

REQUEST FOR PROPOSAL (RFP) (For Low-Valued Services)

	DATE: April 6, 2018
To all qualified and interested	REFERENCE: RFP/BPPS/2018/002 – Research "Do Fragile and conflict -
bidders	affected countries prioritize core government functions? Stocktaking public
	expenditures on public sector institutions to deliver on 2030 Agenda"

Dear Sir / Madam:

We kindly request you to submit your Proposal for **Research "Do Fragile and conflict -affected countries** prioritize core government functions? Stocktaking public expenditures on public sector institutions to deliver on 2030 Agenda".

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

Proposals may be submitted on or before Friday, April 27, 2018 (Eastern Standard Time) via email to the following address:

United Nations Development Programme bpps.procurement@undp.org

Attn: Jairo Acuna-Alfaro, Policy Advisor, Responsive and Accountable Institutions Team, Governance and Peacebuilding, Bureau for Policy and Programme Support

Your Proposal must be expressed in **English**, and valid for a minimum period of **120 calendar days**.

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

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

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

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

No price variation due to escalation, inflation, fluctuation in exchange rates, or any other market factors

shall be accepted by UNDP after it has received the Proposal. At the time of Award of Contract or Purchase Order, UNDP reserves the right to vary (increase or decrease) the quantity of services and/or goods, by up to a maximum twenty-five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.

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

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

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

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

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

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

Thank you and we look forward to receiving your Proposal.

Si Si Sincerely yours,

Patrick Keuleers Director, Governance and Peace Building Cluster, Bureau for Policy and Programme Support

DESCRIPTION OF REQUIREMENTS

Context of the Requirement	 Fragility and crises lag development processes. Fragile countries, including those transitioning out of years of violence and conflict, are where it will be most difficult to implement the 2030 Agenda. The statistics related to fragile situations are staggering. Two billion people live in countries where development outcomes are affected by fragility, conflict and violence. Nearly fifty percent of the global poor is predicted to be living in fragile and conflict affected situations by 2030. At the same time, worldwide trends show that crises are becoming more complex, with contexts expanding from the traditional interstate conflicts to sociopolitical and economic triggers including volatile transitions in polarized political systems, stateperiphery clashes, intrastate fragmentation, internationalized internal armed conflict,
	Strengthening core government institutions can catalyze resilience to shocks and crises. Strengthening core government functions is assumed indispensable to build peace, restore confidence in state and bring sense of progress to citizens. In fact, peacebuilding programming can be focused on ensuring macro-fiscal stability and the viability of core government functions and restoration of basic state capacities (UN/WB Pathways for Peace, 2017). Legitimate public-sector institutions and responsive government functions are critical to provide citizen security, justice and jobs is crucial to breaking the cycle of violence (World Development Report 2011, 2). Yet, In the aftermath of conflict, recreating a functioning state able to restore legitimacy, provide basic services, and ensure security to its citizens is a challenge. UNDP has traditionally encouraged public administration and CGF management reforms to allow a more transparent and effective flow of resources. This technical agenda is hard to achieve in the absence of minimally functioning institutions. Fragile and conflict-affected states require fundamentally different approaches from the development models exercised in more resilient countries, because of the different context of risk.
	Core government functions expenditures during transitions. What is missing from global discourse is an understanding of why and how early investments in strengthening the basic functionality and management of core government institutions in fragile and crisis settings outweighs the costs of inaction and catalyzes sustainable peace and progress to implementing the 2030 Agenda. In some settings, the building blocks for longer term institutional transformation can be traced by looking at trends and evolution in government spending on building institutional resilience and delivering necessary services over time (before, during and in the immediate aftermath of conflict). Although there is an increasing literature on tracing public spending linkages with improvements in institutional capacity to deliver necessary services across middle to low-income countries, the focus on fragile and conflict-affected settings has yet to be explored in detail and lesson-learning opportunities have yet to be fully exploited. This

	Nations Peacebuilding Architecture around more predictable financing of peacebuilding (donor, government, and partners). The review recommends that:
	"[the development community] should initiate a process of preparing more detailed and accurate country-by-country estimates of the overall funding needs for sustaining peace over the longer-term. Such estimates will help the UN and partners better understand their investments, better discuss compacts with national governments about national contributions, identify prevailing gaps and justify global fundraising".1
Implementing	Direct Implementation (DIM) by UNDP
Partner of UNDP Brief Description of	RESEARCH OBJECTIVES AND HYPOTHESIS
the Required	
Services ²	UNDP is embarking on a comparative research aimed at examining experiences in (re)building core government functions and implementing public sector governance and service delivery management interventions. The research focus on five fragile and conflict-affected countries.
	In terms of focus and contribution, the research will feed into the development of strategies for implementing the 2030 Agenda and targeted MAPS missions. It will also contribute to on-going innovative thinking on how to build resilience to shocks and crisis in ways that sustain development gains to date, build on success, and improve institutional delivery and accountability in contexts of continuing fragility, political uncertainty, and ongoing crises.
	The main research hypothesis is:
	Fragile and conflict-affected governments that prioritize restoring core government functionality in their national budgets, as well as their spending of humanitarian and development aid, are more successful in their transitions towards peace and development.
	To validate this, the research will aim to answer the following questions:
	1. What areas are prioritized in government expenditures in fragile and conflict affected-settings?
	2. Do spending priorities change before, during and after a violent conflict? Does priority national budget spending shift in particular areas and timeframes during a transition?
	3. What evidence exists regarding levels of spending (national budgets as well as from humanitarian and development aid) on restoring core government functions and implications on the risk of a relapse into conflict?

¹ Recommendation from the report of the Advisory Group of Experts of the Peacebuilding Architecture Review, June 2015.

	4. Are donor commitments and expenditures conducive and aligned to the needs for restoring core government functions?			
	The focus of the research will be firmly on relevant lessons from transitions out of conflict settings. The research will aim to insights on ways in which institutional development can be fostered through building effective linkages between investments made to ensure institutional recovery and improvements in public spending on service delivery systems (both formal and informal, state and non-state) in fragile and conflict-settings.			
	A detailed Terms of Reference is attached to this request.			
List and Description of Expected	AUDIENCE			
Outputs to be Delivered	The research will target different audiences. Hence, presentations and discussions may be tailored to specific aspects depending on interests and relevance:			
	Governments of selected five involved countries			
	UN and other development partners working in conflict-affected and fragile settings in the region and globally who are engaged on issues of conflict and fragility and who support governments in managing aid flows and public finances, in conflict-affected settings.			
	Other stakeholders working on issues of conflict and fragility including non governmental organizations, academic institutions, and national research bodies.			
	DELIVERABLES/OUTCOMES			
	Main deliverables are envisaged as follows:			
	1. The overview or main report will present the key findings of the case studies, set out the main issues and challenges and define an analytical approach for future interventions.			
	2. Case studies across five countries will form the background papers to the report. They will set out the country context and successes and failures of different approaches in fragile environments, and draw lessons from these approaches for future interventions. (A short video (7-10 minutes) highlighting few success/failure stories for each country)			
	3. Accompanying power point presentations for both the case studies and overview report.			
	4. An approach paper and guidance note(s) that allow for the better design and effective implementation of interventions in low-capacity, conflict affected areas, including public sector governance programs.			

Person to Supervise	Research Panel			
the Work/Performance of the Service Provider	The research will be led by the Responsive and Accountable Institutions team of the UNDP/BPPS Governance and Peacebuilding Cluster. The task team will include a core group of UNDP core government functions and recovery staff who will manage the study, synthesize findings, and ensure quality, as well as a team of consultants who will undertake the research. The project will be managed and led by Jose Cruz-Osorio, Team Leader of the UNDP Responsive and Accountable Institutions team. The research team will work in close collaboration with the UNDP Regional Bureaus, Regional Hubs, Country Offices and will include members of the UN Interagency Platform on Supporting Core Government Functions in Fragile and Conflict-Affected Settings (co-chaired by UNDP and DPA) to identify relevant country cases.			
Frequency of	At least monthly.			
Reporting				
Progress Reporting Requirements	 The reporting on progress will reflect the agreed scope of activities (for reporting period) and analysis of progress towards achieving the below milestones, clarifying scope of interactions with partners and beneficiaries. The report and possible discussions will also focus on identifying possible challenges and agree on ways to effectively apply solutions. The proposed timeframe for carrying out the study is as follows, with the main rep to be completed by December 2018: 			
	Milestones and Timelines			
	1. Global literature review and inception report	1 July 2018		
	2. Case study research/missions	1 October 2018		
	3. Workshop/prelim findings	15 October 2018		
	4. Draft Main/Overview Report	1 December 2018		
	5. Final/Main Report 31 December 2018			
Location of work	At Contractor's Location /and Mission location	S		
Location of work Expected duration of work	1 July- 31 December 2018.			
Target start date	1 July 2018			
Latest completion date	31 December 2018			
	The selected offeror will be expected to be under	-		
Travels Expected	categorized as fragile and conflict affected coun	tries (refer to below section "Other		

	Information on page no. 10 for more information). Financial answer biddless
	Information on page no. 10 for more information). Financial proposals from bidders shall reflect the cost of expected missions.
	Bidders are expected to identify and recommend targeted countries and provide justification for the selection. Technical assessment will entail scoring the selection of countries by bidders under proposed methodologies.
	Tickets: the UNDP considers reimbursing tickets of (most) economic category and not higher classes. In cases of possible shifts or cancellation of mission dates, UNDP will not be reimbursing the selected company of the costs to be occurred by company for arranging the missions for its personnel.
	Travel allowances are expected not to exceed those set by the United Nations (Daily Substance allowances, terminals, etc.).
	The bidder may be also expected to obtain user feedback via electronic surveys, email, phone, and/or other means deemed necessary to complete the objectives of the research. All costs related to such communications and data gathering/analysis should be factored into the bid.
Special Security Requirements	Others (Standard security requirements apply, that are governed by the local and international laws).
Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal)	Not Applicable
Implementation Schedule indicating breakdown and timing of activities/sub- activities	⊠ Required
Names and curriculum vitae of individuals who will be involved in completing the services	⊠ Required
Currency of Proposal	⊠ United States Dollars
Value Added Tax on Price Proposal ³	Implicable indirect taxes

 $^{^{3}}$ VAT exemption status varies from one country to another. Pls. check whatever is applicable to the UNDP CO/BU requiring the service.

Validity Period of Proposals (Counting	🛛 120 days					
for the last day of submission of quotes)	In exceptional circumstances, UNDP may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal.					
Partial Quotes	⊠ Not permitted					
Payment Terms ⁴	Outputs	Percentage	Timing/Planned payment date	Condition for Payment Release		
	Global literature review and inception report	20%	1 July, 2018	Within thirty (30) days from the date of meeting the following conditions: a) UNDP's written acceptance (i.e., not		
	Case study research	20%	1 October, 2018	mere receipt) of the quality of the		
	Draft Main/Overview Report	30%	1 December, 2018	outputs; and b) Receipt of invoice from the Service		
	Final Main report	30%	31 Dec 2018	Provider.		
Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment		-	onsive and Accountabl United Nations Develc	le Institutions team, Bureau for opment Programme		
Criteria for Contract Award	 Highest Combined Score (based on the 70% technical offer and 30% price weight distribution) Full acceptance of the UNDP Contract General Terms and Conditions (GTC). This is a mandatory criteria and cannot be deleted regardless of the nature of services required. Non acceptance of the GTC may be grounds for the rejection of the Proposal. 					
Criteria for the Assessment of Proposal	 <u>Technical Proposal (70%) (Minimum pass score is 49 points out of 70 total obtainable)</u> Qualifications of Company (25 points): Demonstrated experience with programming analysis and synthesis based on data and other evidence in fragile and conflict affected countries (15 points); 					

⁴ UNDP preference is not to pay any amount in advance upon signing of contract. If the Service Provider strictly requires payment in advance, it will be limited only up to 20% of the total price quoted. For any higher percentage, or any amount advanced exceeding \$30,000, UNDP shall require the Service Provider to submit a bank guarantee or bank cheque payable to UNDP, in the same amount as the payment advanced by UNDP to the Service Provider.

 Minimum 5 years of experience undertaking qualitative research through literature review and interviews (4 points); Knowledge of and experience working with UN Organizations (2 points); Experience with UNDP country offices will be considered an asset (2 points); Demonstrated experience in setting strong relationships with clients, focuses on impacts and results for clients, and responds positively to feedback (2 points). Approach and Proposed Methodology (20 points): Relevance and appropriateness of the proposed approach and methodology to effectively deliver the assignment (10 points);
 Completeness, appropriateness and relevance of the proposed activities to the Terms of Reference, and recommended list of targeted countries (10 points); Adequate and relevance of the proposed quality assurance mechanisms (5 points); Demonstrated networking relationship in fragile and conflict affected countries (5 points).
 Qualifications of Key Personnel (25 points): Senior Advisor (Team Leader) (20 points) Proven knowledge of elements leading to the quality of research on the subjected matter (10 points); Master's Degree in political science, public administration, development studies in piece or related field (2 points); Minimum 5 years of demonstrated experience in international policy and research in Fragile and conflict affected countries (5 points); Proven excellent English writing and communication skills, particularly in the context of writing to make complex content accessible to all. The potential candidate(s) is requested to submit a list of relevant publications (3 points).
Research Analysts (5 points):
UNDP estimates that up to 5 Research Analysts will be required for this assignment. Bidders may offer different number of analysts and duration for the assignment.
 Minimum educational level: University degree in the related field, with skills in data analysis; Minimum years of relevant experience: 2 years; Specialized skills: Data analysis.
The firm/institution is expected to offer and deploy analysts to perform the proposed assignment.
UNDP estimates a total number of 50 working days for team leader, and 10-15 days for each research analyst. Bidders are welcome to suggest different scope depending it their capacities and suggested methodologies and tools.

	 Financial Proposal (30% or maximum 30 points) (Only bidders which get minimum of 49 points on technical evaluation will be technically responsive and considered for financial evaluation) To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP. FP Rating = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100 Total Combined Score: (TP Rating) x (Weight of TP, e.g. 70%) (FP Rating) x (Weight of FP, e.g. 30%) Total Combined and Final Rating of the Proposal
UNDP will award the contract to:	One company/firm or university. Any proposer can submit an offer however a proposer cannot submit at the same time its own proposal and be a subcontractor with another proposer. This situation will raise a conflict of interest. However, two or more companies can form an association and submit ONE proposal. In this case the companies have to select a leading company amongst them and with whom will sign the contract with UNDP.
Type of Contract to be Signed Contract General Terms and Conditions ⁵	 Purchase Order Other Type/s of Contract (Contract for professional services) General Terms and Conditions for contracts (goods and/or services) Applicable Terms and Conditions are available at: <u>http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html</u>
Annexes to this RFP ⁶	 ☑ Form for Submission of Proposal (Annex 2) ☑ General Terms and Conditions / Special Conditions (Annex 4) ☑ Detailed TOR (Annex 3)

 ⁵ Service Providers are alerted that non-acceptance of the terms of the General Terms and Conditions (GTC) may be grounds for disqualification from this procurement process.
 ⁶ Where the information is available in the web, a URL for the information may simply be provided.

Contact Person for Inquiries (Written inquiries only) ⁷	Focal Person in UNDP: Jairo Acuna-Alfaro Email address: jairo.acuna@undp.org with copy to bpps.procurement@undp.org and sunda.may@undp.org
	Last day to submit questions to UNDP is 7 days before the submission date. UNDP will provide responses on a rolling basis for each.
	Any delay in UNDP's response shall be not used as a reason for extending the deadline for submission, unless UNDP determines that such an extension is necessary and communicates a new deadline to the Proposers.
Other Information [pls. specify]	In this report there is an annex with a long list of fragile and conflict affected countries: <u>Civil Service Restoration and Reform in Fragile and Conflict-Affected</u> <u>Settings</u>

⁷ This contact person and address is officially designated by UNDP. If inquiries are sent to other person/s or address/es, even if they are UNDP staff, UNDP shall have no obligation to respond nor can UNDP confirm that the query was received.

Annex 2 - FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL⁸

(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery⁹)

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

To: UNDP

Dear Sir/Madam:

Subject: RFP/BPPS/2018/002 – Research "Do Fragile and conflict -affected countries prioritize core government functions? Stocktaking public expenditures on public sector institutions to deliver on 2030 Agenda"

We, the undersigned, hereby offer to render the following services to UNDP in conformity with the requirements defined in the RFP dated **4/6/2018**, and all of its attachments, as well as the provisions of the UNDP General Contract Terms and Conditions:

A. Qualifications of the Service Provider

The Service Provider **must** describe and explain how and why they are the best entity that can deliver the requirements of UNDP by <u>indicating and providing</u> the following:

- a) Profile describing the nature of business, field of expertise, licenses, certifications, accreditations;
- b) Business Licenses Registration Papers, Tax Payment Certification, etc.
- c) Latest Audited Financial Statement income statement and balance sheet to indicate Its financial stability, liquidity, credit standing, and market reputation, etc.;
- d) Track Record list of major 3-4 clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contact references;
- e) Certificates and Accreditation, if applicable including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.
- f) Written Self-Declaration that the company is not in the UN Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.

B. Proposed Methodology for the Completion of Services

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

⁸ This serves as a guide to the Service Provider in preparing the Proposal.

⁹ Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

will be appropriate to the local conditions and context of the work.

C. Qualifications of Key Personnel

The Service Provider must provide the following information and documents in their technical proposal:

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

D. Cost Breakdown per Deliverable*

	Deliverables [list them as referred to in the RFP]	Percentage of Total Price (Weight for payment)	Price (Lump Sum, All Inclusive)
1	Global literature review and inception	20%	
	report		
2	Case study research	20%	
3	Draft Main/Overview Report	30%	
4	Main/Final Report	30%	
	Total	100%	

*This shall be the basis of the payment tranches

E. Cost Breakdown by Cost Component [This is only an Example]:

Description of Activity	Remuneration	Total Period of	No. of	Total Rate
	per Unit of Time	Engagement	Personnel	
I. Personnel Services				
1. Services from Home Office				
a. Team Leader				
b. Research Analyst				
2. Services from Field Offices				
a. Team Leader				
b. Research Analyst				
3. Services from Overseas				
a. Team Leader				
b. Research Analyst				
II. Out of Pocket Expenses				
Suggested Mission 1 to: [add				
city/country]				
Mission objective/travelers/duration:				
1. Travel Costs				
2. Daily Allowance				
3. Communications				

4. Reproduction	
5. Equipment Lease	
6. Others	
Sub-total mission 1 to [city/country]	
Suggested Mission 2 to: [add	
city/country]	
Mission objective/travelers/duration:	
1. Travel Costs	
2. Daily Allowance	
3. Communications	
4. Reproduction	
5. Equipment Lease	
6. Others, please specify	
Sub-total mission 2 to [city/country]	
Suggested Mission 3 to: [add	
city/country]	
Mission objective/travelers/duration:	
1. Travel Costs	
2. Daily Allowance	
3. Communications	
4. Reproduction	
5. Equipment Lease	
6. Others, please specify	
Sub-total mission 3 to [city/country]	
Suggested Mission 4 to: [add	
city/country]	
Mission objective/travelers/duration:	
1. Travel Costs	
2. Daily Allowance	
3. Communications	
4. Reproduction	
5. Equipment Lease	
6. Others, please specify	
Sub-total mission 4 to [city/country]	
Suggested Mission 5 to: [add	
city/country]	
Mission objective/travelers/duration:	
1. Travel Costs	
2. Daily Allowance	
3. Communications	
4. Reproduction	
5. Equipment Lease	
6. Others, please specify	
Sub-total mission 5 to [city/country]	
III. Other Related Costs (kindly specify	
unit cost quantity and totals)	
Video production (7-10 minutes)	

PPT presentations (editorial and		
design work)		
Others		
IV Grand total in US\$		US\$

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