such changes to the General Conditions shall require consultation with OLPS/BOM.