



# **REQUEST FOR PROPOSALS**

**IMPACT ASSESSMENT STUDY  
WITHIN THE SCOPE OF ARDAHAN KARS ARTVIN DEVELOPMENT  
PROJECT  
UNDP-TUR-RFP (AKADP)-2017/05  
TURKEY**



**United Nations Development Programme  
AUGUST 2017**

## Section 1. Letter of Invitation

[Ankara, 03.08.2017]

**IMPACT ASSESSMENT STUDY  
WITHIN THE SCOPE OF ARDAHAN KARS ARTVIN DEVELOPMENT  
PROJECT  
UNDP-TUR-RFP(AKADP)-2017/05**

Dear Mr./Ms.:

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

This RFP includes the following documents:

- Section 1 – This Letter of Invitation
- Section 2 – Instructions to Proposers (including Data Sheet)
- Section 3 – Evaluation Methodology for Proposals
- Section 4 – Terms of Reference (incl. Annexes)
- Section 5 – Proposal Submission Form
- Section 6 – Documents Establishing the Eligibility and Qualifications of the Proposer
- Section 7 – Technical Proposal Form
- Section 8 – Financial Proposal Form
- Section 9 – Instructions for Preparation and Submission of Proposals
- Section 10 – Contract for Professional Services, including General Terms and Conditions

Your offer, comprising of a Technical and Financial Proposal, in separate sealed envelopes, should be submitted in accordance with Section 2.

You are kindly requested to submit an acknowledgment letter to UNDP to the following address:

United Nations Development Programme  
UNDP Türkiye Ofisi,  
Yukarı Dikmen Mah. Turan Güneş Bulvarı Yıldız Kule No:7 Kat:12  
06450 Cankaya/Ankara/Turkey  
Tel: +90 312 454 1100  
Attention: [Burak Eldem, Portfolio Administrator]

The letter should be received by UNDP no later than [Close of Business, 10.08.2017]. The same letter should advise whether your company intends to submit a Proposal. If that is not the case, UNDP would appreciate your indicating the reason, for our records.

If you have received this RFP through a direct invitation by UNDP, transferring this invitation to another firm requires your written notification to UNDP of such transfer and the name of the company to whom the invitation was forwarded.

Should you require further clarifications, kindly communicate with the contact person identified in the attached Data Sheet as the focal point for queries on this RFP.

UNDP looks forward to receiving your Proposal and thanks you in advance for your interest in UNDP procurement opportunities.

Yours sincerely,



Claudio Tomasi, UNDP Country Director

## Section 2: Instruction to Proposers<sup>1</sup>

### Definitions

- a) “*Contract*” refers to the agreement that will be signed by and between the UNDP and the successful proposer, all the attached documents thereto, including the General Terms and Conditions (GTC) and the Appendices.
- b) “*Country*” refers to the country indicated in the Data Sheet.
- c) “*Data Sheet*” refers to such part of the Instructions to Proposers used to reflect conditions of the tendering process that are specific for the requirements of the RFP.
- d) “*Day*” refers to calendar day.
- e) “*Government*” refers to the Government of the country that will be receiving the services provided/rendered specified under the Contract.
- f) “*Instructions to Proposers*” (Section 2 of the RFP) refers to the complete set of documents that provides Proposers with all information needed and procedures to be followed in the course of preparing their Proposals
- g) “*LOI*” (Section 1 of the RFP) refers to the Letter of Invitation sent by UNDP to Proposers.
- h) “*Material Deviation*” refers to any contents or characteristics of the proposal that is significantly different from an essential aspect or requirement of the RFP, and : (i) substantially alters the scope and quality of the requirements; (ii) limits the rights of UNDP and/or the obligations of the offeror; and (iii) adversely impacts the fairness and principles of the procurement process, such as those that compromise the competitive position of other offerors.
- i) “*Proposal*” refers to the Proposer’s response to the Request for Proposal, including the Proposal Submission Form, Technical and Financial Proposal and all other documentation attached thereto as required by the RFP.
- j) “*Proposer*” refers to any legal entity that may submit, or has submitted, a Proposal for the provision of services requested by UNDP through this RFP.
- k) “*RFP*” refers to the Request for Proposals consisting of instructions and references prepared by UNDP for purposes of selecting the best service provider to perform the services described in the Terms of Reference.
- l) “*Services*” refers to the entire scope of tasks and deliverables requested by UNDP under the RFP.

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<sup>1</sup> Note: this Section 2 - Instructions to Proposers shall not be modified in any way. Any necessary changes to address specific country and project information, shall be introduced only through the Data Sheet..

- m) *“Supplemental Information to the RFP”* refers to a written communication issued by UNDP to prospective Proposers containing clarifications, responses to queries received from prospective Proposers, or changes to be made in the RFP, at any time after the release of the RFP but before the deadline for the submission of Proposals.
- n) *“Terms of Reference”* (TOR) refers to the document included in this RFP as Section 3 which describes the objectives, scope of services, activities, tasks to be performed, respective responsibilities of the proposer, expected results and deliverables and other data pertinent to the performance of the range of duties and services expected of the successful proposer.

## A. GENERAL

1. UNDP hereby solicits Proposals in response to this Request for Proposal (RFP). Proposers must strictly adhere to all the requirements of this RFP. No changes, substitutions or other alterations to the rules and provisions stipulated in this RFP may be made or assumed unless it is instructed or approved in writing by UNDP in the form of Supplemental Information to the RFP.
2. Submission of a Proposal shall be deemed as an acknowledgement by the Proposer that all obligations stipulated by this RFP will be met and, unless specified otherwise, the Proposer has read, understood and agreed to all the instructions in this RFP.
3. Any Proposal submitted will be regarded as an offer by the Proposer and does not constitute or imply the acceptance of any Proposal by UNDP. UNDP is under no obligation to award a contract to any Proposer as a result of this RFP.
4. UNDP implements a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical practices, and obstruction. UNDP is committed to preventing, identifying and addressing all acts of fraud and corrupt practices against UNDP as well as third parties involved in UNDP activities. (See [http://www.undp.org/about/transparencycdocs/UNDP\\_Anti\\_Fraud\\_Policy\\_English\\_FINAL\\_june\\_2011.pdf](http://www.undp.org/about/transparencycdocs/UNDP_Anti_Fraud_Policy_English_FINAL_june_2011.pdf) and [http://www.undp.org/content/undp/en/home/operations/procurement/procurement\\_protest/](http://www.undp.org/content/undp/en/home/operations/procurement/procurement_protest/) for full description of the policies)
5. In responding to this RFP, UNDP requires all Proposers to conduct themselves in a professional, objective and impartial manner, and they must at all times hold UNDP’s interests paramount. Proposers must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. All Proposers found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Proposers, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this solicitation process, if they:

**5.1 Are or have been associated in the past, with a firm or any of its affiliates which have been engaged UNDP to provide services for the preparation of the design, specifications, Terms of Reference,**

cost analysis/estimation, and other documents to be used for the procurement of the goods and services in this selection process;

**5.2 Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or**

**5.3 Are found to be in conflict for any other reason, as may be established by, or at the discretion of, UNDP.**

In the event of any uncertainty in the interpretation of what is potentially a conflict of interest, proposers must disclose the condition to UNDP and seek UNDP's confirmation on whether or not such conflict exists.

6. Similarly, the Proposers must disclose in their proposal their knowledge of the following :

**6.1 That they are owners, part-owners, officers, directors, controlling shareholders, or they have key personnel who are family of UNDP staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this RFP; and**

**6.2 All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.**

**Failure of such disclosure may result in the rejection of the proposal or proposals affected by the non-disclosure.**

7. The eligibility of Proposers that are wholly or partly owned by the Government shall be subject to UNDP's further evaluation and review of various factors such as being registered as an independent entity, the extent of Government ownership/share, receipt of subsidies, mandate, access to information in relation to this RFP, and others that may lead to undue advantage against other Proposers, and the eventual rejection of the Proposal.

8. All Proposers must adhere to the UNDP Supplier Code of Conduct, which may be found at this link: <http://web.ng.undp.org/procurement/undp-supplier-code-of-conduct.pdf>

## **B. CONTENTS OF PROPOSAL**

### **9. Sections of Proposal**

Proposers are required to complete, sign and submit the following documents:

- 9.1 Proposal Submission Cover Letter Form (see RFP Section 5);
- 9.2 Documents Establishing the Eligibility and Qualifications of the Proposer (see RFP Section 6);
- 9.3 Technical Proposal (see prescribed form in RFP Section 7);
- 9.4 Financial Proposal (see prescribed form in RFP Section 8);
- 9.5 Proposal Security, if applicable (if required and as stated in the Data Sheet (DS nos. 9-11), see prescribed Form in RFP Section 9);
- 9.6 Any attachments and/or appendices to the Proposal.

## 10. Clarification of Proposal

- 10.1 Proposers may request clarifications of any of the RFP documents no later than the date indicated in the **Data Sheet** (DS no. 16) prior to the proposal submission date. Any request for clarification must be sent in writing via courier or through electronic means to the UNDP address indicated in the **Data Sheet** (DS no. 17). UNDP will respond in writing, transmitted by electronic means and will transmit copies of the response (including an explanation of the query but without identifying the source of inquiry) to all Proposers who have provided confirmation of their intention to submit a Proposal.
- 10.2 UNDP shall endeavor to provide such responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of UNDP to extend the submission date of the Proposals, unless UNDP deems that such an extension is justified and necessary.

## 11. Amendment of Proposals

- 11.1 At any time prior to the deadline of Proposal submission, UNDP may for any reason, such as in response to a clarification requested by a Proposer, modify the RFP in the form of a Supplemental Information to the RFP. All prospective Proposers will be notified in writing of all changes/amendments and additional instructions through Supplemental Information to the RFP and through the method specified in the **Data Sheet** (DS No. 18).
- 11.2 In order to afford prospective Proposers reasonable time to consider the amendments in preparing their Proposals, UNDP may, at its discretion, extend the deadline for submission of Proposals, if the nature of the amendment to the RFP justifies such an extension.

## C. PREPARATION OF PROPOSALS

### 12. Cost

The Proposer shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. UNDP shall in no case be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.

### 13. Language

The Proposal, as well as any and all related correspondence exchanged by the Proposer and UNDP, shall be written in the language (s) specified in the **Data Sheet** (DS No 4). Any printed literature furnished by the Proposer written in a language other than the language indicated in the **Data Sheet**, must be accompanied by a translation in the preferred language indicated in the **Data Sheet**. For purposes of interpretation of the Proposal, and in the event of discrepancy or inconsistency in meaning, the version translated into the preferred language shall govern. Upon conclusion of a contract, the language of the contract shall govern the relationship between the contractor and UNDP.

#### 14. Proposal Submission Form

The Proposer shall submit the Proposal Submission Form using the form provided in Section 4 of this RFP.

#### 15. Technical Proposal Format and Content

Unless otherwise stated in the **Data Sheet** (DS no. 28), the Proposer shall structure the Technical Proposal as follows:

15.1 Expertise of Firm/Organization – this section should provide details regarding management structure of the organization, organizational capability/resources, and experience of organization/firm, the list of projects/contracts (both completed and on-going, both domestic and international) which are related or similar in nature to the requirements of the RFP, and proof of financial stability and adequacy of resources to complete the services required by the RFP (see RFP clause 18 and DS No. 26 for further details). The same shall apply to any other entity participating in the RFP as a Joint Venture or Consortium.

15.2 Proposed Methodology, Approach and Implementation Plan – this section should demonstrate the Proposer's response to the Terms of Reference by identifying the specific components proposed, how the requirements shall be addressed, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; identifying the works/portions of the work that will be subcontracted; and demonstrating how the proposed methodology meets or exceeds the specifications, while ensuring appropriateness of the approach to the local conditions and the rest of the project operating environment. This methodology must be laid out in an implementation timetable that is within the duration of the contract as specified in the **Data Sheet** (DS nos. 29 and 30).

Proposers must be fully aware that the products or services that UNDP requires may be transferred, immediately or eventually, by UNDP to the Government partners, or to an entity nominated by the latter, in accordance with UNDP's policies and procedures. All proposers are therefore required to submit the following in their proposals :

- a) A statement of whether any import or export licences are required in respect of the goods to be purchased or services to be rendered, including any restrictions in the country of origin, use or dual use nature of the goods or services, including any disposition to end users; and
- b) Confirmation that the Proposer has obtained license of this nature in the past, and have an expectation of obtaining all the necessary licenses, should their Proposal be rendered the most responsive.

15.3 Management Structure and Key Personnel – This section should include the comprehensive curriculum vitae (CVs) of key personnel that will be assigned to support the implementation of the proposed methodology, clearly defining the roles and responsibilities vis-à-vis the proposed methodology. CVs should establish competence and demonstrate qualifications in areas relevant to the TOR.



In complying with this section, the Proposer assures and confirms to UNDP that the personnel being nominated are available for the Contract on the dates proposed. If any of the key personnel later becomes unavailable, except for unavoidable reasons such as death or medical incapacity, among other possibilities, UNDP reserves the right to consider the proposal non-responsive. Any deliberate substitution arising from unavoidable reasons, including delay in the implementation of the project of programme through no fault of the Proposer shall be made only with UNDP's acceptance of the justification for substitution, and UNDP's approval of the qualification of the replacement who shall be either of equal or superior credentials as the one being replaced.

15.4 Where the **Data Sheet** requires the submission of the Proposal Security, the Proposal Security shall be included along with the Technical Proposal. The Proposal Security may be forfeited by UNDP, and reject the Proposal, in the event of any or any combination of the following conditions:

- a) If the Proposer withdraws its offer during the period of the Proposal Validity specified in the **Data Sheet** (DS no. 11), or;
- b) If the Proposal Security amount is found to be less than what is required by UNDP as indicated in the **Data Sheet** (DS no. 9), or;
- c) In the case the successful Proposer fails:
  - i. to sign the Contract after UNDP has awarded it;
  - ii. to comply with UNDP's variation of requirement, as per RFP clause 35; or
  - iii. to furnish Performance Security, insurances, or other documents that UNDP may require as a condition to rendering the effectivity of the contract that may be awarded to the Proposer.

## 16. Financial Proposals

The Financial Proposal shall be prepared using the attached standard form (Section 7). It shall list all major cost components associated with the services, and the detailed breakdown of such costs. All outputs and activities described in the Technical Proposal must be priced separately on a one-to-one correspondence. Any output and activities described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, as well as in the final total price.

## 17. Currencies

All prices shall be quoted in the currency indicated in the **Data Sheet** (DS no. 15). However, where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:

- a) UNDP will convert the currency quoted in the Proposal into the UNDP preferred currency, in accordance with the prevailing UN operational rate of exchange on the last day of submission of Proposals; and
- b) In the event that the proposal found to be the most responsive to the RFP requirement is quoted in another currency different from the preferred currency as per **Data Sheet** (DS no. 15), then UNDP shall reserve the right to award the contract in the currency of UNDP's

preference, using the conversion method specified above.

Proposals submitted by two (2) or more Proposers shall all be rejected if they are found to have any of the following :

- a) they have at least one controlling partner, director or shareholder in common; or
- b) any one of them receive or have received any direct or indirect subsidy from the other/s; or
- c) they have the same legal representative for purposes of this RFP; or
- d) they have a relationship with each other, directly or through common third parties, that puts them in a position to have access to information about, or influence on the Proposal of, another Proposer regarding this RFP process;
- e) they are subcontractors to each other's Proposal, or a subcontractor to one Proposal also submits another Proposal under its name as lead Proposer; or
- f) an expert proposed to be in the team of one Proposer participates in more than one Proposal received for this RFP process. This condition does not apply to subcontractors being included in more than one Proposal.

#### **18. Documents Establishing the Eligibility and Qualifications of the Proposer**

The Proposer shall furnish documentary evidence of its status as an eligible and qualified vendor, using the forms provided under Section 5, Proposer Information Forms. In order to award a contract to a Proposer, its qualifications must be documented to UNDP's satisfaction. These include, but are not limited to, the following:

- a) That, in the case of a Proposer offering to supply goods under the Contract which the Proposer did not manufacture or otherwise produce, the Proposer has been duly authorized by the goods' manufacturer or producer to supply the goods in the country of final destination;
- b) That the Proposer has the financial, technical, and production capability necessary to perform the Contract; and
- c) That, to the best of the Proposer's knowledge, it is not included in the UN 1267/1989 List or the UN Ineligibility List, nor in any and all of UNDP's list of suspended and removed vendors.

#### **19. Joint Venture, Consortium or Association**

If the Proposer is a group of legal entities that will form or have formed a joint venture, consortium or association at the time of the submission of the Proposal, they shall confirm in their Proposal that : (i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the joint venture jointly and severally, and this shall be duly evidenced by a duly notarized Agreement among the legal entities, which shall be submitted along with the Proposal; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNDP and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.

After the Proposal has been submitted to UNDP, the lead entity identified to represent the joint venture shall not be altered without the prior written consent of UNDP. Furthermore, neither the lead entity nor the member entities of the joint venture can:

- a) Submit another proposal, either in its own capacity; nor

- b) As a lead entity or a member entity for another joint venture submitting another Proposal.

The description of the organization of the joint venture/consortium/association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the Joint Venture Agreement. All entities that comprise the joint venture shall be subject to the eligibility and qualification assessment by UNDP.

Where a joint venture is presenting its track record and experience in a similar undertaking as those required in the RFP, it should present such information in the following manner:

- a) Those that were undertaken together by the joint venture; and
- b) Those that were undertaken by the individual entities of the joint venture expected to be involved in the performance of the services defined in the RFP.

Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the joint venture or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.

If a joint venture's Proposal is determined by UNDP as the most responsive Proposal that offers the best value for money, UNDP shall award the contract to the joint venture, in the name of its designated lead entity. The lead entity shall sign the contract for and on behalf of all other member entities.

## **20. Alternative Proposals**

Unless otherwise specified in the **Data Sheet** (DS nos. 5 and 6), alternative proposals shall not be considered. Where the conditions for its acceptance are met, or justifications are clearly established, UNDP reserves the right to award a contract based on an alternative proposal.

## **21. Validity Period**

Proposals shall remain valid for the period specified in the **Data Sheet** (DS no. 8), commencing on the submission deadline date also indicated in the **Data Sheet** (DS no. 21). A Proposal valid for a shorter period shall be immediately rejected by UNDP and rendered non-responsive.

In exceptional circumstances, prior to the expiration of the proposal validity period, UNDP may request Proposers to extend the period of validity of their Proposals. The request and the responses shall be made in writing, and shall be considered integral to the Proposal.

## **22. Proposer's Conference**

When appropriate, a proposer's conference will be conducted at the date, time and location specified in the **Data Sheet** (DS no. 7). All Proposers are encouraged to attend. Non-attendance, however, shall not result in disqualification of an interested Proposer. Minutes of the proposer's conference will be either posted on the UNDP website, or disseminated to the individual firms who have registered or expressed interest with the contract, whether or not they attended the conference. No verbal statement made during the conference shall modify the terms and

conditions of the RFP unless such statement is specifically written in the Minutes of the Conference, or issued/posted as an amendment in the form of a Supplemental Information to the RFP.

## D. SUBMISSION AND OPENING OF PROPOSALS

### 23. Submission

- 23.1 The Financial Proposal and the Technical Proposal Envelopes MUST BE COMPLETELY SEPARATE and each of them must be submitted sealed individually and clearly marked on the outside as either “TECHNICAL PROPOSAL” or “FINANCIAL PROPOSAL”, as appropriate. Each envelope MUST clearly indicate the name of the Proposer. The outer envelopes shall bear the address of UNDP as specified in the **Data Sheet** (DS no.20) and shall include the Proposer’s name and address, as well as a warning that state “*not to be opened before the time and date for proposal opening*” as specified in the **Data Sheet** (DS no. 24). The Proposer shall assume the responsibility for the misplacement or premature opening of Proposals due to improper sealing and labeling by the Proposer.
- 23.2 Proposers must submit their Proposals in the manner specified in the **Data Sheet** (DS nos. 22 and 23). When the Proposals are expected to be in transit for more than 24 hours, the Proposer must ensure that sufficient lead time has been provided in order to comply with UNDP’s deadline for submission. UNDP shall indicate for its record that the official date and time of receiving the Proposal is the actual date and time when the said Proposal has physically arrived at the UNDP premises indicated in the **Data Sheet** (DS no. 20).
- 23.3 Proposers submitting Proposals by mail or by hand shall enclose the original and each copy of the Proposal, in separate sealed envelopes, duly marking each of the envelopes as “Original Proposal” and “Copy of Proposal” as appropriate. The 2 envelopes shall then be sealed in an outer envelope. The number of copies required shall be as specified in the **Data Sheet** (DS No. 19). In the event of any discrepancy between the contents of the “Original Proposal” and the “Copy of Proposal”, the contents of the original shall govern. The original version of the Proposal shall be signed or initialed by the Proposer or person(s) duly authorized to commit the Proposer on every page. The authorization shall be communicated through a document evidencing such authorization issued by the highest official of the firm, or a Power of Attorney, accompanying the Proposal.
- 23.4 Proposers must be aware that the mere act of submission of a Proposal, in and of itself, implies that the Proposer accepts the General Contract Terms and Conditions of UNDP as attached hereto as Section 11.

### 24. Deadline for Submission of Proposals and Late Proposals

Proposals must be received by UNDP at the address and no later than the date and time specified in the **Data Sheet** (DS nos. 20 and 21).

UNDP shall not consider any Proposal that arrives after the deadline for submission of Proposals. Any Proposal received by UNDP after the deadline for submission of Proposals shall be declared late, rejected, and returned unopened to the Proposer.

## **25. Withdrawal, Substitution, and Modification of Proposals**

- 25.1 Proposers are expected to have sole responsibility for taking steps to carefully examine in detail the full consistency of its Proposals to the requirements of the RFP, keeping in mind that material deficiencies in providing information requested by UNDP, or lack clarity in the description of services to be provided, may result in the rejection of the Proposal. The Proposer shall assume the responsibility regarding erroneous interpretations or conclusions made by the Proposer in the course of understanding the RFP out of the set of information furnished by UNDP.
- 25.2 A Proposer may withdraw, substitute or modify its Proposal after it has been submitted by sending a written notice in accordance with Clause 23.1, duly signed by an authorized representative, and shall include a copy of the authorization (or a Power of Attorney). The corresponding substitution or modification of the Proposal must accompany the respective written notice. All notices must be received by UNDP prior to the deadline for submission and submitted in accordance with RFP Clause 23.1 (except that withdrawal notices do not require copies). The respective envelopes shall be clearly marked "WITHDRAWAL," "SUBSTITUTION," or "MODIFICATION".
- 25.3 Proposals requested to be withdrawn shall be returned unopened to the Proposers.
- 25.4 No Proposal may be withdrawn, substituted, or modified in the interval between the deadline for submission of Proposals and the expiration of the period of proposal validity specified by the Proposer on the Proposal Submission Form or any extension thereof.

## **26. Proposal Opening**

UNDP will open the Proposals in the presence of an ad-hoc committee formed by UNDP of at least two (2) members. If electronic submission is permitted, any specific electronic proposal opening procedures shall be as specified in the **Data Sheet** (DS no. 23).

The Proposers' names, modifications, withdrawals, the condition of the envelope labels/seals, the number of folders/files and all other such other details as UNDP may consider appropriate, will be announced at the opening. No Proposal shall be rejected at the opening stage, except for late submission, for which the Proposal shall be returned unopened to the Proposer.

## **27. Confidentiality**

Information relating to the examination, evaluation, and comparison of Proposals, and the recommendation of contract award, shall not be disclosed to Proposers or any other persons not officially concerned with such process, even after publication of the contract award.

Any effort by a Proposer to influence UNDP in the examination, evaluation and comparison of the Proposals or contract award decisions may, at UNDP's decision, result in the rejection of its Proposal.

In the event that a Proposer is unsuccessful, the Proposer may seek a meeting with UNDP for a debriefing. The purpose of the debriefing is discussing the strengths and weaknesses of the Proposer's submission, in order to assist the Proposer in improving the proposals presented to UNDP. The content of other proposals and how they compare to the Proposer's submission shall not be discussed.

## **E. EVALUATION OF PROPOSALS**

### **28. Preliminary Examination of Proposals**

UNDP shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, whether or not the Proposer is in the UN Security Council 1267/1989 Committee's list of terrorists and terrorist financiers, and in UNDP's list of suspended and removed vendors, and whether the Proposals are generally in order, among other indicators that may be used at this stage. UNDP may reject any Proposal at this stage.

### **29. Evaluation of Proposals**

29.1 UNDP shall examine the Proposal to confirm that all terms and conditions under the UNDP General Terms and Conditions and Special Conditions have been accepted by the Proposer without any deviation or reservation.

29.2 The evaluation team shall review and evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and other documentation provided, applying the evaluation criteria, sub-criteria, and point system specified in the **Data Sheet** (DS no. 32). Each responsive Proposal will be given a technical score. A Proposal shall be rendered non-responsive at this stage if it does not substantially respond to the RFP particularly the demands of the Terms of Reference, which also means that it fails to achieve the minimum technical score indicated in the **Data Sheet** (DS no. 25). Absolutely no changes may be made by UNDP in the criteria, sub-criteria and point system indicated in the **Data Sheet** (DS no. 32) after all Proposals have been received.

29.3 In the second stage, only the Financial Proposals of those Proposers who achieve the minimum technical score will be opened for evaluation for comparison and review. The Financial Proposal Envelopes corresponding to Proposals that did not meet the minimum passing technical score shall be returned to the Proposer unopened. The overall evaluation score will be based either on a combination of the technical score and the financial offer, or the lowest evaluated financial proposal of the technically qualified Proposers. The evaluation method that applies for this RFP shall be as indicated in the **Data Sheet** (DS No. 2).

When the Data Sheet specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:

Rating the Technical Proposal (TP):

$$\text{TP Rating} = (\text{Total Score Obtained by the Offer} / \text{Max. Obtainable Score for TP}) \times 100$$

Rating the Financial Proposal (FP):

$$\text{FP Rating} = (\text{Lowest Priced Offer} / \text{Price of the Offer Being Reviewed}) \times 100$$

Total Combined Score:

$$\begin{aligned} & (\text{TP Rating}) \times (\text{Weight of TP, e.g. 70\%}) \\ & + (\text{FP Rating}) \times (\text{Weight of FP, e.g., 30\%}) \end{aligned}$$

**Total Combined and Final Rating of the Proposal**

29.4 UNDP reserves the right to undertake a post-qualification exercise aimed at determining, to its satisfaction the validity of the information provided by the Proposer. Such post-qualification shall be fully documented and, among those that may be listed in the **Data Sheet** (DS No.33), may include, but need not be limited to, all or any combination of the following :

- a) Verification of accuracy, correctness and authenticity of information provided by the Proposer on the legal, technical and financial documents submitted;
- b) Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team;
- c) Inquiry and reference checking with Government entities with jurisdiction on the Proposer, or any other entity that may have done business with the Proposer;
- d) Inquiry and reference checking with other previous clients on the quality of performance on ongoing or previous contracts completed;
- e) Physical inspection of the Proposer's offices, branches or other places where business transpires, with or without notice to the Proposer;
- f) Quality assessment of ongoing and completed outputs, works and activities similar to the requirements of UNDP, where available; and
- g) Other means that UNDP may deem appropriate, at any stage within the selection process, prior to awarding the contract.

### **30. Clarification of Proposals**

To assist in the examination, evaluation and comparison of Proposals, UNDP may, at its discretion, ask any Proposer for a clarification of its Proposal.

UNDP's request for clarification and the response shall be in writing. Notwithstanding the written communication, no change in the prices or substance of the Proposal shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNDP in the evaluation of the Proposals, in accordance with RFP Clause 32.

Any unsolicited clarification submitted by a Proposer in respect to its Proposal, which is not a response to a request by UNDP, shall not be considered during the review and evaluation of the Proposals.

### **31. Responsiveness of Proposal**

UNDP's determination of a Proposal's responsiveness will be based on the contents of the Proposal itself.

A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.

If a Proposal is not substantially responsive, it shall be rejected by UNDP and may not subsequently be made responsive by the Proposer by correction of the material deviation, reservation, or omission.

### **32. Nonconformities, Reparable Errors and Omissions**

Provided that a Proposal is substantially responsive, UNDP may waive any non-conformities or omissions in the Proposal that, in the opinion of UNDP, do not constitute a material deviation.

Provided that a Proposal is substantially responsive, UNDP may request the Proposer to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Proposer to comply with the request may result in the rejection of its Proposal.

Provided that the Proposal is substantially responsive, UNDP shall correct arithmetical errors as follows:

- a) **if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total shall be corrected, unless in the opinion of UNDP there is an obvious misplacement of the decimal point in the unit price, in which case the line item total as quoted shall govern and the unit price shall be corrected;**
- b) **if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected; and**
- c) **if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail subject to the above.**

If the Proposer does not accept the correction of errors made by UNDP, its Proposal shall be rejected.



## **F. AWARD OF CONTRACT**

### **33. Right to Accept, Reject, or Render Non-Responsive Any or All Proposals**

UNDP reserves the right to accept or reject any Proposal, to render any or all of the Proposals as non-responsive, and to reject all Proposals at any time prior to award of contract, without incurring any liability, or obligation to inform the affected Proposer(s) of the grounds for UNDP's action. Furthermore, UNDP shall not be obliged to award the contract to the lowest price offer.

UNDP shall also verify, and immediately reject their respective Proposal, if the Proposers are found to appear in the UN's Consolidated List of Individuals and Entities with Association to Terrorist Organizations, in the List of Vendors Suspended or Removed from the UN Secretariat Procurement Division Vendor Roster, the UN Ineligibility List, and other such lists that as may be established or recognized by UNDP policy on Vendor Sanctions. (See [http://www.undp.org/content/undp/en/home/operations/procurement/procurement\\_protest/](http://www.undp.org/content/undp/en/home/operations/procurement/procurement_protest/) for details)

### **34. Award Criteria**

Prior to expiration of the period of proposal validity, UNDP shall award the contract to the qualified Proposer with the highest total score based on the evaluation method indicated in the **Data Sheet** (DS nos. 25 and 32).

### **35. Right to Vary Requirements at the Time of Award**

At the time of award of Contract, UNDP reserves the right to vary the quantity of services and/or goods, by up to a maximum twenty five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.

### **36. Contract Signature**

Within fifteen (15) days from the date of receipt of the Contract, the successful Proposer shall sign and date the Contract and return it to UNDP.

Failure of the successful Proposer to comply with the requirement of RFP Clause 35 and this provision shall constitute sufficient grounds for the annulment of the award, and forfeiture of the Proposal Security if any, and on which event, UNDP may award the Contract to the Proposer with the second highest rated Proposal, or call for new Proposals.

### **37. Performance Security**

A performance security, if required, shall be provided in the amount and form provided in Section 9 and by the deadline indicated in the **Data Sheet** (DS no. 14), as applicable. Where a Performance Security will be required, the submission of the said document, and the confirmation of its acceptance by UNDP, shall be a condition for the effectivity of the Contract that will be signed by

and between the successful Proposer and UNDP.

### **38. Bank Guarantee for Advanced Payment**

Except when the interests of UNDP so require, it is the UNDP's preference to make no advanced payment(s) on contracts (i.e., payments without having received any outputs). In the event that the Proposer requires an advanced payment upon contract signature, and if such request is duly accepted by UNDP, and the said advanced payment exceeds 20% of the total proposal price, or exceed the amount of USD 30,000, UNDP shall require the Proposer to submit a Bank Guarantee in the same amount as the advanced payment. A bank guarantee for advanced payment shall be furnished in the form provided in Section 10.

### **39. Vendor Protest**

UNDP's vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a purchase order or contract through a competitive procurement process. In the event that a Proposer believes that it was not treated fairly, the following link provides further details regarding UNDP vendor protest procedures:

<http://www.undp.org/procurement/protest.shtml>

## Instructions to Proposers

### DATA SHEET

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

DS No. <sup>2</sup>	Cross Ref. to Instructions	Data	Specific Instructions / Requirements
1		Project Title :	Ardahan Kars Artvin Development Project
2		Title of Services/Work:	Impact Assessment Study
3		Country / Region of Work Location:	Turkey / Ankara and project locations (Ardahan Kars and Artvin)
4	C.13	Language of the Proposal:	English
5	C.20	Conditions for Submitting Proposals for Parts or sub-parts of the TOR	Not allowed
6	C.20	Conditions for Submitting Alternative Proposals	Shall not be considered
7	C.22	A pre-proposal conference will be held on:	N/A
8	C.21	Period of Proposal Validity commencing on the submission date	60 days
9	B.9.5 C.15.4 b)	Proposal Security	Not Required
10	B.9.5	Acceptable forms of Proposal	N/A

<sup>2</sup> All DS number entries in the Data Sheet are cited as reference in the Instructions to Proposers. All DS nos. corresponding to a Data must not be modified. Only information on the 3<sup>rd</sup> column may be modified by the user. If the information does not apply, the 3<sup>rd</sup> column must state "N/A" but must not be deleted.

		Security <sup>3</sup>	
11	B.9.5 C.15.4 a)	Validity of Proposal Security	N/A
12		Advanced Payment upon signing of contract	Not allowed
13		Liquidated Damages	Will not be imposed.
14	F.37	Performance Security	Not Required
15	C.17, C.17 b)	Preferred Currency of Proposal and Method for Currency conversion	Local Currency: Turkish Liras <i>US Dollar UN Operational Exchange Rate is 3.5288-USD/TRY for AUGUST 2017</i>
16	B.10.1	Deadline for submitting requests for clarifications/ questions	5 days before the submission date.
17	B.10.1	Contact Details for submitting clarifications/questions <sup>4</sup>	UNDP Türkiye Ofisi, Yukarı Dikmen Mah. Turan Güneş Bulvarı Yıldız Kule No:7 06450 Cankaya/Ankara/Turkey Tel: +90 312 454 1100 Attention: Burak Eldem, Portfolio Administrator, UNDP
18	B.11.1	Manner of Disseminating Supplemental Information to the RFP and responses/clarifications to queries	Direct communication to prospective Proposers who submit an Acknowledgement Letter by e-mail or fax, and posting on the websites <sup>5</sup> : 1-www.tr.undp.org 2-www.ungm.org 3-www.undp.org
19	D.23.3	No. of copies of Proposal that must be submitted [if transmitted by courier]	Original : 1 Copies: One soft copy and one hard copy (in pdf format) of Technical Proposal shall be submitted in USB. <b>(please</b>

<sup>3</sup> Surety bonds or other instruments issued by non-bank Financial Institutions are least preferred by UNDP. Unless stated otherwise, they shall be considered unacceptable to UNDP.

<sup>4</sup> 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 officially received.

<sup>5</sup> Posting on the website shall be supplemented by directly transmitting the communication to the prospective Proposers.

			<b>submit Financial Proposals as per D.23 of Instructions to Proposers Section)</b>
20	D.23.1 D.23.2 D.24	Proposal Submission Address	UNDP Türkiye Ofisi, Yukarı Dikmen Mah. Turan Güneş Bulvarı Yıldız Kule No:7 06450 Cankaya/Ankara/Turkey Tel: +90 312 454 1100
21	C.21 D.24	Deadline of Submission	Date : 21.08.2017 Time : 17:00
22	D.23.2	Allowable Manner of Submitting Proposals	Courier/Hand Delivery
23	D.23.2 D.26	Conditions and Procedures for electronic submission and opening, if allowed	Electronic submission of proposals is not allowed.
24	D.23.1	Date, time and venue for opening of Proposals	N/A
25	E.29.2 E.29.3 F.34	Evaluation method to be used in selecting the most responsive Proposal	<p>The evaluation shall be made on the basis of the following, as detailed in Section 3 of this RFP:</p> <ol style="list-style-type: none"> <li>1. Meeting the PASS/FAIL CRITERIA.</li> <li>2. Combined Scoring Method for the Proposers who have met all PASS/FAIL CRITERIA and SUBCRITERIA, using the 70%-30% distributions for Technical and Financial Proposals, respectively.</li> </ol> <p>For a Proposer to be determined as “technically qualified”, that Proposer should secure at least 70% of total maximum attainable technical scores.</p> <p>At the end of the above described evaluation process, the technically qualified Proposers shall be identified and ranked according to their combined scores (technical+financial). The Proposer which secures the highest combined score shall be considered for contract award.</p>
26	C.15.1	Required Documents that must be Submitted to Establish Qualification of Proposers (In “Certified True Copy” form only)	At least two (2) Statement of Satisfactory Performance / reference letters signed by the top clients in terms of Contract Value in the past 5 years for the <b><u>similar assignments</u></b> (2012, 2013, 2014, 2015, 2016). Documents without stamp and signature of the clients or any alternative documents (such as contract copies, etc.) that do not represent any

			information regarding the performance of the Proposer will not be considered.
27		Other documents that may be Submitted to Establish Eligibility	N/A
28	C.15	Structure of the Technical Proposal ( <i>only if different from the provision of Section 12</i> )	Please refer to Section 7.
29	C.15.2	Latest Expected date for commencement of Contract	<b>September 2017</b>
30	C.15.2	Expected duration of contract (Target Commencement Date and Completion Date)	September 2017-October 2017. (Please refer to Timelines Section of the ToR)
31		UNDP will award the contract to:	One Proposer only
32	E.29.2 F.34	Criteria for the Award of Contract and Evaluation of Proposals	<p>The overall evaluation score will be based on a combination of the technical score and the financial offer. The eligible Proposer who secures the highest cumulative score will be considered for the award of contract.</p> <p>The weight of the Technical Proposal is 70% and the weight of the Financial Proposal is 30%. Please refer to Technical Evaluation Grid provided in Section 3. For a Proposer to be determined as “technically qualified”, that Proposer should secure at least 70% of total maximum attainable technical scores.</p> <p>The “Grand Total” amount to be quoted by the Proposers in Section 8 shall be the basis of Financial Evaluation. Please also see Item 37 on Page 23.</p>
33	E.29.4	Post-Qualification Actions	<input type="checkbox"/> N/A
34		Conditions for Determining Contract Effectivity	Upon signature of the contract by both parties
35		Payment	<p><b>The contractor will receive the full payment at the end of the completion of the assignment.</b></p> <p>In order for a deliverable to be accepted by UNDP, all relevant tasks listed in the TOR must be completed by the Contractor.</p>

			In case of non-acceptance by UNDP of a deliverable (due to incompliance with the TOR), the Contractor shall not be entitled to receive any amount from UNDP even if it invests time and human resources.
36		Taxation	<p>UN and its subsidiary organs are exempt from all taxes. Therefore, Proposers shall prepare their Financial Proposals, excluding VAT.</p> <p>It is the Proposer's responsibility to learn from relevant authorities (Ministry of Finance) and/or to review/confirm published procedures and to consult with a certified financial consultant as needed, to confirm the scope and procedures of VAT exemption application as per VAT Law and Ministry of Finance's Communiqués.</p>
37		<p>Required Documents That <u>should be</u> Submitted to Establish qualification of Proposers.</p> <p>Failure to submit any one of these documents may lead to disqualification of the proposer(s).</p> <p><b>UNDP reserves the right to request original or notarized copies of the listed documents at any phase during the evaluation process.</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Section 7 and 8 of the RFP is fully completed, and signed by the Proposer.</li> <li><input type="checkbox"/> Certificate of Registration of the business which evidences that the bidder has been legally established including Articles of Incorporation, that demonstrates the year of establishment of the business, articles of association, shareholders etc. (In Turkey, this corresponds to the Trade Registry Gazette if the business as updated/revised its articles of association and/or the shareholders, the trade registry gazette(s) that demonstrate(s) the most updated information on these matters should be provided as well).</li> <li><input type="checkbox"/> Any official document that demonstrates that the Proposer is operational at the time of the submission of the Proposal (Proposers registered in Turkey shall submit the document obtained from Chamber of Commerce).</li> <li><input type="checkbox"/> Power of Attorney (required in case the Proposal signed by a person who is not clearly identified as the authorized representative of the Proposer in the Certificate of Registration document).</li> <li><input type="checkbox"/> Official Letter of Appointment (required if the Proposal is signed by another person who is not indicated in the registration document or power of attorney).</li> </ul>
38		Other Information Related to the RFP <sup>6</sup>	1-Please also refer to Section 9- Instructions for preparation and submission of proposals.

<sup>6</sup> Where the information is available in the web, a URL for the information may simply be provided.

			2-JVs and Consortiums are not eligible to submit proposals in response to this RFP.
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## SECTION 3. EVALUATION METHODOLOGY FOR PROPOSALS

### 3.1. PASS/FAIL ELIGIBILITY CRITERIA (PROPOSERS MUST SATISFY THE CRITERIA BELOW)

#	Pass/Fail Eligibility Criteria	Pass	Fail
1	At least two (2) Statement of Satisfactory Performance / reference letters signed by the top clients in terms of Contract Value in the past 5 years for the <u>similar assignments</u> (2012, 2013, 2014, 2015, 2016). Documents without signature of the clients or any replacement documents (such as contract copies, etc.) that does not represent any information regarding the performance of the Proposer will not be considered.		

***Failure to meet above pass/fail eligibility criteria shall lead to automatic disqualification of a proposer and his proposal will not be subjected to any further evaluation.***

### 3.2. ADMINISTRATIVE CRITERIA

#	Administrative Criteria	Yes	No
1	Section 7 and Section 8 are fully completed, stamped and signed by the authorized representative of the Proposer without any reservations.		
2	Certificate of Registration of the business which evidences that the bidder has been legally established including Articles of Incorporation, that demonstrates the year of establishment of the business, articles of association, shareholders etc. (In Turkey, this corresponds to the Trade Registry Gazette if the business as updated/revised its articles of association and/or the shareholders, the trade registry gazette(s) that demonstrate(s) the most updated information on these matters should be provided as well).		
3	Any official document demonstrates that the Proposer is operational at the time of the submission of the Proposal (Proposers registered in Turkey shall submit the document obtained from Chamber of Commerce).		
4	Power of Attorney (required in case the proposal signed by a person who is not clearly identified as the authorized presentative of the Proposer in the Certificate of Registration document).		
5	Official Letter of Appointment (required if the proposal is signed by another person who is not indicated in the registration document or power of attorney).		



### 3.3. TECHNICAL EVALUATION GRID

Summary of Technical Proposal Evaluation Forms		Score Weight	Points Obtainable
1.	Expertise of Firm / Organization	30%	300
2.	Proposed Methodology, Approach and Implementation Plan	40%	300
3.	Management Structure and Key Personnel	30%	400
<b>Total</b>			<b>1000</b>

Technical Proposal Evaluation Form 1		Sub Score	Points obtainable
<b>Expertise of the Firm/Organization</b>			
1.1	Organizational Capacity		300
1.1.1	General Experience <ul style="list-style-type: none"> <li>- Experience in Impact Assessment and M&amp;E (<i>max 80 pts.</i>)</li> <li>- Experience in the design and execution of surveys (<i>max 70 pts.</i>)</li> <li>- Experience in projects with governmental organizations, UN Agencies, International NGOs, or other international organizations (<i>max 50 pts.</i>)</li> </ul>	Max 200 pts.	
1.2	Relevance		100
1.2.1	<ul style="list-style-type: none"> <li>- Experience in rural development, agriculture, and similar subjects (<i>40 pts.</i>)</li> <li>- Experience in participatory approaches, cross cutting issues, and thematic areas (<i>30 pts.</i>)</li> <li>- Experience in conducting household surveys in rural areas (<i>30 pts.</i>)</li> </ul>	Max 100 pts.	
<b>Total Part 1</b>			300

Technical Proposal Evaluation Form 2		Sub Score	Points Obtainable
<b>Proposed Methodology, Approach and Implementation Plan</b>			
2.1	To what degree does the Proposer understand ToR and the tasks?	Max. 40	
2.2	Does the plan cover sufficient details, and explain each stage step by step?	Max. 70	
2.3	Are the priorities defined and addressed properly?	Max. 40	
2.4	Are the roles and responsibilities of the key staff well defined and the tasks	Max. 50	

	allocated properly to accomplished the ToR requirements?		300
2.5	Are the proposed activities in line with the timeliness, and realistic?	Max. 50	
2.6	Does the plan include innovative approaches and solutions?	Max. 30	
2.7	Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	Max. 20	
	<b>Total Part 2</b>		300

Technical Proposal Evaluation Form 3			Points Obtainable
Management Structure and Key Personnel			
3	Proposed Team Structure	Sub-Score	
3.1.	Project Coordinator		100
	- General Qualification (Minimum requirement 20 Points; Assets max. 10 points)	Max 100	
	- Professional Experience (Minimum requirement 25 Points; Assets max. 10 points)		
	- Specific Experience (Minimum requirement 25 Points; Assets max. 10 points)		
3.2	Senior Expert in Social Sciences		100
	- General Qualification (Minimum requirement 20 Points; Assets max. 10 points)	Max 100	
	- Professional Experience (Minimum requirement 25 Points; Assets max. 10 points)		
	- Specific Experience (Minimum requirement 25 Points; Assets max. 10 points)		
3.3	Senior Analyst		100
	- General Qualification (Minimum requirement 20 Points; Assets max. 10 points)	Max 100	
	- Professional Experience (Minimum requirement 25 Points; Assets max. 10 points)		
	- Specific Experience (Minimum requirement 25 Points; Assets max. 10 points)		
3.4	Field Coordinators		100
	- General Qualification (Minimum requirement 20 Points; Assets max. 10 points)	Max 100	
	- Professional Experience (Minimum requirement 25 Points; Assets max. 10 points)		
	- Specific Experience (Minimum requirement 25 Points; Assets max. 10 points)		
	<b>Total Part 3</b>		400

## Section 4: Terms of Reference (TOR)<sup>7</sup>

### IMPACT ASSESSMENT STUDY FOR ARDAHAN KARS ARTVIN DEVELOPMENT PROJECT

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#### A. INTRODUCTION

1. Ardahan Kars Artvin Development Project is implemented by Ministry of Food Agriculture and Livestock of Republic of Turkey as per the finance agreement signed on 10 April 2010. Based on the Ministry's proposal and IFAD's approval letter on 10 December 2014, the project completion date is extended from 30 September 2015 to 30 September 2017 and the project closure date is extended from 31 March 2016 to 31 March 2018. The project is jointly financed by IFAD and Government of Turkey. Overall responsibility for the management and implementation of AKADP would rest with MFAL with support from UNDP as per the service agreement. A Project Management Unit (PMU) was established in Kars under the leadership of MFAL covering all day to day management and implementation of the Project through the assistance from PDFAL in all three provinces.
2. The main objective of the AKADP is to improve the rural poverty conditions in Ardahan Kars and Artvin provinces. Project activities are organized under three components (i) smallholder and non-farm enterprise investments (ii) village infrastructure investments (iii) institutional strengthening and project management.
3. The total project cost is \$26.4 million. IFAD contributes \$19.2 million (73%), beneficiary contributions are \$4 million (15%), Government of Turkey contributes \$1 million (4%) and the remaining \$2 million (8%) is the added value from government taxes.
4. Project area covers one of the least developed and the poorest regions of Turkey. The population is heavily located in rural areas where the income depends on low input/low output agriculture sector. Project target group uses traditional methods in agriculture and livestock practices with limited access to capital and therefore the production model operates based on family farms without plans for growth and transforming into economically viable businesses. This situation causes lack of confidence in economic development and unwillingness to improve rural poverty.
5. Project target group is economically active livestock and agriculture producers who want to move towards more commercialized business models. Target group is defined as livestock producers with less than 20 registered cattle and horticultural crop producers with 0.3-0.5 ha of vegetable plot or small greenhouse. Project also supports non-agriculture sectors in project villages that have economic growth potential such as rural tourism.
6. This Terms of Reference deals with hiring a suitably qualified and experienced consultancy company (henceforth referred to as 'consultant') to undertake the proposed Impact Assessment of the Project. The methodology for impact assessment will involve both quantitative and qualitative approaches.
7. The project is being implemented in the following districts of Ardahan, Kars, and Artvin provinces:
  - a. Ardahan: Ardahan Centre, Çıldır, Damal, Göle, Hanak, and Posof;
  - b. Kars: Arpaçay, Kağızman, Sarıkamış, and Selim;
  - c. Artvin: Artvin Centre, Ardanuç, Şavşat, and Yusufeli.

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<sup>7</sup> This document serves as a guide to Requestor on how to write the TOR for the RFP, by suggesting contents. This document is not to be shared with Proposers in this current state and form. The TOR actually written by the Requestor shall be the TOR that will be attached to this part of the RFP.

## **B. Objectives and Scope of the Impact Assessment**

1. The objective of the Impact Assessment is to assess the physical and socio-economic status of the targeted areas and their households where the AKADP is being implemented. In addition, using the Focus Group Discussions (FGD) and case studies methods, the aim is to assess beneficiaries' experiences and their perceptions of the projects' effectiveness, document successes, challenges and lessons learned, and develop recommendations for future.

2. The assessment should: (i) focus on key indicators required to measure the goals, outcomes and impact of the planned activities as it was mentioned in the Project's Logical Framework (see Annex 1); (ii) Provide comparison with the selected baseline survey indicators that was conducted for the AKADP; (iii) Assess how the AKADP was successful in relation to the five evaluation criteria (relevance, efficiency, effectiveness, sustainability and impact) and (iv) Evaluate the specific strategy and tactics for the areas of concern as outlined in Appendix 2 in relation to design and implementation modalities.

3. The assessment of Project performance should have a special emphasis on:

- Relevance – how and to what extent the project activities consistent with target group's needs, local condition requirements, and institutional priorities?
- Effectiveness – to what extent the project interventions contributed to the project high level objectives and outcomes, and the level of achievement in terms of undertaking activities as per the project design and AWPB?
- Efficiency – are the project inputs and resources translated into concrete results in an economically feasible manner (based on the assessment of implementation delays, technical capacity issues; operational efficiency, and the economic rates of return)?
- Sustainability – to what extent the project benefits extend beyond the project duration including the assessment of the anticipated results and risks?
- Impact – what are the actual and expected changes occurred in the rural community and target group (including positive and negative, direct and indirect) as a result of project interventions;
- Gender Equality and Women Empowerment – to what extent the project contributed to the gender equality and empowerment as outlined in the project design documents?

4. In addition to the above, the impact assessment study should discuss:

- Innovation: In what aspects did the project manage to bring innovative solutions to meet the needs of the target groups, provide unique methods to overcome challenges, and demonstrate exemplary approaches within the rural development context?
- Lessons Learned: What are the key results (both positive and negative), insights, stories, and messages learned from AKADP project worthwhile reporting to improve the design and implementation of the future projects?

## **C. General Approach of the Impact Assessment**

5. The proposed Impact Assessment Survey will be used to collect data to measure the impact on both project outcomes and impacts. The Survey will consider having a representative sample from beneficiaries, attribution of impact through interviewing both beneficiaries and non-beneficiaries, and provide results for impact level indicators as per the log frame. Both quantitative and qualitative methods will be used by the consultant to assess the impact of the project. A statistically sound sampling methodology will be designed in collaboration with PMU and MFAL. The consultant may also be asked to prepare a technical document outlining the survey sampling methodology and roll-out plan.

6. The consultant will be responsible for the development of stratified random sampling method under the guidance of PMU and MFAL. The sampling selection will consider control groups and will be based on beneficiary/non-beneficiary and the project target areas including the targeted provinces, districts, and communes.

7. The Impact Assessment will be undertaken in close collaboration with the relevant staff of the project. The Rural Development Advisor will be responsible for the direction and management of the Survey. The Final Impact Assessment report is to be completed by 10/15/2017.

## **D. Phasing**

8. The assignment will be undertaken in three key phases: preparation, implementation, data analysis and reporting. The assignment will be completed after the presentation of results in a workshop. Progress reports on key deliverables may be requested during and at the completion of each stage. The specific activities include:

### **Preparation**

- Review the AKADP design documents and identify the key requirements for the Impact Assessment;
- Review the programme log frame and identify assessment methodology required for each of the pre-determined indicators to be measured on the Projects Goal/Impact and Objectives/Outcome levels;
- Review the results of the AKADP Baseline Survey, as well as the relevant data collected by AKADP M&E system; identify the data gaps and develop proxy indicators as necessary.
- Identify and review available sources of secondary data; assess primary data collection requirements;
- Develop a full technical document discussing the survey instruments including sampling methodology, stratification details, and statistical assessment criteria; develop the sampling framework with a brief action plan;
- Prepare the questionnaires (for survey and FGD), other survey tools, and the database system for data entry. The questionnaire should be comprehensive enough to cover the indicators as outlined in the Goals/Impact and Objectives/Outcomes level of the project logframe matrix.
- Preparation of training materials and detailed interviewer manual (and supervisor manual, if necessary);
- Establish proper data quality procedures (i.e. avoiding duplications and controlling data integrity issues);
- Prepare an outline for the final report for the outcomes of the survey and the FGDs.

### **Implementation**

- Enumerators will be assigned by PDFAL/DDFAL, however, consultant is responsible from the training and the supervision of the field staff; The consultant should also dedicate one team leader for each province (Ardahan Kars and Artvin) for effective coordination and to ensure that the enumerators follow the established guidelines and procedures;
- Undertake a pilot survey in one of the selected settlements to test the methodology and questionnaire, and in discussion with relevant AKADP project staff review the methodology/questionnaire as necessary;
- Conduct field visits and manage the necessary processes for data collection and audio/video recording of FGDs. Coordinate data collection work and ensure full compliance with the data entry protocols, data privacy and protection rules, and the transcripts; the assessment process should respect ethical best practices in terms of obtaining consent from interviewees and respecting their right to privacy;
- Consultant is responsible to make hotel & transportation arrangements for team leaders, and should reflect all related expenditures in the price offer except for the transportations within the project districts and villages, which will be undertaken by the PMU. All travel and accommodations costs of the PDFAL/DDFAL enumerators will be compensated by the AKADP project.

### **Analysis**

- Analyze and interpret the data/information collected using household survey and FGD, taking into consideration the goal, objectives, outcome and outputs and target group of AKADP; place emphasis on analyzing the results from the viewpoint of data triangulation;
- Prepare a detailed report and analysis based on the submitted outline during the preparation phase. Modify and amend the report if necessary based on the feedback from MFAL and PMU.

### **Final Workshop**

- The Impact Assessment results should be presented to the MFAL and AKADP relevant staff and to the representatives of different partners and stakeholders;
- The costs related to the arrangements of the workshop will be compensated by the AKADP project including the travel and hotel accommodations of the participants and the booking of the conference rooms.

The consultant, however, will pay for the travel and accommodation costs of its own staff. Any necessary printed materials including brochures to be distributed during the workshop will also be covered by the consultant.

## E. Main Deliverables

- **Impact Assessment Inception Report** – to be submitted within three calendar weeks of the date of contract signing. This report will include a fully elaborated Impact Assessment proposal including the approach and proposed survey instruments, sampling frames and sampling methodology, interviewing method, number of FGDs and the number of participants and locations, draft questionnaires and other survey tools, data processing and analysis methodology, outline of the final report and schedule of activities;
- **Pilot Survey Report** – to be submitted within one calendar week of the submission of the Impact Assessment Inception Report. This report will provide the results of a small pilot survey together with proposed changes to the survey instrument and questionnaire;
- **Draft Impact Assessment Reports** – for both household survey and FGD to be submitted within eight calendar weeks of the date of contract signing;
- **Final Impact Assessment Reports** – to be submitted after one calendar week of the date of submission of draft impact survey report. The final reports should be written in a clear and simple style, documenting the results of the Impact Assessment in accordance with the above terms of reference. The report will be written based on the submitted and approved outline during the preparation phase;
- **Final Workshop** – within one calendar week of the submission of the Impact Assessment Report, the results should be presented to AKADP/MFAL staff and representatives of different partners and stakeholders.

9. The Final Impact Assessment Report will be submitted in English and Turkish (3 copies each) languages. All reports and data collected must be provided to the project, together with copies of all questionnaires, audio/video recordings (if any), transcripts and all other relevant material and information collected or generated during the survey.

### Time Schedule for Impact Assessment Study

	WEEK (after contract sign)									
	1	2	3	4	5	6	7	8	9	10
<b>Time Schedule for Impact Assessment Study</b>										
Inception and Planning										
Development of Methodology										
Development of Questionnaire and Data Management Tools										
Training of Enumerators										
Field Works (data collection and entry)										
Analysis and Submission of Draft Report										
Submission of Final Report										
Workshop and Presentation										

## F. Required Qualifications

Contractor's personnel (i.e. expert to be mobilized by the Contractor to deliver the Assignment) that have a crucial role in implementing the contract are referred to as key personnel. CVs, copies of diplomas, and relevant certifications of key personnel should be included in the Technical Proposal.

**CVs shall list all the relevant activities for the entire time period mentioned in their CVs as years of experience.**

Hereinafter, the profiles of the key personnel are presented. Note the minimum requirements and the assets. The minimum requirements refer to the qualifications that the personnel to be proposed by the Proposer should definitely possess.

“Assets” are preferred qualities and qualifications of the key personnel. Proposed personnel that possess the minimum requirements will obtain 70% of the maximum obtainable points, whereas proposed personnel that also possess the “assets”, in addition to all the minimum requirements, may secure up to 100% of the maximum obtainable points.

The below defined key personnel are the main responsible persons for the tasks defined in this Assignment.

The list of key personnel and required general/specific professional experiences are shown in the following table:

The duties and detailed required qualifications for each key personnel are given below:

**Duties of the Project Coordinator:**

- Responsible for the development of the work plan and implementation of the impact assessment study and revises as appropriate to meet changing needs and requirements;
- He/she will ensure that positive and productive working relations and regular communication are maintained with the MFAL, UNDP, and PMU;
- He/she will ensure accordance of the developed methodology and activities to the needs and expectations of the project administration;
- He/she will manage the overall processes of the design of the survey methodology, focus group discussions, questionnaire, data entry tools, reporting, and the arrangements of the final workshop;
- He/she will ensure that the coordination mechanism is working properly with the field supervisors and the proposed activities are rolled out before the deadlines;
- He/she will attend the working groups and other activities conducted by the Contractor.

**Required Skills and Experience for Project Manager:**

	Minimum Requirements	Assets
General Qualifications	<ul style="list-style-type: none"><li>– At least bachelor's degree in agriculture, business administration, economics, social sciences, or other related fields</li><li>– Fluency in Turkish</li></ul>	<ul style="list-style-type: none"><li>– Post graduate degree (MSc, M.A. M.B.A. and/or PhD degree)</li><li>– Fluency in English</li></ul>
Professional Experience	<ul style="list-style-type: none"><li>– A minimum of 8 years of professional experience.</li><li>– At least 3 years of experience as a project manager/ coordinator/team leader under projects/programmes</li><li>–</li></ul>	<ul style="list-style-type: none"><li>– More than 10 years of professional experience in relevant subject</li><li>– Experience in working with Governmental Organizations, UN, and/or International Donor Agencies</li></ul>
Specific Experience	<ul style="list-style-type: none"><li>– Minimum 2 years of working experience in the design and implementation of M&amp;E systems and/or impact assessment surveys</li></ul>	<ul style="list-style-type: none"><li>– In depth knowledge and experience of cross cutting issues and thematic areas</li><li>Experience in rural development, agriculture, and/or social policies</li></ul>

**Duties of the Senior Expert in Social Sciences:**

- Understand the project goals, objectives and the interventions through desk review of relevant project documents, and discussions with the project implementers and stakeholders;
- Build and articulate the study hypotheses, assumptions, and risks to guide the design processes and ensure that the questionnaire and focus group discussions are in line with the requirements;
- Communicate the social development objectives in the log frame proactively and lead the integration of social policy dimension into the impact assessment study;
- Provide insights and interpretations from social sciences perspectives to improve the design, analysis, and reporting;
- Contribute in the development of survey and focus group questionnaire by integrating the cross cutting issues and thematic aspects during the design stage;
- Work closely with senior analyst to review and interpret the readings from the data and support the team by providing in depth insights from the social policy contexts.

**Required Skills and Experience for Senior Expert in Social Sciences:**

	Minimum Requirements	Assets
General Qualifications	<ul style="list-style-type: none"><li>– At least bachelor's degree in social sciences</li><li>– Fluency in Turkish</li></ul>	<ul style="list-style-type: none"><li>– Post graduate degree (in social sciences)</li><li>– Fluency in English</li></ul>
Professional Experience	<ul style="list-style-type: none"><li>– A minimum of 5 years of professional experience.</li><li>– At least 3 years of experience as a social program officer, social expert, or in any other related capacity</li></ul>	<ul style="list-style-type: none"><li>– More than 8 years of professional experience in relevant subject</li><li>– Experience in working with Governmental Organizations, UN, and/or International Donor Agencies</li></ul>
Specific Experience	<ul style="list-style-type: none"><li>– Minimum 2 years of working experience in social policy design, strategy development, social analysis, or any other related discipline</li></ul>	<ul style="list-style-type: none"><li>– In depth knowledge and experience of cross cutting issues and thematic areas</li><li>Experience in rural development, agriculture, social analytical works</li></ul>

**Duties of the Senior Analyst:**

- Understand the project goals, objectives and the interventions through desk review of relevant project documents, and discussions with the project implementers and stakeholders;
- Develop statistically sound sampling methodology and lead the design of questionnaire forms in consultation with MFAL and PMU based on the project log frame and as described in the ToR;
- Ensure that the data collection tools are properly designed, data entries are managed according to the guidelines, enumerators received training on the data entry protocols.
- Ensure that the collected data is consolidated and maintained/stored/secured in proper database platform;
- Carry out data analysis works of the survey data to extract useful insights, benchmark against the control group and baseline data, and update the logical framework;
- Report the findings in a proper format and in line with the project log frame, discuss the results and implications, and assist the project coordinator in the completion of reports;
- Respond the adhoc inquiries from the project management when requested in a timely manner;
- Develop proper data management tools to capture qualitative information from focus group discussions and conduct categorical analysis to meaningfully report on the qualitative data.



**Required Skills and Experience for Senior Analyst:**

	Minimum Requirements	Assets
General Qualifications	<ul style="list-style-type: none"> <li>– At least bachelor's degree in statistics, economics, business administration, social sciences, or other related fields</li> <li>– Fluency in Turkish</li> </ul>	<ul style="list-style-type: none"> <li>– Post graduate degree (MSc, M.A. and/or PhD degree)</li> <li>– Fluency in English</li> </ul>
Professional Experience	<ul style="list-style-type: none"> <li>– A minimum of 5 years of professional experience.</li> <li>– At least 3 years of experience as a data/business analyst, statistician, or data specialist, or program specialist</li> <li>– Must have practical experience in using statistical software or data mining tools</li> </ul>	<ul style="list-style-type: none"> <li>– More than 8 years of professional experience in relevant subject</li> <li>– Experience in working with Governmental Organizations, UN, and/or International Donor Agencies</li> </ul>
Specific Experience	<ul style="list-style-type: none"> <li>– Minimum 2 years of working experience in the design and implementation of surveys, analysis of panel data, mapping survey results, and/or data mining</li> </ul>	<ul style="list-style-type: none"> <li>– In depth knowledge and experience of cross cutting issues and thematic areas</li> <li>– Experience in rural development, agriculture, and/or social policies</li> </ul>

**Duties of the Field Survey Coordinators (one for each 3 provinces):**

- Responsible in the overall coordination of enumerators (assigned by PDFAL/DDFAL) during the survey implementation;
- Provide trainings on the questionnaire, data entry protocols, and beneficiary communication etiquette before the implementation;
- Monitor the quality of data collection processes to endorse or request renewal of the survey on a case by case basis;
- Provide technical assistance to enumerators and be on call whenever needed to respond the inquiries during the implementation;
- Set and execute control/spotcheck procedures to ensure that the surveys are being conducted according to the desired quality standards;
- Provide regular updates on the implementation progress to MFAL and PMU when requested.

**Required Skills and Experience for Field Survey Coordinators:**

	Minimum Requirements	Assets
General Qualifications	<ul style="list-style-type: none"> <li>– At least bachelor's degree in statistics, economics, business administration, social sciences, or other related fields</li> <li>– Fluency in Turkish</li> </ul>	<ul style="list-style-type: none"> <li>– Post graduate degree (MSc, M.A. and/or PhD degree)</li> <li>– Fluency in English</li> </ul>
Professional Experience	<ul style="list-style-type: none"> <li>– A minimum of 5 years of professional experience.</li> <li>– At least 3 years of experience as a field coordinator, survey team leader, or in a similar role</li> </ul>	<ul style="list-style-type: none"> <li>– More than 8 years of professional experience in relevant subject</li> <li>– Experience in working with Governmental Organizations, UN, and/or International Donor Agencies</li> </ul>

	Minimum Requirements	Assets
Specific Experience	<ul style="list-style-type: none"> <li>– Minimum 2 years of working experience in coordinating and/or training of field survey teams or enumerators</li> </ul>	<ul style="list-style-type: none"> <li>– In depth knowledge and experience of cross cutting issues and thematic areas</li> </ul> <p>Experience in rural development, agriculture, and/or social policies</p>

### Reporting Structure

- **Project Coordinator reports to Rural Development Advisor.**

### Key Documentation to be provided

**10.** The following documentation will be provided under separate cover:

- AKADP design documents;
- AKADP Baseline Survey Report and Data;
- Annual RIMS reports and project output reports.

## Section 5: Proposal Submission Form<sup>8</sup>

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[Please insert the Date]

To: Burak Eldem  
UNDP Türkiye Ofisi,  
Yukarı Dikmen Mah. Turan Güneş Bulvarı  
Yıldız Kule No:7 Kat: 12 06450 Cankaya/Ankara/Turkey

Dear Sir/Madam:

We, the undersigned, hereby offer to provide professional services for **Impact Assessment Study within The Scope of Ardahan Kars Artvin Development Project UNDP-TUR-RFP(AKADP)-2017/05** in accordance with your Request for Proposal dated **03.08.2017** and our Proposal. We are hereby submitting our Proposal, which includes the Technical Proposal and Financial Proposal sealed under a separate envelope.

We hereby declare that :

- a) All the information and statements made in this Proposal are true and we accept that any misrepresentation contained in it may lead to our disqualification;
- b) We are currently not on the removed or suspended vendor list of the UN or other such lists of other UN agencies, nor are we associated with, any company or individual appearing on the 1267/1989 list of the UN Security Council;
- c) We have no outstanding bankruptcy or pending litigation or any legal action that could impair our operation as a going concern; and
- d) We do not employ, nor anticipate employing, any person who is or was recently employed by the UN or UNDP.

We confirm that we have read, understood and hereby accept the Terms of Reference describing the duties and responsibilities required of us in this RFP, and the General Terms and Conditions of UNDP's Contract for Professional Services.

We agree to abide by this Proposal for *60 days*.

We undertake, if our Proposal is accepted, to initiate the services not later than the date indicated in the Data Sheet.

We fully understand and recognize that UNDP is not bound to accept this proposal, that we shall bear all costs associated with its preparation and submission, and that UNDP will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the evaluation.

---

<sup>8</sup> No deletion or modification may be made in this form. Any such deletion or modification may lead to the rejection of the Proposal.

We remain,

Yours sincerely,

Authorized Signature *[In full and initials]:* \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

Name of Firm: \_\_\_\_\_

Contact Details : \_\_\_\_\_

*[please mark this letter with your corporate seal, if available]*

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## Section 6: Documents Establishing the Eligibility and Qualifications of the Proposer

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### Proposer Information Form<sup>9</sup>

Date: *[insert date (as day, month and year) of Proposal Submission]*

RFP No.: UNDP-TUR-RFP(AKADP)-2017/05

Page \_\_\_\_\_ of \_\_\_\_\_ pages

1. Proposer's Legal Name <i>[insert Proposer's legal name]</i>		
2. In case of Joint Venture (JV), legal name of each party: <i>[insert legal name of each party in JV]</i>		
3. Actual or intended Country/ies of Registration/Operation: <i>[insert actual or intended Country of Registration]</i>		
4. Year of Registration: <i>[insert Proposer's year of registration]</i>		
5. Countries of Operation	6. No. of staff in each Country	7. Years of Operation in each Country
8. Legal Address/es in Country/ies of Registration/Operation: <i>[insert Proposer's legal address in country of registration]</i>		
9. Value and Description of Top three (3) Biggest Contract for the past five (5) years		
10. Latest Credit Rating (if any)		
11. Brief description of litigation history (disputes, arbitration, claims, etc.), indicating current status and outcomes, if already resolved.		
12. Proposer's Authorized Representative Information  Name: <i>[insert Authorized Representative's name]</i> Address: <i>[insert Authorized Representative's Address]</i> Telephone/Fax numbers: <i>[insert Authorized Representative's telephone/fax numbers]</i> Email Address: <i>[insert Authorized Representative's email address]</i>		
13. Are you in the UNPD List 1267.1989 or UN Ineligibility List ? (Y / N)		

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<sup>9</sup> The Proposer shall fill in this Form in accordance with the instructions. Apart from providing additional information, no alterations to its format shall be permitted and no substitutions shall be accepted.

14. Attached are copies of original documents of:

- ☐ All eligibility document requirements listed in the Data Sheet
- ☐ If Joint Venture/Consortium – copy of the Memorandum of Understanding or Letter of Intent to form a JV/Consortium, or Registration of JV/Consortium, if registered
- ☐ If case of Government corporation or Government-owned/controlled entity, documents establishing legal and financial autonomy and compliance with commercial law.

## Section 7: Technical Proposal Form

<p><b>TECHNICAL PROPOSAL FORMAT</b></p> <p><b>INSERT TITLE OF THE SERVICES</b></p>
--

**Note: Technical Proposals not submitted in this format may be rejected. The financial proposal should be included in separate envelope.**

<b>Name of Proposing Organization / Firm:</b>	
<b>Country of Registration:</b>	
<b>Name of Contact Person for this Proposal:</b>	
<b>Address:</b>	
<b>Phone / Fax:</b>	
<b>Email:</b>	

SECTION 1: EXPERTISE OF FIRM/ ORGANISATION									
<p><b>Sub-Section 1.1: Organizational Capacity:</b> This section should provide corporate orientation, including but not limited to the year and state/country of incorporation and a brief description of the Proposer's activities. <u>It should focus on services related to the Proposal.</u> Proposer should attach company profile, which should not exceed ten (10) pages, including printed brochures.</p> <p style="margin-left: 40px;"><b>1.1.1. General Experience:</b> A brief description of corporate background and orientation with a focus on relevant experience and services.</p> <p><b>Sub-Section 1.2: Relevance:</b></p> <p style="margin-left: 40px;"><b>1.2.1. Experience on Similar Programme/Projects:</b> This section should initially provide a narrative presentation of the Proposer's experience in similar undertakings, preferably focusing on the Proposer's recent activities (2012 and onwards).</p> <p style="margin-left: 40px;">For the purposes of this RFP, in order to be considered "similar", Below list shall be completed for the similar programme/projects:</p>									
	Name of the assignment	Region and Country	Client	Contract Value	Period of Activity	Relevant Sector(s)	Scope of the Work (Description of the completed services)	Status or Date completed	References Contact Details (Name, Phone, e-mail)
1									
2									
3									
.									
n									

*The listed similar experiences shall be substantiated with Certificate of Satisfactory Performance / Reference Letters obtained from the clients. Documents without signature of the clients or any replacement documents (such as contract copies, etc.) that does not represent any information regarding performance of the proposer, status of the progress, etc. will not be considered.*

## **SECTION 2 - APPROACH AND IMPLEMENTATION PLAN**

*This section should demonstrate the Proposer's responsiveness to the TOR by identifying the specific components proposed, addressing the requirements, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; and demonstrating how the proposed methodology meets or exceeds the requirements.*

2.1. Understanding of the ToR and Tasks: Please provide a detailed description of the methodology for how the organisation/firm will achieve the Terms of Reference of the project, keeping in mind the appropriateness to local conditions and project environment.

2.2. Technical stages: The methodology shall cover stage by stage description of how the works described in the Terms of Reference to be achieved.

2.3 Priorities: The Proposer shall clearly explain the priorities and how these priorities will be addressed to meet the overall objectives of the assignment.

2.4. Roles and Responsibilities: Please explain the work requirements, action items, and how the tasks to be allocated among the team for best results.

2.5. Timelines: The proposer shall provide a Gantt chart for the timelines of the key activities and justify how the tasks to be accomplished within the given deadlines in the Terms of Reference.

2.6. Innovation: The Proposer shall explain why the proposed methodology is creative and innovative in terms of responding the requirements of the assignment.

2.7 Other: Any other comments or information regarding the project approach and methodology that will be adopted.



### SECTION 3: PERSONNEL

**3.1 Management Structure:** Describe the overall management approach toward planning and implementing this activity. Include an organization chart for the management of the project describing the relationship of key positions and designations.

**3.2 Staff Time Allocation:** Provide a spreadsheet will be included to show the activities of each staff member and the time allocated for his/her involvement. (Note :*This spreadsheet is crucial and no substitution of personnel will be tolerated once the contract has been awarded except in extreme circumstances and with the written approval of the UNDP. If substitution is unavoidable it will be with a person who, in the opinion of the UNDP project manager, is at least as experienced as the person being replaced, and subject to the approval of UNDP. No increase in costs will be considered as a result of any substitution.*)

**3.3 Qualifications of Key Personnel.** Provide the CVs for key personnel (Project Coordinator, Senior Analyst, Senior Expert in Social Sciences, and Field Survey Coordinators) that will be provided to support the implementation of this project. CVs should demonstrate qualifications in areas relevant to the Scope of Services. Diplomas may be requested from the Proposer. Please use the format below:

**Proposed Team**

Description / Title	Name & Surname	Estimated # of days to be invested during the whole assignment
Project Coordinator		
Senior Analyst		
Senior Expert in Social Sciences		
Field Survey Coordinators (1)		
Field Survey Coordinators (2)		
Field Survey Coordinators (3)		

## Curriculum Vitae

### Proposed position:

1. Family name:
2. First name:
3. Date of birth:
4. Nationality:
5. Civil status:
6. Education:

Institution	Degree obtained

7. Language skills: Indicate competence on a scale of 1 to 5 (1 - excellent; 5 - basic)

Language	Reading	Speaking	Writing
English			
Turkish			

8. Membership of professional bodies:
9. Other skills:
10. Present position:
11. Years with the firm:
12. Key qualifications:
13. Professional experience:

Date from – Date to	Location	Company & Reference person (name & contact details)	Position	Description

**14. Training Courses Designed or Delivered:**

**15. Publications:**

**16. References**

## Section 8: Financial Proposal Form<sup>10</sup>

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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.

1. The Proposers shall fill out, sign and stamp the 'Price Schedule', which are going to be placed in the Inner Envelope III as indicated in the Instruction to Proposers and **Section 9 of the RFP**.
2. UN and its subsidiary organs are exempt from all taxes. Therefore, Proposers shall prepare their Financial Proposals, excluding VAT. It is the Proposer's responsibility to learn from relevant authorities (Ministry of Finance) and/or to review/confirm published procedures and to consult with a certified financial consultant as needed, to confirm the scope and procedures of VAT exemption application as per VAT Law and Ministry of Finance's Communiqués.
3. The format shown on the following pages is a requirement for the preparation of the Financial Proposal. Any deviation from this format will result in disqualification of the Proposer.
4. The percentage payments for respective phases indicated in the Table 8.1 will be made upon completion of all the tasks, submission and approval of the deliverables in full compliance with the TOR and acceptance by UNDP within the respective phases of the assignment and as indicated in Price Schedule.
5. In order for a deliverable to be accepted by UNDP, all relevant tasks listed in the TOR must be completed by the Contractor.
6. The Contractor shall be paid in Turkish Liras.
7. The total amount indicated in Table 8.1 will be taken into consideration for the contract amount and will be used as the basis for financial evaluation.
8. The unit prices indicated in Table 8.1 will have no effect in the financial evaluation but required to be provided as reference information for the total contract amount proposed.
9. In case of non-acceptance by UNDP of a deliverable, the Contractor shall not be entitled to receive any amount from UNDP even if it invests time and human resources.

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<sup>10</sup> No deletion or modification may be made in this form. Any such deletion or modification may lead to the rejection of the Proposal.

**TABLE 8.1 - PRICE SCHEDULE**

Phase	Tasks	Deliverables	Unit Name	Unit price	Quantity	Total Price (TRY)	Payment Percentage
Inception	1- Kick-off meeting 2- Project organization and detailed project plan	Deliverable 1 – Detailed Activity Plan with review and adjustments after the kick-off meeting Deliverable 2 – Impact Assessment Inception Report	Project Coordinator	Human-day <sup>11</sup>			0%
			Senior Analyst	Human-day			
			Senior Expert in Social Sciences	Human-day			
			Field Survey Coordinator	Human-day			
			Travel <sup>12</sup>	Round trip			
			Accommodation	Per night			
			Other				
SUBTOTAL FOR THE INCEPTION PHASE							
Development of Methodology and Tools	1- Analysis 2- Tools Design	Deliverable 3 – Preparation and submission of statistical sampling methodology document Deliverable 4 – Preparation and submission of the Survey questionnaire Deliverable 5 – Preparation and submission of the Focus Group questionnaire Deliverable 6 –	Project Coordinator	Human-day			0%
			Senior Analyst	Human-day			
			Senior Expert in Social Sciences	Human-day			
			Field Survey Coordinator	Human-day			
			Travel <sup>13</sup>	Round trip			
			Accommodation	Per night			
			Printing				

<sup>11</sup> The number of days for the experts specified in this step shall be in line with the timeframes identified in Section 7.

<sup>12</sup> As applicable or needed.

<sup>13</sup> As applicable or needed.

Phase	Tasks	Deliverables	Unit Name	Unit price	Quantity	Total Price (TRY)	Payment Percentage
		Development of database and spreadsheets 8and user guides)	Other				
<b>SUBTOTAL FOR THE METHODOLOGY AND TOOLS</b>							0
Implementation	1- Implementation of the program in project districts	<b>Deliverable 7 -</b> Organization of a one-day technical meeting to present the questionnaire, data entry tools, and standard protocols. -The meeting will be held in Kars PDFAL meeting hall at no charge and <b>all the costs of PDFAL/DDFAL enumerators will be compensated by AKADP project (not by the proposer).</b>  <b>Deliverable 8 -</b> -Conducting the field surveys -Conducting the	Project Coordinator	Human-day			100%
			Senior Analyst	Human-day			
			Senior Expert in Social Sciences	Human-day			
			Field Survey Coordinator	Human-day			
			Travel	Trip to project provinces and return after survey completion <sup>15</sup>			
			Accommodation	Per night			
			Printing				

<sup>15</sup> The travel and accommodation costs of the PDFAL/DDFAL enumerators will be paid by AKADP project not by the consultant. In addition, the Project Management Unit and PDFAL/DDFAL will provide necessary transportation for travels within the project district and villages during the survey for the consultants.

Phase	Tasks	Deliverables	Unit Name	Unit price	Quantity	Total Price (TRY)	Payment Percentage
		Focus Group Discussions  <b>Deliverable 9 -</b> Submission of draft report after compiling data - and completing the analysis phase.  <b>Deliverable 10 -</b> Submission of final report and presenting the results at the workshop <sup>14</sup> .	Other				
<b>SUBTOTAL FOR THE IMPLEMENTATION PHASE</b>							100
<b>TOTAL CONTRACT AMOUNT</b>							100

*The Contractor shall be entitled to receive its payments as per the respective percentages in the Price Schedule-Table 8.1 above, irrespective of time and human resources invested in any deliverable.*

We hereby confirm that we read, understood and accepted the instructions and conditions provided in "Section 8 - Financial Proposal Form" without any reservation and prepared and submitted our proposal prepared in accordance with these instructions and conditions.

Signature

Duly authorized to sign Proposal for and on behalf of

\_\_\_\_\_

(Name of Company)

\_\_\_\_\_

Signature/Stamp of Entity/Date

Name of representative:

Address:

Telephone/Fax:

Email:

\_\_\_\_\_

<sup>14</sup> The booking of conference hall and the travel arrangements of the participants will not be covered by the proposer. However, proposer is responsible from the arrangements and costs of accommodations/travels of its own staff.

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## SECTION 9. INSTRUCTIONS FOR PREPARATION AND SUBMISSION OF PROPOSALS

### a. PREPARATION OF PROPOSALS

The Proposers shall prepare their Proposals in exactly the same envelopes, order and numbering/referencing stipulated in this RFP.

The Proposers shall prepare 'Indexes' for each envelope which shows the Proposal parts corresponding to the sections in the RFP and TOR.

#### **INNER ENVELOPES**

The Proposal shall comprise the following inner envelopes with the required documentation/information:

##### **a) Inner Envelope I:**

This is the envelope for the documents that will be evaluated with respect to ***'PASS/FAIL ELIGIBILITY CRITERIA'***. This envelope shall contain **1 (one) original hard copy** of the required content for that envelope in terms of information/documentation, etc.

The Proposers shall fill out, sign and stamp the Section 5 "Proposal Submission Form" and Section 6 "Documents Establishing the Eligibility and Qualifications of the Proposer" templates given in this RFP. All administrative documents requested in this RFP shall be submitted along with Section 6 as its annexes.

The 'Proposal Submission Form' given in Section 5 and Section 6 of the RFP **shall not contain any price information.** It shall be signed and stamped by the Proposers and placed in Inner Envelope I.

**Lack of any one of the information/documentation required under PASS/FAIL ELIGIBILITY CRITERIA may result in rejection of the Proposal without further technical/financial evaluation.**

##### **b) Inner Envelope II:**

This is the envelope for **"Section 7-Technical Proposal Submission Form"**. The envelope shall contain **1 (one) original hard copy and 1 (one) soft copy in pdf format (in USB)** of the required content for that envelope in terms of information/documentation, etc.

The Proposer shall respond to each and every section/subsection given in the Technical Proposal Form, given in Section 7 of this RFP. Each section/subsection of the Proposer's Proposal shall be placed in a separate section of the file **in exactly the same order given in the 'Technical Proposal Submission Form' and shall be listed in the index with its respective number in the Technical Proposal Form.**

"Technical Part of the Proposal" shall be placed in Inner Envelope II and shall not contain any price information.

##### **c) Inner Envelope III:**



This is the envelope for '**FINANCIAL PROPOSAL**'.

The Proposers shall fill out, sign and stamp the 'Price Schedules', templates of which are given in Section 8 of this RFP which are going to be placed in the Inner Envelope III.

### **OUTER ENVELOPE**

The above listed three envelopes (Inner Envelope I, Inner Envelope II and Inner Envelope III) shall be placed in an 'Outer Envelope'.

## **b. SEALING AND MARKING OF PROPOSALS**

The Proposers shall seal the Proposals in 1 (one) outer and 3 (three) inner envelopes, as detailed below:

### **a) The outer envelope:**

The outer envelope shall contain 3 (three) inner envelopes and shall be addressed to UNDP Turkey Country Office. The outer envelope shall bear the following information on it:

**United Nations Development Programme (UNDP)**  
(UNDP Türkiye Ofisi)  
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06450 Cankaya/Ankara/Turkey  
Tel: +90 312 454 1100

**RFP: Impact Assessment Study within The Scope of Ardahan Kars Artvin Development Project**

**REF: UNDP-TUR-RFP-PROJ(AKADP)-2017/05**

**LEGAL NAME and ADDRESS OF THE PROPOSER:**

### **b) The inner envelopes:**

All three inner envelopes shall bear the below information:

**Name and Address of the Proposer:**

**Envelope Nr:**

**Envelope Content:** (as described above)

Note, if the outer and inner envelopes are not sealed and marked as per the instructions in this clause, the procuring UNDP entity will not assume responsibility for the Proposal's misplacement or premature opening.

## SECTION 10. CONTRACT FOR PROFESSIONAL SERVICES

**THIS IS UNDP'S TEMPLATE FOR CONTRACT FOR THE PROPOSER'S REFERENCE. ADHERENCE TO ALL TERMS AND CONDITIONS IS MANDATORY.**

Date \_\_\_\_\_

Dear Sir/Madam,

Ref.: 00077193 / Impact Assessment Study within The Scope of Ardahan Kars Artvin Development Project / UNDP-TUR-RFP(AKADP)-2017/05

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 Proposal [ref....., dated .....]
  - d) The UNDP Request for Proposal [ref....., dated.....]
- 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:

<u>Name</u>	<u>Specialization</u>	<u>Nationality</u>	<u>Period of service</u>
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....	.....	.....	.....
....	.....	.....	.....

- 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:

Phase	Tasks	Deliverables	Target Day for Submission to UNDP
Inception	1- Kick-off meeting 2- Project organization and detailed project plan	<b>Deliverable 1</b> – Detailed Activity Plan with review and adjustments after the kick-off meeting <b>Deliverable 2</b> - Impact Assessment Inception Report	8 Sep 2017
Content & Design	1- Analysis 2- Design of Tools	<b>Deliverable 3</b> – Preparation and submission of statistical sampling methodology document <b>Deliverable 4</b> – Preparation and submission of the Survey questionnaire <b>Deliverable 5</b> – Preparation and submission of the Focus Group questionnaire <b>Deliverable 6</b> - Development of database and spreadsheets (and user guides)	22 Sep 2017
Implementation	1- Implementation of the program in project districts	<b>Deliverable 7</b> - Organization of a one-day technical meeting to present the questionnaire, data entry tools, and standard protocols.  <b>Deliverable 8</b> -Conducting the field surveys -Conducting the Focus Group Discussions  <b>Deliverable 9</b> - Submission of draft report after compiling data - and completing the analysis phase.  <b>Deliverable 10</b> - Submission of final report and presenting the results at the workshop.	15 October 2017 for draft report And 30 October 2017 for final report and workshop

- 2.6 All deliverables shall be written in Turkish language, and shall describe in detail the services rendered under the Contract during the period of time covered in such report. All deliverables 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.

3. Price and Payment

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.

1.4 UNDP shall effect payments to the Contractor after acceptance by UNDP of the invoices submitted by the Contractor to the address specified in 9 below, upon achievement of the corresponding milestones and for the following amounts:

Phase	Tasks	Date for Submission to UNDP	Payment Weight (%)
Inception	1- Kick-off meeting 2- Project organization and detailed project plan	8 Sep 2017	0 % of Total Contract Amount
Content & Design	1- Analysis 2- Design of Tools	22 Sep 2017	0 % of Total Contract Amount
Implementation	1- Implementation of the program in project districts	15 October 2017 for draft report And 30 October 2017 for final report and workshop	<b>100 % of Total Contract Amount</b>

Invoices shall indicate the milestones achieved and corresponding amount payable.

4. Special conditions

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.

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:**

Name  
Designation  
Address  
Tel. No.  
Fax. No.  
Email address:

**For the Contractor:**

Name  
Designation  
Address

Tel. No.  
Fax. No.  
Email address:

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 DESIGNATION]**

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

Agreed and Accepted:

Signature \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_



## **UNDP GENERAL CONDITIONS OF CONTRACT FOR SERVICES**

### **1.0 LEGAL STATUS:**

The Contractor shall be considered as having the legal status of an independent contractor vis-à-vis the United Nations Development Programme (UNDP). The Contractor's personnel and sub-contractors shall not be considered in any respect as being the employees or agents of UNDP or the United Nations.

### **2.0 SOURCE OF INSTRUCTIONS:**

The Contractor shall neither seek nor accept instructions from any authority external to UNDP in connection with the performance of its services under this Contract. The Contractor shall refrain from any action that may adversely affect UNDP or the United Nations and shall fulfill its commitments with the fullest regard to the interests of UNDP.

### **3.0 CONTRACTOR'S RESPONSIBILITY FOR EMPLOYEES:**

The Contractor shall be responsible for the professional and technical competence of its employees and will select, for work under this Contract, reliable individuals who will perform effectively in the implementation of this Contract, respect the local customs, and conform to a high standard of moral and ethical conduct.

### **4.0 ASSIGNMENT:**

The Contractor shall not assign, transfer, pledge or make other disposition of this Contract or any part thereof, or any of the Contractor's rights, claims or obligations under this Contract except with the prior written consent of UNDP.

### **5.0 SUB-CONTRACTING:**

In the event the Contractor requires the services of sub-contractors, the Contractor shall obtain the prior written approval and clearance of UNDP for all sub-contractors. The approval of UNDP of a sub-contractor shall not relieve the Contractor of any of its obligations under this Contract. The terms of any sub-contract shall be subject to and conform to the provisions of this Contract.

### **6.0 OFFICIALS NOT TO BENEFIT:**

The Contractor warrants that no official of UNDP or the United Nations has received or will be offered by the Contractor any direct or indirect benefit arising from this Contract or the award thereof. The Contractor agrees that breach of this provision is a breach of an essential term of this Contract.

### **7.0 INDEMNIFICATION:**

The Contractor shall indemnify, hold and save harmless, and defend, at its own expense, UNDP, its officials, agents, servants and employees from and against all suits, claims, demands, and liability of any nature or kind, including their costs and expenses, arising out of acts or omissions of the Contractor, or the Contractor's employees, officers, agents or sub-contractors, in the performance of this Contract. This provision shall extend, inter alia, to claims and liability in the nature of workmen's compensation, products liability and liability arising out of the use of patented inventions or devices, copyrighted material or other intellectual property by the Contractor, its employees, officers,

agents, servants or sub-contractors. The obligations under this Article do not lapse upon termination of this Contract.

#### **8.0 INSURANCE AND LIABILITIES TO THIRD PARTIES:**

**8.1** The Contractor shall provide and thereafter maintain insurance against all risks in respect of its property and any equipment used for the execution of this Contract.

**8.2** The Contractor shall provide and thereafter maintain all appropriate workmen's compensation insurance, or the equivalent, with respect to its employees to cover claims for personal injury or death in connection with this Contract.

**8.3** The Contractor shall also provide and thereafter maintain liability insurance in an adequate amount to cover third party claims for death or bodily injury, or loss of or damage to property, arising from or in connection with the provision of services under this Contract or the operation of any vehicles, boats, airplanes or other equipment owned or leased by the Contractor or its agents, servants, employees or sub-contractors performing work or services in connection with this Contract.

**8.4** Except for the workmen's compensation insurance, the insurance policies under this Article shall:

**8.4.1** Name UNDP as additional insured;

**8.4.2** Include a waiver of subrogation of the Contractor's rights to the insurance carrier against the UNDP;

**8.4.3** Provide that the UNDP shall receive thirty (30) days written notice from the insurers prior to any cancellation or change of coverage.

**8.5** The Contractor shall, upon request, provide the UNDP with satisfactory evidence of the insurance required under this Article.

#### **9.0 ENCUMBRANCES/LIENS:**

The Contractor shall not cause or permit any lien, attachment or other encumbrance by any person to be placed on file or to remain on file in any public office or on file with the UNDP against any monies due or to become due for any work done or materials furnished under this Contract, or by reason of any other claim or demand against the Contractor.

**10.0 TITLE TO EQUIPMENT:** Title to any equipment and supplies that may be furnished by UNDP shall rest with UNDP and any such equipment shall be returned to UNDP at the conclusion of this Contract or when no longer needed by the Contractor. Such equipment, when returned to UNDP, shall be in the same condition as when delivered to the Contractor, subject to normal wear and tear. The Contractor shall be liable to compensate UNDP for equipment determined to be damaged or degraded beyond normal wear and tear.

#### **11.0 COPYRIGHT, PATENTS AND OTHER PROPRIETARY RIGHTS:**

**11.1** Except as is otherwise expressly provided in writing in the Contract, the UNDP shall be entitled to all intellectual property and other proprietary rights including, but not limited to, patents, copyrights, and trademarks, with regard to products, processes, inventions, ideas, know-how, or documents and other materials which the Contractor has developed for the UNDP under the Contract and which bear a direct relation to or are produced or prepared or collected in consequence of, or during the course of, the performance of the Contract, and the Contractor acknowledges and agrees that such products, documents and other materials constitute works made for hire for the UNDP.



**11.2** To the extent that any such intellectual property or other proprietary rights consist of any intellectual property or other proprietary rights of the Contractor: (i) that pre-existed the performance by the Contractor of its obligations under the Contract, or (ii) that the Contractor may develop or acquire, or may have developed or acquired, independently of the performance of its obligations under the Contract, the UNDP does not and shall not claim any ownership interest thereto, and the Contractor grants to the UNDP a perpetual license to use such intellectual property or other proprietary right solely for the purposes of and in accordance with the requirements of the Contract.

**11.3** At the request of the UNDP; the Contractor shall take all necessary steps, execute all necessary documents and generally assist in securing such proprietary rights and transferring or licensing them to the UNDP in compliance with the requirements of the applicable law and of the Contract.

**11.4** Subject to the foregoing provisions, all maps, drawings, photographs, mosaics, plans, reports, estimates, recommendations, documents, and all other data compiled by or received by the Contractor under the Contract shall be the property of the UNDP, shall be made available for use or inspection by the UNDP at reasonable times and in reasonable places, shall be treated as confidential, and shall be delivered only to UNDP authorized officials on completion of work under the Contract.

## **12.0 USE OF NAME, EMBLEM OR OFFICIAL SEAL OF UNDP OR THE UNITED NATIONS:**

The Contractor shall not advertise or otherwise make public the fact that it is a Contractor with UNDP, nor shall the Contractor, in any manner whatsoever use the name, emblem or official seal of UNDP or THE United Nations, or any abbreviation of the name of UNDP or United Nations in connection with its business or otherwise.

## **13.0 CONFIDENTIAL NATURE OF DOCUMENTS AND INFORMATION:**

Information and data that is considered proprietary by either Party, and that is delivered or disclosed by one Party ("Discloser") to the other Party ("Recipient") during the course of performance of the Contract, and that is designated as confidential ("Information"), shall be held in confidence by that Party and shall be handled as follows:

**13.1** The recipient ("Recipient") of such information shall:

**13.1.1** use the same care and discretion to avoid disclosure, publication or dissemination of the Discloser's Information as it uses with its own similar information that it does not wish to disclose, publish or disseminate; and,

**13.1.2** use the Discloser's Information solely for the purpose for which it was disclosed.

**13.2** Provided that the Recipient has a written agreement with the following persons or entities requiring them to treat the Information confidential in accordance with the Contract and this Article 13, the Recipient may disclose Information to:

**13.2.1** any other party with the Discloser's prior written consent; and,

**13.2.2** the Recipient's employees, officials, representatives and agents who have a need to know such Information for purposes of performing obligations under the Contract, and employees officials, representatives and agents of any legal entity that it controls, controls it, or with which it is under common control, who have a need to know such Information for purposes of performing obligations under the Contract, provided that, for these purposes a controlled legal entity means:

**13.2.2.1** a corporate entity in which the Party owns or otherwise controls, whether directly or indirectly, over fifty percent (50%) of voting shares thereof; or,

**13.2.2.2** any entity over which the Party exercises effective managerial control; or,

**13.2.2.3** for the UNDP, an affiliated Fund such as UNCDF, UNIFEM and UNV.

**13.3** The Contractor may disclose Information to the extent required by law, provided that, subject to and without any waiver of the privileges and immunities of the United Nations, the Contractor will give the UNDP sufficient prior notice of a request for the disclosure of Information in order to allow the UNDP to have a reasonable opportunity to take protective measures or such other action as may be appropriate before any such disclosure is made.

**13.4** The UNDP may disclose Information to the extent as required pursuant to the Charter of the UN, resolutions or regulations of the General Assembly, or rules promulgated by the Secretary-General.

**13.5** The Recipient shall not be precluded from disclosing Information that is obtained by the Recipient from a third party without restriction, is disclosed by the Discloser to a third party without any obligation of confidentiality, is previously known by the Recipient, or at any time is developed by the Recipient completely independently of any disclosures hereunder.

**13.6** These obligations and restrictions of confidentiality shall be effective during the term of the Contract, including any extension thereof, and, unless otherwise provided in the Contract, shall remain effective following any termination of the Contract.

#### **14.0 FORCE MAJEURE; OTHER CHANGES IN CONDITIONS**

**14.1** In the event of and as soon as possible after the occurrence of any cause constituting force majeure, the Contractor shall give notice and full particulars in writing to the UNDP, of such occurrence or change if the Contractor is thereby rendered unable, wholly or in part, to perform its obligations and meet its responsibilities under this Contract. The Contractor shall also notify the UNDP of any other changes in conditions or the occurrence of any event that interferes or threatens to interfere with its performance of this Contract. On receipt of the notice required under this Article, the UNDP shall take such action as, in its sole discretion; it considers to be appropriate or necessary in the circumstances, including the granting to the Contractor of a reasonable extension of time in which to perform its obligations under this Contract.

**14.2** If the Contractor is rendered permanently unable, wholly, or in part, by reason of force majeure to perform its obligations and meet its responsibilities under this Contract, the UNDP shall have the right to suspend or terminate this Contract on the same terms and conditions as are provided for in Article 15, "Termination", except that the period of notice shall be seven (7) days instead of thirty (30) days.

**14.3** Force majeure as used in this Article means acts of God, war (whether declared or not), invasion, revolution, insurrection, or other acts of a similar nature or force.

**14.4** The Contractor acknowledges and agrees that, with respect to any obligations under the Contract that the Contractor must perform in or for any areas in which the UNDP is engaged in, preparing to engage in, or disengaging from any peacekeeping, humanitarian or similar operations, any delays or failure to perform such obligations arising from or relating to harsh conditions within such areas or to any incidents of civil unrest occurring in such areas shall not, in and of itself, constitute force majeure under the Contract..

#### **15.0 TERMINATION**

**15.1** Either party may terminate this Contract for cause, in whole or in part, upon thirty (30) days notice, in writing, to the other party. The initiation of arbitral proceedings in accordance with Article 16.2 ("Arbitration"), below, shall not be deemed a termination of this Contract.

**15.2** UNDP reserves the right to terminate without cause this Contract at any time upon 15 days prior written notice to the Contractor, in which case UNDP shall reimburse the Contractor for all reasonable costs incurred by the Contractor prior to receipt of the notice of termination.

**15.3** In the event of any termination by UNDP under this Article, no payment shall be due from UNDP to the Contractor except for work and services satisfactorily performed in conformity with the express terms of this Contract.

**15.4** Should the Contractor be adjudged bankrupt, or be liquidated or become insolvent, or should the Contractor make an assignment for the benefit of its creditors, or should a Receiver be appointed on account of the insolvency of the Contractor, the UNDP may, without prejudice to any other right or remedy it may have under the terms of these conditions, terminate this Contract forthwith. The Contractor shall immediately inform the UNDP of the occurrence of any of the above events.

## **16.0 SETTLEMENT OF DISPUTES**

**16.1 Amicable Settlement:** The Parties shall use their best efforts to settle amicably any dispute, controversy or claim arising out of this Contract or the breach, termination or invalidity thereof. Where the parties wish to seek such an amicable settlement through conciliation, the conciliation shall take place in accordance with the UNCITRAL Conciliation Rules then obtaining, or according to such other procedure as may be agreed between the parties.

**16.2 Arbitration:** Any dispute, controversy, or claim between the Parties arising out of the Contract or the breach, termination, or invalidity thereof, unless settled amicably under Article 16.1, above, within sixty (60) days after receipt by one Party of the other Party's written request for such amicable settlement, shall be referred by either Party to arbitration in accordance with the UNCITRAL Arbitration Rules then obtaining. The decisions of the arbitral tribunal shall be based on general principles of international commercial law. For all evidentiary questions, the arbitral tribunal shall be guided by the Supplementary Rules Governing the Presentation and Reception of Evidence in International Commercial Arbitration of the International Bar Association, 28 May 1983 edition. The arbitral tribunal shall be empowered to order the return or destruction of goods or any property, whether tangible or intangible, or of any confidential information provided under the Contract, order the termination of the Contract, or order that any other protective measures be taken with respect to the goods, services or any other property, whether tangible or intangible, or of any confidential information provided under the Contract, as appropriate, all in accordance with the authority of the arbitral tribunal pursuant to Article 26 ("Interim Measures of Protection") and Article 32 ("Form and Effect of the Award") of the UNCITRAL Arbitration Rules. The arbitral tribunal shall have no authority to award punitive damages. In addition, unless otherwise expressly provided in the Contract, the arbitral tribunal shall have no authority to award interest in excess of the London Inter-Bank Offered Rate ("LIBOR") then prevailing, and any such interest shall be simple interest only. The Parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such dispute, controversy, or claim.

## **17.0 PRIVILEGES AND IMMUNITIES:**

Nothing in or relating to this Contract shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations, including its subsidiary organs.

## **18.0 TAX EXEMPTION**

**18.1** Section 7 of the Convention on the Privileges and Immunities of the United Nations provides, inter-alia that the United Nations, including its subsidiary organs, is exempt from all direct taxes, except charges for public utility services, and is exempt from customs duties and charges of a similar nature in respect of articles imported or exported for its official use. In the event any governmental authority refuses to recognize the United Nations exemption from such taxes, duties or charges, the Contractor shall immediately consult with the UNDP to determine a mutually acceptable procedure.

**18.2** Accordingly, the Contractor authorizes UNDP to deduct from the Contractor's invoice any amount representing such taxes, duties or charges, unless the Contractor has consulted with the UNDP before the payment thereof and the UNDP has, in each instance, specifically authorized the Contractor to pay such taxes, duties or charges under protest. In that event, the Contractor shall provide the UNDP with written evidence that payment of such taxes, duties or charges has been made and appropriately authorized.

#### **19.0 CHILD LABOUR**

**19.1** The Contractor represents and warrants that neither it, nor any of its suppliers is engaged in any practice inconsistent with the rights set forth in the Convention on the Rights of the Child, including Article 32 thereof, which, inter alia, requires that a child shall be protected from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical mental, spiritual, moral or social development.

**19.2** Any breach of this representation and warranty shall entitle UNDP to terminate this Contract immediately upon notice to the Contractor, at no cost to UNDP.

#### **20.0 MINES:**

**20.1** The Contractor represents and warrants that neither it nor any of its suppliers is actively and directly engaged in patent activities, development, assembly, production, trade or manufacture of mines or in such activities in respect of components primarily utilized in the manufacture of Mines. The term "Mines" means those devices defined in Article 2, Paragraphs 1, 4 and 5 of Protocol II annexed to the Convention on Prohibitions and Restrictions on the Use of Certain Conventional Weapons Which May Be Deemed to Be Excessively Injurious or to Have Indiscriminate Effects of 1980.

**20.2** Any breach of this representation and warranty shall entitle UNDP to terminate this Contract immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind of UNDP.

#### **21.0 OBSERVANCE OF THE LAW:**

The Contractor shall comply with all laws, ordinances, rules, and regulations bearing upon the performance of its obligations under the terms of this Contract.

#### **22.0 SEXUAL EXPLOITATION:**

**22.1** The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by it or by any of its employees or any other persons who may be engaged by the Contractor to perform any services under the Contract. For these purposes, sexual activity with any person less than eighteen years of age, regardless of any laws relating to consent, shall constitute the sexual exploitation and abuse of such person. In addition, the Contractor shall refrain from, and shall take all appropriate measures to prohibit its employees or other persons engaged by it from, exchanging any money, goods, services, offers of employment or other things of value, for sexual favors or activities, or from engaging in any sexual activities that are exploitive or degrading to any person. The Contractor acknowledges and agrees that the provisions hereof constitute an essential term of the Contract and that any breach of this representation and warranty shall entitle UNDP to terminate the Contract immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind.

**22.2** The UNDP shall not apply the foregoing standard relating to age in any case in which the Contractor's personnel or any other person who may be engaged by the Contractor to perform any services under the Contract is married to the person less than the age of eighteen years with whom sexual activity has occurred and in which such marriage is recognized as valid under the laws of the country of citizenship of such Contractor's personnel or such other person who may be engaged by the Contractor to perform any services under the Contract.

## **23.0 SECURITY:**

### **23.1** 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;
- (b) Assume all risks and liabilities related to the Contractor's security, and the full implementation of the security plan.

**23.2** 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.

## **24.0 AUDITS AND INVESTIGATIONS:**

**24.1** 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.

**24.2** 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.

## **25.0 ANTI-TERRORISM:**

**25.1** 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.

## **26.0 AUTHORITY TO MODIFY:**

Pursuant to the Financial Regulations and Rules of UNDP, only the UNDP Authorized Official possesses the authority to agree on behalf of UNDP to any modification of or change in this Agreement, to a waiver of any of its provisions or to any additional contractual relationship of any kind with the Contractor. Accordingly, no modification or change in this Contract shall be valid and enforceable against UNDP unless provided by an amendment to this Agreement signed by the Contractor and jointly by the UNDP Authorized Official.

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