



## REQUEST FOR PROPOSAL (RFP)

### Services of a Firm for Business Model for Impact Investment in Managing Marine Protected Areas

	DATE: <b>December 19, 2018</b>
	REFERENCE: <b>PHL-RFP-2018-105</b>

Dear Sir / Madam:

We kindly request you to submit your Proposal for the **Services of a Firm for Business Model for Impact Investment in Managing Marine Protected Areas**.

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

Proposals may be submitted on or before **Wednesday, January 09, 2019** and via email, courier mail or fax to the address below:

**United Nations Development Programme**  
**15<sup>th</sup> Floor North Tower, Rockwell Buisness Center Sheridan,**  
**Sheridan Street corner United Street highway Hills, 1550 Mandaluyong City**  
**The Procurement Unit | Mr. Joseph Pangilinan**  
**Mobile : 63.917.7961975;**  
**Email address: joseph.pangilinan@undp.org**

Your Proposal must be expressed in English, and valid for a minimum period of 120 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 attached hereto. The mere act of submission of a Proposal implies that the Service Provider accepts without question the General Terms and Conditions of UNDP, herein attached as Annex 3.

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

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

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

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

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

Thank you and we look forward to receiving your Proposal.

Sincerely yours,

**Alka Aneja**  
*Procurement Team Leader*  
12/18/2018

## Description of Requirements

Context of the Requirement	Development of a Business Model for Impact Investment in Managing Protected Areas
Implementing Partner of UNDP	Not Applicable.
Brief Description of the Required Services <sup>1</sup>	<p>The “Strengthening the Marine Protected Areas to Conserve Marine Key Biodiversity Areas in the Philippines” or SMARTSeas PH Project is supported by UNDP and GEF and implemented by the Biodiversity Management Bureau of the Department of Environment and Natural Resources. The Project encompasses five (5) demonstration sites, each with one local responsible partner. It seeks to accelerate the establishment of marine protected areas (MPAs) and marine protected area networks (MPANs) to include and protect more key marine biodiversity areas and improve the management effectiveness of MPA/MPAN primarily to reduce the rapid degradation of marine and coastal habitats and stem the alarming biodiversity loss.</p> <p>The project focuses on three outcomes: 1) Improved management effectiveness of marine protected areas (MPA) and MPA network; 2) Improved financial sustainability of management of MPA and MPA network; and 3) Establish enabling policy framework for marine biodiversity conservation.</p> <p>In support to its Outcome 2, which leans toward provision of sustainable alternative livelihood to coastal communities, initiatives at the national and local government levels are undertaken. On national level, the Project supports dialogues towards institutionalization of other financial generating mechanisms (e.g. auxiliary tickets, rents, user fees, etc). While on local level, focus is given on the promotion of cost efficiencies and cost effectiveness in MPA and MPAN management as well as the improvement and diversification of funding sources, enhancement of capacities for financial and business planning including sound decision-making pertaining to resource allocation, and transparent processes for fund management.</p> <p>The project also formulated four major outputs to achieve its Outcome 2, namely: 2.1) Benchmark management costs established for MPAs of varying size and potential cost savings or cost efficiencies on average per site identified through consolidation of management functions in MPANs; 2.2) At least two MPANs (Verde Island Passage and Davao Gulf) implementing financing and business plan targeting increases in revenue generation from the tourism and fisheries sectors; 2.3) At least five (5) of locally managed MPA in each of five (5) sites have revenue generation schemes in</p>

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

	<p>operation, including market-based visitor and service fees for tourism operators, pilot ecological service payments from the fisheries sector and local taxes for conservation and management of key tourism draws; and 2.4) MPA financing plans developed and piloted in at least 30% of MPAs in each of five sites, incorporating governance mechanisms to ensure participatory management of revenues and resources involving local communities, local government and national government agencies as appropriate.</p> <p>Relative to Output 2.3 and the result of the project's Mid-Term Review which recognizes the lacking element, citing that business plans will never be implemented if the lacking financial assistance will not be satisfied, a contractor that will provide technical assistance on formulation and establishment of a viable business model is highly recommended.</p>
List and Description of Expected Outputs to be Delivered	<p><b>A. Scope of Work:</b></p> <p>Under the overall guidance of the Programme Manager of the Inclusive and Sustainable Development Unit (ISD) and the direct supervision of the Programme Analyst and SMARTSeas PH Program Manager, the contractor will be responsible to fulfill the following functions:</p> <ul style="list-style-type: none"> <li>i Conduct an assessment and select one out of the five SMARTSeas partner sites in consideration and determine the viability of a sustainable financing and existence of adequate context;</li> <li>ii Provide technical assistance to the selected SMARTSeas partner site in development of a business model for long term management and sustainable financing of a marine protected area (MPA) through; <ul style="list-style-type: none"> <li>a. Formulation and finalization of an optimal business management scheme in accordance with the site's existing potential and local guidelines;</li> <li>b. Provision of technical guidance on identification of financial strategy that ensures multi-stakeholder inclusion and participation;</li> <li>c. Provision of legal assistance towards establishment of an apt business and financial management scheme;</li> <li>d. Identification of potential investors for impact investment scheme , that will match the site's draft business model and management scheme;</li> <li>e. Presentation to potential investors of the business model for funding approval;</li> <li>f. Facilitate formalization of partnership of potential investor and representative of the selected SMARTSeas PH site.</li> </ul> </li> <li>iii Conduct regular monitoring and evaluation through: <ul style="list-style-type: none"> <li>a. Submission of periodic work and financial plan, reviewed and endorsed by the SMARTSeas PMU to UNDP CO for clearance</li> <li>b. Submission of periodic work progress report that is aligned with the</li> </ul> </li> </ul>

- approved WFP and additional agreements, if any;
- c. Conduct consultations and focus group discussions involving all relevant stakeholders such as but not limited to NGOs, private stakeholders, etc;
- iv Ensure buy in of all relevant stakeholders through conducting inception meetings prior to project implementation, and debriefing session prior to project transition;
- v Coordinate closely with UNDP and SMARTSeas PMU regarding conduct of site-level activities

***B. Deliverables and Expected Outputs***

<b>Deliverables/ Outputs</b>	<b>Estimated Duration to Complete</b>	<b>Target Due Dates</b>	<b>Review and Approvals Required</b>
1. Project inception report, site assessment, and proposed work and financial plan	2 months	28 February 2019	Review by ISD Programme Analyst and SMARTSeas Project Manager  Approval by ISD Programme Manager
2. First progress report, including the draft business model	4 months	15 April 2019	
3. Second and third progress reports	3 months	15 August 2019	
4. Fourth/last progress report, and project completion report which summarizes the project highlights, learning, innovations, and recommendations	3 months	30 November 2019	

	<p><b>C. Performance Indicators and Service Level</b></p> <p>Key services required, includes but are not limited to:</p> <ul style="list-style-type: none"> <li>- Conduct 1 site assessment which will inform the site selection process;</li> <li>- Provide technical assistance on financial, legal and business planning all throughout the project duration until the site is able to adopt its business plan;</li> <li>- Conduct quarterly on and off-site monitoring and evaluation;</li> <li>- Coordinate and update the local government units and POs on the project progress;</li> <li>- Write and submit progress report every end of trimester.</li> </ul> <p>In cases where the required service level is not met by the contractor, the Programme Analyst will inform the contractor and certain instructions to successfully and appropriately accomplish the deliverables. Payment processing will also depend on the acceptance of deliverables.</p>
Person to Supervise the Work/Performance of the Service Provider	<p><b><u>Governance and Accountability</u></b></p> <p>The contractor will work under overall guidance of the UNDP Inclusive and Sustainable Development Programme Manager and direct supervision of the Program Analyst and SMARTSeas Project Program Manager.</p> <p>The contractor is required to submit progress report every end of trimester with appropriate requirements.</p> <p>It shall closely coordinate with the provincial and local government units, community of the chosen site, LRP, PMU, UNDP, and others as identified by the PMU. The provincial and local government units shall confer with the proposed plan, while the community of the chosen site will mostly participate, decide, contribute and concur in the designing process. The LRP and PMU will assist the contractor in coordinating with the chosen site. Lastly, UNDP with the PMU's support will provide direction to the project, and review and accept the deliverables.</p>
Frequency of Reporting	<i>as required, per TOR</i>
Progress Reporting Requirements	<i>as required, per TOR</i>
Location of work	<input checked="" type="checkbox"/> Exact Address/es: <b>Manila</b> <input type="checkbox"/> At Contractor's Location
Expected duration of work	The contract is valid for <b>120 days</b> upon contract signing.
Target start date	<b>31 January 2019</b>

Latest completion date	<b>15 December 2019</b>																			
Travels Expected	<b>NA</b> <table border="1"> <thead> <tr> <th>Destination/s</th> <th>Estimated Duration</th> <th>Brief Description of Purpose of the Travel</th> <th>Target Date/s</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>				Destination/s	Estimated Duration	Brief Description of Purpose of the Travel	Target Date/s												
Destination/s	Estimated Duration	Brief Description of Purpose of the Travel	Target Date/s																	
Special Security Requirements	<b>NA</b> <input type="checkbox"/> Security Clearance from UN prior to travelling <input type="checkbox"/> Completion of UN's Basic and Advanced Security Training <input type="checkbox"/> Comprehensive Travel Insurance <input type="checkbox"/> Others <i>[pls. specify]</i>																			
Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal)	<input type="checkbox"/> Office space and facilities <input type="checkbox"/> Land Transportation <input checked="" type="checkbox"/> <b>Others to be provided by the contractor</b>																			
Implementation Schedule indicating breakdown and timing of activities/sub-activities	<input checked="" type="checkbox"/> <b>Required</b> <input type="checkbox"/> Not Required																			
Names and curriculum vitae of individuals who will be involved in completing the services	<input checked="" type="checkbox"/> <b>Required</b> <input type="checkbox"/> Not Required																			
Currency of Proposal	<input type="checkbox"/> United States Dollars <input type="checkbox"/> Euro <input checked="" type="checkbox"/> <b>Local Currency: Philippine Peso</b>																			
Value Added Tax on Price Proposal <sup>2</sup>	<input checked="" type="checkbox"/> <b>must be inclusive of VAT and other applicable indirect taxes</b> <input type="checkbox"/> must be exclusive of VAT and other applicable indirect taxes																			

<sup>2</sup> 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 for the last day of submission of quotes)	<input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input checked="" type="checkbox"/> <b>120 days</b>  In exceptional circumstances, UNDP may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal.
Partial Quotes	<input checked="" type="checkbox"/> <b>Not permitted</b> <input type="checkbox"/> Permitted [ <i>pls. provide conditions for partial quotes, and ensure that requirements are properly listed to allow partial quotes (e.g., in lots, etc.)</i> ]
Payment Terms <sup>3</sup>	<i>as required, per TOR</i>
Person(s) to review/inspect / approve outputs/completed services and authorize the disbursement of payment	<i>as required, per TOR</i>  Note: Payments will only be released upon receipt of the endorsed and finalized report. Likewise, a certificate of work completion signed by the UNDP RPB Team Leader will be required before payment processing.

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



Criteria for Contract Award	<input type="checkbox"/> Lowest Price Quote among technically responsive offers <input checked="" type="checkbox"/> <b>Highest Combined Score (based on the 70% technical offer and 30% price weight distribution)</b> <input checked="" type="checkbox"/> <b>Full acceptance of the UNDP Contract General Terms and Conditions (GTC). This is a mandatory criterion and cannot be deleted regardless of the nature of services required. Non- acceptance of the GTC may be grounds for the rejection of the Proposal.</b>
Criteria for the Assessment of Proposal	<p><b><u>Technical Proposal (1,000 pts. = 70%)</u></b></p> <input checked="" type="checkbox"/> <b>Expertise of the Firm 300pts.</b> <input checked="" type="checkbox"/> <b>Methodology, Its Appropriateness to the Condition and Timeliness of the Implementation Plan 400pts.</b> <input checked="" type="checkbox"/> <b>Qualification of Key Personnel 300pts.</b>
	<p><b><u>Financial Proposal (30%)</u></b></p> <p><b>To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP.</b></p>
UNDP will award the contract to:	<input checked="" type="checkbox"/> <b>One and only one Service Provider</b> <input type="checkbox"/> One or more Service Providers, depending on the following factors : <i>[Clarify fully how and why will this be achieved. Please do not choose this option without indicating the parameters for awarding to multiple Service Providers]</i>
Type of Contract to be Signed	<input type="checkbox"/> Purchase Order <input checked="" type="checkbox"/> <b>Contract Face Sheet (Goods and-or Services) UNDP</b> (this template is also utilised for Long-Term Agreement <sup>4</sup> and if LTA will be signed, specify the document that will trigger the call-off. E.g., PO, etc.) <input type="checkbox"/> Other Type/s of Contract
Contract General Terms and Conditions <sup>5</sup>	<input checked="" type="checkbox"/> <b>General Terms and Conditions for contracts (goods and/or services)</b> <input type="checkbox"/> General Terms and Conditions for de minimi contracts (services only, less than \$50,000)  Applicable Terms and Conditions are available at: <a href="http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html">http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html</a>
Annexes to this RFP <sup>6</sup>	<input checked="" type="checkbox"/> <b>Form for Submission of Proposal (Annex 2)</b> <input checked="" type="checkbox"/> <b>Detailed TOR</b> <i>[optional if this form has been accomplished comprehensively]</i> <input type="checkbox"/> Others <sup>7</sup> <i>[pls. specify]</i>

<sup>4</sup> Minimum of one (1) year period and may be extended up to a maximum of three (3) years subject to satisfactory performance evaluation

<sup>5</sup> 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.

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

<sup>7</sup> A more detailed Terms of Reference in addition to the contents of this RFP may be attached hereto.

Contact Person for Inquiries (Written inquiries only) <sup>8</sup>	<p> [Name] : <b>Joseph Pangilinan</b>  [Designation] : <b>Procurement Assistant</b>  [Tel] : + <b>Mobile : 63.0917.796.1975</b>  [Email] : joseph.pangilinan@undp.org </p> <p> 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. </p>
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<sup>8</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 received.*

## FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL<sup>9</sup>

*(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery<sup>10</sup>)*

[insert: Location].

[insert: Date]

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

Dear Sir/Madam:

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

### A. Qualifications of the Service Provider

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

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

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

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

<sup>9</sup> This serves as a guide to the Service Provider in preparing the Proposal.

<sup>10</sup> Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

**C. Qualifications of Key Personnel**

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

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

**D. Cost Breakdown per Deliverable\***

	<b>Deliverables</b> <i>[list them as referred to in the RFP]</i>	<b>Percentage of Total Price</b> <i>(Weight for payment)</i>	<b>Price</b> <i>(Lump Sum, All Inclusive)</i>
1	Deliverable 1		
2	Deliverable 2		
3	....		
	Total	100%	

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

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

<b>Description of Activity</b>	<b>Remuneration per Unit of Time</b>	<b>Total Period of Engagement</b>	<b>No. of Personnel</b>	<b>Total Rate</b>
<b>I. Personnel Services</b>				
1. Services from Home Office				
a. Expertise 1				
b. Expertise 2				
2. Services from Field Offices				
a. Expertise 1				
b. Expertise 2				
3. Services from Overseas				
a. Expertise 1				
b. Expertise 2				
<b>II. Out of Pocket Expenses</b>				
1. Travel Costs				
2. Daily Allowance				
3. Communications				
4. Reproduction				
5. Equipment Lease				
6. Others				
<b>III. Other Related Costs</b>				

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

*[Designation]*

*[Date]*