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REQUEST FOR PROPOSAL (RFP)

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| National Open Bidding | DATE: February 05, 2019 |
| | REFERENCE: RFP/007/IND-2019 |

Dear Sir / Madam:

We kindly request to submit your proposal for “**Conducting end-line (phase I), baseline (phase II) and SDG progress evaluation studies of Project Uddyam in Talasari, Palghar, Maharashtra**”.

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

- Annexure 1 – Description of Requirements
- Annexure 2 – Terms of Reference
- Annexure 3 – Form for submitting service provider’s Technical proposal
- Annexure 4 – Form for submitting service provider’s Financial proposal
- Annexure 5 – General Terms and Conditions of the Contract

Proposals may be submitted on or before the deadline indicated by UNDP in the e-tendering system. Proposals must be submitted in the online e-tendering system in the following link: <https://etendering.partneragencies.org> using your username and password. If you have not registered in the system before, you can register now by logging in using:

Username: event.guest
Password: why2change

.....and follow the registration steps as specified in the system user guide.

Your Proposal must be expressed in English language, and valid for a minimum period of One Hundred and Twenty (120) days.

You are kindly requested to indicate whether your company intends to submit a Proposal by clicking on “**Accept Invitation**”.

In the course of preparing and submitting your Proposal, it shall remain your responsibility to ensure that it submitted into the system by the deadline. The system will automatically block and not accept any bid after the deadline. Kindly ensure that supporting documents required are signed and in the .pdf format, and free from any virus or corrupted files.

The Financial Proposal and the Technical Proposal files MUST BE COMPLETELY SEPARATE and uploaded separately in the system and clearly named as either “TECHNICAL PROPOSAL” or “FINANCIAL PROPOSAL”, as appropriate. Each document shall include the Proposer’s name and address. The file with the “FINANCIAL PROPOSAL” must be encrypted with a password so that it cannot be opened nor viewed until the Proposal has been found to pass the technical evaluation stage. Once a Proposal has been found to be responsive by passing the technical evaluation stage, UNDP shall request the Proposer to submit the password to open the Financial Proposal. The Proposer shall assume the responsibility for not encrypting the financial proposal.

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

Thank you and we look forward to receiving your Proposal.

Yours sincerely,

Arun Arumughan
Procurement Officer
UNDP India

Description of Requirements

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| Context of the Requirement | <p>L&T Public Charitable Trust (LTPCT) has been working in Talasari taluka, in close coordination with government departments, local governments and communities since 2011. It has undertaken several initiatives related to health, education, water, infrastructure development and agriculture in villages across the taluka. In 2017, it forged a partnership with UNDP which would converge, leverage on and build up on existing (and past) initiatives and resources of LTPCT, UNDP and the Government of Maharashtra (GoM) in the region.</p> <p>The partnership, called Project Uddyam – Integrated Skills Development is a first of its kind project to demonstrate an effective multi-stakeholder partnership – between Government, Private Sector, UN, and the Community – which can result in an area-based intervention to bring about SDG-aligned social transformation.</p> <p>The Talasari block of Thane district of Maharashtra is a tribal dominated area (>90% population) and has been one of the most impoverished regions of India. In phase 1, the project focused initially on 3 Gram Panchayats (Zari, Girgaon and Kochai-Bormal), directly influencing and enhancing the income of 300 families in these panchayats. The exposure of livelihoods interventions in the first year at the community level created a base for future activities in Talasari. In phase 2, the project continues its focus on the three-existing gram panchayats and has taken the block as a development unit for convergence. It will be working on improving the livelihoods of 30,000 families in the Talasari block supported by 100 community cadres with focus on agri & allied value chain, market linkage, warli art promotion and market development activity, leveraging convergence among various government schemes at the community and individual family level. The long-term vision for the project is to develop Talasari as a model convergence block covering 30,000 families with special focus on poverty reduction of 3000 families in the abovementioned 3 GPs by the end of June 2021.</p> |
| Implementing Partner | UNDP |
| Brief Description of the Required Services | <p>Objective of this assignment is to -</p> <ol style="list-style-type: none"> 1. To increase the income of 3000 families in the three GPs to INR 36,000 from baseline by July 2021 and strengthening community cadres & market linkages for sustainability of livelihoods across Talasari; 2. To improve the income of warli artisans of Talasari from sales of warli products from INR 8,000 to INR 24,000 per annum by July 2021; 3. To strengthen the government delivery system and convergence ecosystem to impact all 20 GPs for improved delivery of government schemes and income enhancement to 30,000 end beneficiaries in Talasari; and 4. To create knowledge products to facilitate evidence-based policy making for local governments at district and block levels. |
| List and Description of Expected Outputs to be Delivered | <p>The deliverables for this task include:</p> <ol style="list-style-type: none"> 1. End-line survey <ol style="list-style-type: none"> a) Inception report outlining the survey methodology, sampling plan, survey tools, and work plan b) Final report with the following components: <ul style="list-style-type: none"> ▪ Executive summary ▪ Introduction ▪ Description of the evaluation methodology ▪ Situational analysis regarding the outcome, outputs, and partnership strategy ▪ Analysis of opportunities to provide guidance for future programming |

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| | <ul style="list-style-type: none"> ▪ Key findings, including best practices and lessons learned ▪ Conclusions and recommendations ▪ Appendices: Charts, terms of reference, field visits, people interviewed, documents reviewed <p>c) Presentation to key stakeholders</p> <p>2. Baseline survey</p> <p>a) Inception report outlining the survey methodology, sampling plan, survey tools, and work plan</p> <p>b) Final report with the following components:</p> <ul style="list-style-type: none"> ▪ Executive summary ▪ Introduction ▪ Description of the evaluation methodology ▪ Key findings ▪ Conclusion ▪ Appendices: Charts, terms of reference, field visits, people interviewed, documents reviewed <p>c) Presentation to key stakeholders</p> <p>3. SDG survey</p> <p>a) Inception report outlining the survey methodology, sampling plan, survey tools, and work plan</p> <p>b) Final report with the following components:</p> <ul style="list-style-type: none"> ▪ Executive summary ▪ Introduction ▪ Description of the evaluation methodology ▪ Key findings ▪ Conclusion ▪ Appendices: Charts, terms of reference, field visits, people interviewed, documents reviewed <p>c) Presentation to key stakeholders</p> |
| Person to Supervise the Work/Performance of the Service Provider | The service provider will work under the direct supervision of the Project Management Unit of the project based at Talasari and to UNDP Country Office Team |
| Frequency of Reporting | As per deliverables |
| Progress Reporting Requirements | Electronic Reports |
| Location of work | Talasari |
| Expected duration of work | 02 months |
| Target start date | 1 st March 2019 |
| Latest completion date | 30 th April 2019 |
| Travels Expected | Travel as per the requirement of ToR. |
| Special Security Requirements | <input checked="" type="checkbox"/> Others [Not Applicable] |
| Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal) | <input checked="" type="checkbox"/> Others [Not Applicable] |

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| Implementation Schedule indicating breakdown and timing of activities/sub-activities | <input checked="" type="checkbox"/> Required |
| Names and curriculum vitae of individuals who will be involved in completing the services | <input checked="" type="checkbox"/> Required |
| Currency of Proposal | <input checked="" type="checkbox"/> Indian Rupees (INR) |
| GST on Price Proposal | <input checked="" type="checkbox"/> must be exclusive of GST, which will be paid extra as applicable |
| Validity Period of Proposals (Counting for the last day of submission of quotes) | <input checked="" type="checkbox"/> 120 days In exceptional circumstances, UNDP may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal. |
| Partial Quotes | <input checked="" type="checkbox"/> Not permitted |
| Payment Terms | Refer Annex-2, Terms of Reference |
| Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment | Project Management Unit of the project based at Talasari UNDP Country Office Team |
| Type of Contract to be Signed | <input checked="" type="checkbox"/> Contract for Services |
| Criteria for Contract Award | <input checked="" type="checkbox"/> Compliance on Preliminary Examination of Proposals <input checked="" type="checkbox"/> Compliance on Essential Eligibility/Qualification requirements <input checked="" type="checkbox"/> Highest Combined Score (based on the 70% technical offer and 30% price weight distribution). The minimum technical score required to pass is 70%. <input checked="" type="checkbox"/> Full acceptance of the UNDP Contract General Terms and Conditions (GTC). This is a mandatory criterion and cannot be deleted regardless of the nature of services required. Non-acceptance of the GTC may be grounds for the rejection of the Proposal. |
| Criteria for Preliminary Examination of Proposals | 1. Technical proposal is submitted separately from Financial Proposal 2. Financial proposal must be password protected. If not, proposal will get rejected. 3. Latest Certificate of Registration of Business submitted 4. Is the Offeror, or any of its joint venture member, included in UN Security Council 1267 List and List of Suspended and Removed Vendors |
| Criteria for Essential Eligibility/Qualification | Proposals will be reviewed and evaluated by UNDP based on the following criteria: <ul style="list-style-type: none"> • Institutional capacity and experience <ul style="list-style-type: none"> ○ At least 5 years of experience working on similar surveys/ studies on livelihood projects (farm as well as non-farm). • Quality of project team: The Service Provider should have the following people for the project. <ul style="list-style-type: none"> ○ M&E Officer with 5 years of experience in handling similar studies ○ Livelihoods Officer with 5 years of experience in handling livelihoods projects |

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| | <p>Notes:</p> <ol style="list-style-type: none"> 1. If bidders do not meet any of the above listed criteria, their proposals will not be considered for further evaluation. 2. Bidders meeting above listed criteria are required to submit evidences (details / documents) in support – otherwise proposal may be disqualified. |
| Criteria for the Assessment of Proposal | <p><u>Technical Proposal (70%)</u></p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Expertise and experience of the service provider (20 marks) <input checked="" type="checkbox"/> Methodology, its appropriateness and timeliness of the implementation plan (30 marks) <input checked="" type="checkbox"/> Qualification and experience of key personnel (20 marks) <p><u>Financial Proposal (30%)</u></p> <p>To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP.</p> |
| UNDP will award the contract to: | <input checked="" type="checkbox"/> One and only one Service Provider |
| Deadline of Bid Submission | <p>Date and Time: As specified in the system (note that time zone indicated in the system is New York Time zone).</p> <p><u>PLEASE NOTE:-</u></p> <ol style="list-style-type: none"> 1. Date and time visible on the main screen of event (on e-tendering portal) will be final and prevail over any other closing time indicated elsewhere, in case they are different. Please also note that the bid closing time shown in the PDF file generated by the system is not accurate due to a technical glitch that we will resolve soon. The correct bid closing time is as indicated in the e-tendering portal and system will not accept any bid after that time. It is the responsibility of the bidder to make sure bids are submitted within this deadline. UNDP will not accept any bid that is not submitted directly in the system. 2. Try to submit your bid a day prior or well before the closing time. Do not wait until last minute. If you face any issue submitting your bid at the last minute, UNDP may not be able to assist. |
| Conditions and Procedures for electronic submission and opening, if allowed | <ul style="list-style-type: none"> <input checked="" type="checkbox"/> One file, containing Technical proposal (including CVs, registration certificate and all supporting documents). <input checked="" type="checkbox"/> One file, containing Financial Proposal (password encrypted). Password <u>must</u> not be provided to UNDP until it is formally requested by UNDP focal point. <p>Note: We prefer uploading of pdf version of files on the eTendering portal. If one file is too bulky, may split into 4-5 files.</p> |
| Contact Person for Inquiries (Written inquiries only) | <p>Ranjan Sinha Email: ranjan.sinha@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> |
| Who can apply | <p>Proposals are invited from the institutions/organizations only. Proposal submitted by Individuals will not be accepted.</p> |

TERMS OF REFERENCE**To conduct end-line (phase I), baseline (phase II) and SDG progress evaluation studies of Project Uddyam in Talasari, Palghar, Maharashtra****Background**

L&T Public Charitable Trust (LTPCT) has been working in Talasari taluka, in close coordination with government departments, local governments and communities since 2011. It has undertaken several initiatives related to health, education, water, infrastructure development and agriculture in villages across the taluka. In 2017, it forged a partnership with UNDP which would converge, leverage on and build up on existing (and past) initiatives and resources of LTPCT, UNDP and the Government of Maharashtra (GoM) in the region.

The partnership, called *Project Uddyam – Integrated Skills Development* is a first of its kind project to demonstrate an effective multi-stakeholder partnership – between Government, Private Sector, UN, and the Community – which can result in an area-based intervention to bring about SDG-aligned social transformation.

The Talasari block of Thane district of Maharashtra is a tribal dominated area (>90% population) and has been one of the most impoverished regions of India. In phase 1, the project focused initially on 3 Gram Panchayats (Zari, Girgaon and Kochai-Bormal), directly influencing and enhancing the income of 300 families in these panchayats. The exposure of livelihoods interventions in the first year at the community level created a base for future activities in Talasari. In phase 2, the project continues its focus on the three-existing gram panchayats and has taken the block as a development unit for convergence. It will be working on improving the livelihoods of 30,000 families in the Talasari block supported by 100 community cadres with focus on agri & allied value chain, market linkage, warli art promotion and market development activity, leveraging convergence among various government schemes at the community and individual family level. The long-term vision for the project is to develop Talasari as a model convergence block covering 30,000 families with special focus on poverty reduction of 3000 families in the abovementioned 3 GPs by the end of June 2021.

Key Objectives of the Project

Keeping in mind the vision, the project has charted out four key objectives:

1. To increase the income of 3000 families in the three GPs to INR 36,000 from baseline by July 2021 and strengthening community cadres & market linkages for sustainability of livelihoods across Talasari;
2. To improve the income of warli artisans of Talasari from sales of warli products from INR 8,000 to INR 24,000 per annum by July 2021;
3. To strengthen the government delivery system and convergence ecosystem to impact all 20 GPs for improved delivery of government schemes and income enhancement to 30,000 end beneficiaries in Talasari; and
4. To create knowledge products to facilitate evidence-based policy making for local governments at district and block levels.

The project is expected to create a sustainable ecosystem to sustain enhanced income of families of Talasari. The transformational impact will be seen in terms of:

- Increased incomes and economic well-being of the families
- Improved human development outcomes, with higher levels of productive skills and ways to engage in productive occupations
- Improved access to benefits and programmes of the Government

Relevant SDGs

At the outcome level, it is expected that Uddyam will contribute to micro-level achievement of the Sustainable Development Goals (SDGs), particularly the following:

- SDG 1 End poverty in all its forms everywhere
- SDG 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture
- SDG 3 Ensure healthy lives and promote well-being for all at all ages
- SDG 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all
- SDG 5 Achieve gender equality and empower all women and girls

- SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all
- SDG 12 Ensure sustainable consumption and production patterns
- SDG 13 Take urgent action to combat climate change and its impacts
- SDG 17 Revitalize the global partnership for sustainable development

Key Project Monitoring Indicators

The project has developed robust monitoring indicators for each output as a part of result framework. The key indicators which will be tracked are

| Objectives | Outcomes | Key Indicators |
|-------------|---|---|
| Objective 1 | <ul style="list-style-type: none"> • Farm based Income of 3,000 families in the 3GP have increased to INR 36000 per annum from baseline | <ul style="list-style-type: none"> • No. of farmers receiving money for their supplies from procurement centre associated with VO/CLF • No. of VO receiving loans from banks for managing procurement operations • Value of agri produce sold to buyers • Volume of agri produce sold to buyers |
| Objective 2 | <ul style="list-style-type: none"> • Income of 150 warli artisans from sales of Warli products only has increased from INR 8,000 (Data source: baseline study) to INR 24,000 | <ul style="list-style-type: none"> • Value of warli product sold to buyers • Volume of warli product sold to buyers • No of warli producer groups repaying loan in regular manner |
| Objective 3 | <ul style="list-style-type: none"> • Sustainable convergence ecosystem for income enhancement has been created in Talasari benefitting 30,000 families | <ul style="list-style-type: none"> • Number of families accessing at least one government schemes in Talasari • % increase in families accessing government schemes from baseline |
| Objective 4 | <ul style="list-style-type: none"> • Improved data availability for planning of expenditure allied to government schemes by district & block administration in Talasari | <ul style="list-style-type: none"> • No of reports created based on local data and shared with block/district administration • No of implementation plan prepared based on local reports shared with block/district administration |

Project Strategies

As indicated earlier, the Uddyam Project in Talasari will build on the existing work done by LTPCT in the taluka. It will also synergize directly, with interventions of the Government, convergence will be achieved with other government schemes. The Project will also draw upon the technical capabilities of non-governmental organizations with substantial sectoral experience as well as those active in the taluka. It will draw upon the global experience that UNDP brings, to learn from best practices and build a comprehensive management and monitoring system in line with the SDGs. The specific field-level strategies to be adopted by the Project are the following:

- Strengthening the existing SHG, VO & CLF and community cadre as well as government system
- Strengthening technical support cadre at the local level to implement and sustain interventions
- Creating institutions and mechanisms for backward and forward market linkage to strengthen farm and non-farm production systems
- Capacity building of community members, local governments, government departments and agencies and other stakeholders
- Close collaboration with UMED, ITDP, District and Block administration.
- Block as a unit of convergence with 3 focus GP as resource gram panchayats
- Bottom up planning & visioning exercise with convergence plan and gram panchayat development plan
- Facilitation from technical expert agency as well as individual experts in respective fields to handhold the CBOs/PRIIs & their representatives for income enhancement.
- PMU will act as resource centre of ITDP for Talasari
- Focus on achieving progress towards SDG goals 1,2,3,4,5,8,12,13,17
- Effective documentation and reporting of the processes, results and challenges

The project has created project management and monitoring system that allows for transparent monitoring, convergence among community, local government at gram panchayat, block and district levels. The project will also build collaborations with the state government, civil society organisations and the UN sister agencies. It will further strengthen the system of knowledge management through local studies required for success of the project

and guiding district and block officials regarding planning and execution. The project has already developed a tool to monitor progress on relevant SDG goals for each gram panchayat, and first round of data collection on the indicators for these SDGs took place in January 2018.

To achieve the above results, the Uddyam project in Talasari will focus on the following four sets of activities.

- Agri and allied interventions
- Strengthening warli art interventions
- Strengthening the government delivery system for convergence
- Knowledge product development to facilitate evidence-based policy making for local governments at district and block level.

Objective of the Assignment

This terms of reference is focused on objective 4 of the project mentioned above. In this context, UNDP is seeking the services of an experienced agency to conduct end-line (phase I), baseline (phase II) and SDG progress evaluation studies of Project Uddyam. The evaluation should provide quantitative and qualitative data through the following methods:

- Desk review of all relevant project documentation including project documents, annual work-plans, project progress reports, closure report of phase I, etc.
- In depth interviews to gather primary data from key stakeholders using a structured methodology
- Focus group discussions with project beneficiaries and other stakeholders
- Interviews with relevant key informants
- Observations (field visits using checklist)

Scope of Work

The selected consulting agency would take the complete responsibility of the design, translation, testing and finalization of the survey tools. A maximum of 1000 households (including all three surveys) need to be surveyed as a part of the assignment. The task of identifying and hiring the services of a suitable sampling expert shall also be the responsibility of the agency.

The scope of work expected from the service provider is outlined below:

1. **End-line survey** of 3000 households with who the project worked in phase I (2017-18)
 - a. Propose sampling technique and methodology for this survey
 - b. Design of survey
 - i. To what extent did the project achieve its overall objectives in Phase I?
 - ii. To what extent were the results (impacts, outcomes and outputs) achieved?
 - iii. Were the inputs and strategies appropriate and adequate to achieve the results?
 - iv. Was the project relevant to the identified needs?
 - c. Assess the management process and its appropriateness in supporting delivery
 - i. Was the project effective in delivering desired/planned results?
 - ii. To what extent did the project's M&E mechanism contribute in meeting project results?
 - iii. How effective were the strategies and tools used in the implementation of the project?
 - iv. How effective has the project been in responding to the needs of the beneficiaries, and what results were achieved?
 - d. Assess the efficiency of project implementation
 - i. Are there more efficient ways and means of delivering more and better results (outputs and outcomes) with the available inputs?
 - ii. Could a different approach have produced better results?
 - iii. How was the project's collaboration with the various stakeholders involved in the project?
 - iv. What are the strengths, weaknesses, opportunities and threats of the project's implementation process?
 - e. Lessons learned
 - i. Describe the main lessons that have emerged?
 - ii. What are the recommendations for phase II of the project?

2. **Baseline survey** of 30,000 households which is the coverage for phase II of the project (2019-2021)
 - a. Preparatory arrangements: Agreement with the UNDP Project Management Unit (PMU) based in Talasari on the dates of survey, logistics support, deployment of key staff and other arrangements.
 - b. Agreement on core survey modules: Agreement with the PMU on the core modules to be included in the survey. As the central purpose of the study is to assess the contribution of the project to the enhancement of income through various livelihoods of the rural poor mediated through efficient and sustainable institutions of the poor, key impact areas need to be explored and evidence-based information provided. The areas include:
 - socio-economic aspects
 - household economy
 - consumption
 - savings, expenditures
 - access to basic services
 - livelihood asset portfolio
 - debts/liabilities
 - participation in SHGs and village organizations
 - participation in community resource persons activities
 - c. Translation and pre-testing: Preparation, translation in Marathi (including back translation in English), pre-testing and revision of survey instruments/tools for the households, community institutions and other respondents
 - d. Recruitment and training of field staff: Recruitment, orientation and field training of enumerators and supervisors;
 - e. Sample selection: Selection of sample blocks, gram panchayats (GPs) and villages and finalization of procedure for sampling households and community institutions with the support of a sampling expert.
 - Listing of households: Listing of households in sample villages if such lists are not readily available
 - Household data collection: Collection of data from treatment and control groups with appropriate supervisory and quality control mechanisms
 - f. Collection of data from community institutions: Collection of data from community institutions using the pre-tested survey forms from identified institutions, if necessary after listing such institutions
 - g. Village surveys: Collection of data using village survey forms through pre- tested and revised tools including focus group guides/key informant checklists
 - h. Data cleaning and entry: Data cleaning and data entry using pre-agreed software with appropriate accuracy checks
 - i. Data analysis: Analysis of data using excel/SPSS (for quantitative analysis)
 - j. Interim reports: Preparation of interim reports based on preliminary findings
 - k. Concurrent feedback: Concurrent feedback on key issues observed during the survey
 - l. Draft report: Preparation of draft report and presentations
 - m. Final report: Preparation of final report and presentations
 - n. Data transfer: Transfer of electronic data sets and filled-in survey forms.
 - o. In addition, the study should report on
 - details of various SHGs, village organizations and community based organizations in the project area
 - existence of financial institutions, schools, PRIs and related committees, etc. in the project area to understand the enabling factors or barriers for income enhancement.
3. **SDG progress evaluation study** of 3000 households with who the project worked in phase I (2017-18)
 - a. Propose sampling technique and methodology for this survey
 - b. Evaluate progress against existing indicators developed by the project against the relevant SDGs (UNDP to provide SDG toolkit and relevant reports)

Deliverables

4. End-line survey
 - a) Inception report outlining the survey methodology, sampling plan, survey tools, and work plan
 - b) Final report with the following components:
 - Executive summary
 - Introduction
 - Description of the evaluation methodology

- Situational analysis regarding the outcome, outputs, and partnership strategy
 - Analysis of opportunities to provide guidance for future programming
 - Key findings, including best practices and lessons learned
 - Conclusions and recommendations
 - Appendices: Charts, terms of reference, field visits, people interviewed, documents reviewed
 - c) Presentation to key stakeholders
5. Baseline survey
- a) Inception report outlining the survey methodology, sampling plan, survey tools, and work plan
 - b) Final report with the following components:
 - Executive summary
 - Introduction
 - Description of the evaluation methodology
 - Key findings
 - Conclusion
 - Appendices: Charts, terms of reference, field visits, people interviewed, documents reviewed
 - c) Presentation to key stakeholders
6. SDG survey
- a) Inception report outlining the survey methodology, sampling plan, survey tools, and work plan
 - b) Final report with the following components:
 - Executive summary
 - Introduction
 - Description of the evaluation methodology
 - Key findings
 - Conclusion
 - Appendices: Charts, terms of reference, field visits, people interviewed, documents reviewed
 - c) Presentation to key stakeholders

Reporting

The agency will work under the direct supervision of the Project Management Unit of the project based at Talasari and will report progress on a weekly basis.

Duration and Payment Schedule

The duration of the assignment will be 2 months from the date of signing of the contract.

The payment schedule will be broken down into 4 instalments and will be mapped to specific deliverables, as outlined below.

| # | Deliverable | Duration from signing of contract | % payment of the contract amount |
|---|---|-----------------------------------|----------------------------------|
| 1 | On Submission of inception report (End-line survey, Baseline survey & SDG survey) | Within one week | 20 |
| 2 | Submission of first draft report (End-line survey, Baseline survey & SDG survey) | Within 6 weeks | 30 |
| 3 | Submission of final report (End-line survey, Baseline survey & SDG survey) | Within 7 weeks | 30 |
| 4 | Final approval of report and presentation (End-line survey, Baseline survey & SDG survey) | Within 8 weeks | 20 |

All the outputs should be verifiable through appropriate documentation maintained by the agency.

Expected Areas of Expertise

The following areas of expertise are deemed necessary:

1. The agency should have extensive experience of policy, procedures and program management. Previous experience of working with UN agencies will be preferred.
2. The agency should have experience of project formulation and evaluation in large implementation projects, donor assisted projects or development agencies with focus on project management, institutional development and capacity building of non-profit organizations; partnership development and management with private sector and government institutions and development sector public sector institutions.
3. The agency should have experience of working on similar surveys/ studies on livelihood projects (farm as well as non-farm).
4. The agency should have experience of working with block level/village level and district level government organizations.
5. The agency should have qualified resources well versed with domain knowledge and excellent communication skills. Previous experience of working in tribal areas will be an asset.

Proposal Evaluation Criteria

Proposals will be reviewed and evaluated by UNDP based on the following criteria:

- Institutional capacity and experience as specified in expected areas of expertise section
- Quality of project team
- Quality of the proposal
- If no proposal meets the criteria, UNDP reserves the right not to reward the tender to any of the applicants.

Submission of Proposals

The agency must submit a full proposal (max. 15 pages) covering the following aspects:

- Technical proposal including
 - Context (organization introduction, etc.);
 - Methodology;
 - Key activities with timelines;
 - Deliverables;
 - CVs of project team leader and project team;
 - Short description of the agency's capability and relevant work experience
- Work plan for delivering the program
- Detailed project budget (activity wise and week wise)

FORM FOR SUBMITTING SERVICE PROVIDER'S

TECHNICAL PROPOSAL

(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery¹)

[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) Track Record – list of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contact references;
- d) Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.
- e) 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

¹ Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

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.

C. Qualifications of Key Personnel

The Service Provider must provide:

- a) Names and qualifications of the key personnel that will perform the services indicating who is team leader, key personnel, 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.

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

[Designation]

[Date]

**FORM FOR SUBMITTING SERVICE PROVIDER'S
FINANCIAL PROPOSAL**

A. Cost Breakdown per Deliverable*

| | Deliverables | Percentage of Total Price (Weight for payment) | Price (Lump Sum, All Inclusive) |
|----|---|---|--|
| 1. | On Submission of inception report (End-line survey, Baseline survey & SDG survey) | 20% | |
| 2. | Submission of first draft report (End-line survey, Baseline survey & SDG survey) | 30% | |
| 3. | Submission of final report (End-line survey, Baseline survey & SDG survey) | 30% | |
| 4. | Final approval of report and presentation (End-line survey, Baseline survey & SDG survey) | 20% | |
| | Total | 100% | INR..... |

* This shall be the basis of the payment tranches

B. Cost Breakdown by Cost Component:

| Description of Activity | Remuneration per Unit of Time (in INR) | Total Period of Engagement (in days) | No. of Personnel | Total Amount (INR) |
|-----------------------------------|---|---|-------------------------|---------------------------|
| I. Personnel Services* | | | | |
| 1. Team Leader | | | | |
| 2. Team Member1 | | | | |
| 3. Team Member2 | | | | |
| 4. Team Member3 | | | | |
| 5. Any other personnel | | | | |
| II. Other related expenses | | | | |
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |
| Total | | | | INR..... |

* Structure of the team is to be proposed by Proposer in accordance to their understanding of the ToR.

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

[Designation]

[Date]

**GENERAL TERMS AND CONDITIONS FOR
INSTITUTIONAL (DE MINIMIS) CONTRACTS**

This Contract is between the United Nations Development Programme, a subsidiary organ of the United Nations established by the General Assembly of the United Nations (hereinafter “UNDP”), on the one hand, and a company or organization indicated in the Face Sheet of this Contract (hereinafter the “Contractor”), on the other hand.

1. LEGAL STATUS OF THE PARTIES: UNDP and the Contractor shall be referred to as a “Party” or, collectively, “Parties” hereunder, and:

1.1 Pursuant, *inter alia*, to the Charter of the United Nations and the Convention on the Privileges and Immunities of the United Nations, the United Nations, including its subsidiary organs, has full juridical personality and enjoys such privileges and immunities as are necessary for the independent fulfillment of its purposes.

1.2 The Contractor shall have the legal status of an independent contractor *vis-à-vis* UNDP, and nothing contained in or relating to the Contract shall be construed as establishing or creating between the Parties the relationship of employer and employee or of principal and agent. The officials, representatives, employees, or subcontractors of each of the Parties shall not be considered in any respect as being the employees or agents of the other Party, and each Party shall be solely responsible for all claims arising out of or relating to its engagement of such persons or entities.

2. OBLIGATIONS OF THE CONTRACTOR:

2.1 The Contractor shall perform and complete the services described in the Terms of Reference and Schedule of Payments (hereinafter the “Services”), with due diligence and efficiency, and in accordance with this Contract. The Contractor shall also provide all technical and administrative support needed in order to ensure the timely and satisfactory performance of the Services.

2.2 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.

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

3. LONG TERM AGREEMENT: If the Contractor is engaged by UNDP on the basis of a long-term agreement (“LTA”) as indicated in the Face Sheet of this Contract, the following conditions shall apply:

3.1 UNDP does not warrant that any quantity of Services shall be ordered during the term of the LTA.

3.2 Any UNDP business unit, including, but not limited to, a Headquarters unit, a Country Office or a Regional Centre, as well as any United Nations entity, may benefit from the retainer and order Services from the Contractor hereunder.

3.3 The Contractor shall provide the Services, as and when requested by UNDP and reflected in a purchase order, which shall be subject to the terms and conditions stipulated in this Contract. For the avoidance of doubt, UNDP shall acquire no legal obligations towards the Contractor unless and until a purchase order is issued.

3.4 The Services shall be at the Discount Prices annexed hereto. The prices shall remain in effect for a period of three years from the Starting Date stated in the Face Sheet of this Contract.

3.5 In the event of any advantageous technical changes and/or downward pricing of the Services during the term of the retainer, the Contractor shall notify UNDP immediately. UNDP shall consider the impact of any such event and may request an amendment to the retainer.

3.6 The Contractor shall report semi-annually to UNDP on the Services provided, unless otherwise specified in the Contract. Each report should be submitted to the UNDP Contact Person indicated in as indicated in the Face Sheet hereto, as well as to a UNDP business unit that has placed a purchase order for the Services during the reporting period.

3.7 The LTA shall remain in force for the maximum period of two years and may be extended by UNDP for one additional year by mutual agreement of the Parties.

4. PRICE AND PAYMENT:

4.1 FIXED PRICE: If Fixed Price is chosen as a payment method pursuant to the Face Sheet of this Contract, in full consideration for the complete and satisfactory provision of the Services, UNDP shall pay the Contractor a fixed amount indicated in the Face Sheet of this Contract.

4.1.1 The amount stated in the Face Sheet 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.

4.1.2 UNDP shall effect payments to the Contractor in the amounts and pursuant to the schedule of payments set forth in the Terms of Reference and Schedule of Payments, upon completion by the Contractor of the corresponding deliverable(s) and upon acceptance by UNDP of the original invoices submitted by the Contractor to the UNDP Contact Person indicated in the Face Sheet of this Contract, together with whatever supporting documentation that may be required by UNDP:

4.1.3 Invoices shall indicate a deliverable completed and the corresponding amount payable.

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

4.2 COST REIMBURSEMENT: If Cost Reimbursement is chosen as a payment method pursuant to the Face Sheet of this Contract, in full consideration for the complete and satisfactory provision of the Services under this Contract, UNDP shall pay the Contractor an amount not exceeding the total amount stated in the Face Sheet of this Contract.

4.2.1 The said amount is the maximum total amount of reimbursable costs under this Contract. The breakdown of costs contained in the Financial Proposal, referred to in the Face Sheet to this Contract shall specify the maximum amount per each cost category that is reimbursable under this Contract. The Contractor shall specify in its invoices or financial reports (as required by UNDP) the amount of the actual reimbursable costs incurred in the provision of the Services.

4.2.2 The Contractor shall not provide the Services or equipment, materials and supplies that may result in any costs in excess of the amount stated in the Face Sheet of this Contract, or of the maximum amount per each cost category specified in the breakdown of costs contained in the Financial Proposal, without the prior written agreement of the UNDP Contact Person.

4.2.3 The Contractor shall submit original invoices or financial reports (as required by UNDP) for the Services provided in accordance with the schedule set forth in the Terms of Reference and Schedule of Payments. Such invoices or financial reports shall indicate a deliverable or deliverables completed and the corresponding amount payable. They shall be submitted to the UNDP Contact Person, together with whatever supporting documentation of the actual costs incurred that is required in the Financial Proposal, or may be required by UNDP.

4.2.4 UNDP shall effect payments to the Contractor upon completion by the Contractor of the deliverable(s) indicated in the original invoices or financial reports (as required by UNDP) and upon acceptance of these invoices or financial reports by UNDP. Such payments shall be subject to any specific conditions for reimbursement specified in the breakdown of costs contained in the Financial Proposal.

4.2.5 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.

5. ADVANCE PAYMENT:

5.1 If an advance payment is due to the Contractor pursuant to the Face Sheet of this Contract, the Contractor shall submit an original invoice for the amount of that advance payment upon signature of this Contract by the Parties.

5.2 If an advance payment representing 20% or more of the total contract value, or amounting to US\$30,000 or more, is to be made by UNDP upon signature of the Contract by the Parties, such payment shall be contingent upon receipt and acceptance by UNDP of a bank guarantee or a certified cheque for

the full amount of the advance payment, valid for the duration of the Contract, and in a form acceptable to UNDP.

6. SUBMISSION OF INVOICES AND REPORTS:

6.1 All original invoices, financial reports and any other reports and supporting documentation required under this Contract shall be submitted by mail by the Contractor to UNDP Contact Person. Upon request of the Contractor, and subject to approval by UNDP, invoices and financial reports may be submitted to UNDP by fax or email.

6.2 All reports and invoices shall be submitted by the Contractor to the UNDP Contact Person specified in the Face Sheet of this Contract.

7. TIME AND MANNER OF PAYMENT:

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

7.2 Where the Services are to be provided, in addition to an invoice, the Contractor shall submit to UNDP a report, describing in detail the Services provided under the Contract during the period of time covered in each report. All reports shall be written in the English language.

8. RESPONSIBILITY FOR EMPLOYEES:

8.1 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.

8.2 The Contractor is responsible for and shall assume all risk and liabilities relating to its personnel and property. The Contractor shall (i) 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; and (ii) assume all risks and liabilities related to the Contractor's security, and the full implementation of the security plan. 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 above.

9. 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.

10. SUBCONTRACTING: 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.

11. 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 worker'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.

12. INSURANCE AND LIABILITY:

12.1 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.

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

12.3 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.

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

12.4.1 Name UNDP as additional insured;

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

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

12.5 The Contractor shall, upon request, provide UNDP with satisfactory evidence of the insurance required under this Article 12.

13. ENCUMBRANCES AND 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 UNDP against any monies due to the Contractor or that may become due for any work done or against any goods supplied or materials furnished under the Contract, or by reason of any other claim or demand against the Contractor or UNDP.

14. EQUIPMENT FURNISHED BY UNDP TO THE CONTRACTOR: Title to any equipment and supplies that may be furnished by UNDP to the Contractor for the performance of any obligations under the Contract shall rest with UNDP, and any such equipment shall be returned to UNDP at the conclusion of the 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, and the Contractor shall be liable to compensate UNDP for the actual costs of any loss of, damage to, or degradation of the equipment that is beyond normal wear and tear.

15. COPYRIGHT, PATENTS AND OTHER PROPRIETARY RIGHTS:

15.1 Except as is otherwise expressly provided in writing in the Contract, 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 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. The Contractor acknowledges and agrees that such products, documents and other materials constitute works made for hire for UNDP.

15.2 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, UNDP does not and shall not claim any ownership interest thereto, and the Contractor grants to 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.

15.3 At the request of 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 UNDP in compliance with the requirements of the applicable law and of the Contract.

15.4 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 UNDP, shall be made available for use or inspection by 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.

16. PUBLICITY, AND USE OF THE NAME, EMBLEM OR OFFICIAL SEAL OF UNDP OR THE UNITED NATIONS:

The Contractor shall not advertise or otherwise make public for purposes of commercial advantage or goodwill that it has a contractual relationship 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 the United Nations in connection with its business or otherwise without the written permission of UNDP.

17. CONFIDENTIAL NATURE OF DOCUMENTS AND INFORMATION: Information and data that is considered proprietary by either Party or 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:

17.1 The Recipient shall:

17.1.1 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*,

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

17.2 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 17, the Recipient may disclose Information to:

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

17.2.2 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:

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

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

17.2.2.3 for the United Nations, a principal or subsidiary organ of the United Nations established in accordance with the Charter of the United Nations.

17.3 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 UNDP sufficient prior notice of a request for the disclosure of Information in order to allow UNDP to have a reasonable opportunity to take protective measures or such other action as may be appropriate before any such disclosure is made.

17.4 UNDP may disclose Information to the extent as required pursuant to the Charter of the United Nations, or pursuant to resolutions or regulations of the General Assembly or rules promulgated thereunder.

17.5 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.

17.6 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.

18. FORCE MAJEURE; OTHER CHANGES IN CONDITIONS:

18.1 In the event of and as soon as possible after the occurrence of any cause constituting *force majeure*, the affected Party shall give notice and full particulars in writing to the other Party, of such occurrence or cause if the affected Party is thereby rendered unable, wholly or in part, to perform its obligations and meet its responsibilities under the Contract. The affected Party shall also notify the other Party of any other changes in condition or the occurrence of any event which interferes or threatens to interfere with its performance of the Contract. Not more than fifteen (15) days following

the provision of such notice of *force majeure* or other changes in condition or occurrence, the affected Party shall also submit a statement to the other Party of estimated expenditures that will likely be incurred for the duration of the change in condition or the event of *force majeure*. On receipt of the notice or notices required hereunder, the Party not affected by the occurrence of a cause constituting *force majeure* shall take such action as it reasonably considers to be appropriate or necessary in the circumstances, including the granting to the affected Party of a reasonable extension of time in which to perform any obligations under the Contract.

18.2 If the Contractor is rendered unable, wholly or in part, by reason of *force majeure* to perform its obligations and meet its responsibilities under the Contract, UNDP shall have the right to suspend or terminate the Contract on the same terms and conditions as are provided for in Article 19, "Termination," except that the period of notice shall be seven (7) days instead of thirty (30) days. In any case, UNDP shall be entitled to consider the Contractor permanently unable to perform its obligations under the Contract in case the Contractor is unable to perform its obligations, wholly or in part, by reason of *force majeure* for any period in excess of ninety (90) days.

18.3 *Force majeure* as used herein means any unforeseeable and irresistible act of nature, any act of war (whether declared or not), invasion, revolution, insurrection, terrorism, or any other acts of a similar nature or force, *provided that* such acts arise from causes beyond the control and without the fault or negligence of the Contractor. The Contractor acknowledges and agrees that, with respect to any obligations under the Contract that the Contractor must perform in areas in which 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.

19. TERMINATION:

19.1 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 22.2 ("Arbitration"), below, shall not be deemed a termination of this Contract.

19.2 UNDP may terminate the Contract at any time by providing written notice to the Contractor in any case in which the mandate of UNDP applicable to the performance of the Contract or the funding of UNDP applicable to the Contract is curtailed or terminated, whether in whole or in part. In addition, unless otherwise provided by the Contract, upon sixty (60) day's advance written notice to the Contractor, UNDP may terminate the Contract without having to provide any justification therefor.

19.3 In the event of any termination of the Contract, no payment shall be due from UNDP to the Contractor except for the Services satisfactorily provided to UNDP in accordance with the requirements of the Contract.

19.4 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, 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 UNDP of the occurrence of any of the above events.

19.5 The provisions of this Article 19 are without prejudice to any other rights or remedies of UNDP under the Contract or otherwise.

20. NON-WAIVER OF RIGHTS: The failure by either Party to exercise any rights available to it, whether under the Contract or otherwise, shall not be deemed for any purposes to constitute a waiver by the other Party of any such right or any remedy associated therewith, and shall not relieve the Parties of any of their obligations under the Contract.

21. NON-EXCLUSIVITY: Unless otherwise specified in the Contract, UNDP shall have no obligation to purchase any minimum quantities of goods or services from the Contractor, and UNDP shall have no limitation on its right to obtain goods or services of the same kind, quality and quantity described in the Contract, from any other source at any time.

22. SETTLEMENT OF DISPUTES:

22.1 AMICABLE SETTLEMENT: The Parties shall use their best efforts to amicably settle any

dispute, controversy, or claim arising out of the 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 Conciliation Rules then obtaining of the United Nations Commission on International Trade Law ("UNCITRAL"), or according to such other procedure as may be agreed between the Parties in writing.

22.2 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 22.1, 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. 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") and Article 34 ("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.

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

24. TAX EXEMPTION:

24.1 Article II, 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 restrictions, 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 exemptions of UNDP from such taxes, restrictions, duties, or charges, the Contractor shall immediately consult with UNDP to determine a mutually acceptable procedure.

24.2 The Contractor authorizes UNDP to deduct from the Contractor's invoices any amount representing such taxes, duties or charges, unless the Contractor has consulted with UNDP before the payment thereof and UNDP has, in each instance, specifically authorized the Contractor to pay such taxes, duties, or charges under written protest. In that event, the Contractor shall provide UNDP with written evidence that payment of such taxes, duties or charges has been made and appropriately authorized, and UNDP shall reimburse the Contractor for any such taxes, duties, or charges so authorized by UNDP and paid by the Contractor under written protest.

25. MODIFICATIONS: No modification or change in this Contract shall be valid and enforceable against UNDP unless executed in writing by the duly authorized representatives of the Parties.

26. AUDITS AND INVESTIGATIONS:

26.1 Each invoice paid by UNDP shall be subject to a post-payment audit by auditors, whether internal or external, of UNDP or by other authorized and qualified agents of 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. UNDP shall be entitled to a refund from the Contractor for any amounts shown by such audits to have been paid by UNDP other than in accordance with the terms and conditions of the Contract.

26.2 UNDP may conduct investigations relating to any aspect of the Contract or the award thereof, the obligations performed under the Contract, and the operations of the Contractor generally relating to performance of the Contract 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.

26.3 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 relevant documentation for such purposes at reasonable times and on reasonable conditions and to grant to UNDP access to the Contractor's premises at reasonable times and on reasonable conditions in connection with such access to the Contractor's personnel and relevant documentation. 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.

26.4 UNDP shall be entitled to a refund from the Contractor for any amounts shown by such audits or investigations to have been paid by UNDP other than in accordance with the terms and conditions of the Contract. The Contractor also agrees that, where applicable, donors to UNDP whose funding is the source of, in whole or in part, the funding for the procurement of Goods and/or Services which are the subject of this Contract, shall have direct recourse to the Contractor for the recovery of any funds determined by UNDP to have been used in violation of or inconsistent with this Contract.

27. LIMITATION ON ACTIONS:

27.1 Except with respect to any indemnification obligations in Article 11, above, or as are otherwise set forth in the Contract, any arbitral proceedings in accordance with Article 22.2, above, arising out of the Contract must be commenced within three years after the cause of action has accrued.

27.2 The Parties further acknowledge and agree that, for these purposes, a cause of action shall accrue when the breach actually occurs, or, in the case of latent defects, when the injured Party knew or should have known all of the essential elements of the cause of action, or in the case of a breach of warranty, when tender of delivery is made, except that, if a warranty extends to future performance of the goods or any process or system and the discovery of the breach consequently must await the time when such goods or other process or system is ready to perform in accordance with the requirements of the Contract, the cause of action accrues when such time of future performance actually begins.

28. ESSENTIAL TERMS: The Contractor acknowledges and agrees that each of the provisions in Articles 29 to 35 hereof constitutes an essential term of the Contract and that any breach of any of these provisions shall entitle UNDP to terminate the Contract or any other contract with UNDP immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind. In addition, nothing herein shall limit the right of UNDP to refer any alleged breach of the said essential terms to the relevant national authorities for appropriate legal action.

29. SOURCE OF INSTRUCTIONS: The Contractor shall neither seek nor accept instructions from any authority external to UNDP in connection with the performance of its obligations under the Contract. Should any authority external to UNDP seek to impose any instructions concerning or restrictions on the Contractor's performance under the Contract, the Contractor shall promptly notify UNDP and provide all reasonable assistance required by UNDP. The Contractor shall not take any action in respect of the performance of its obligations under the Contract that may adversely affect the interests of UNDP or the United Nations, and the Contractor shall perform its obligations under the Contract with the fullest regard to the interests of UNDP.

30. STANDARDS OF CONDUCT: The Contractor warrants that it has not and shall not offer any direct or indirect benefit arising from or related to the performance of the Contract, or the award thereof, to any representative, official, employee or other agent of UNDP. The Contractor shall comply with all laws, ordinances, rules and regulations bearing upon the performance of its obligations under the Contract. In addition, in the performance of the Contract, the Contractor shall comply with the Standards of Conduct set forth in the Secretary General's Bulletin ST/SGB/2002/9 of 18 June 2002, entitled "Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Expert on Mission" and ST/SGB/2006/15 of 26 December 2006 on "Post-employment restrictions", and shall also comply with and be subject to the requirements of the following:

30.1 The UN Supplier Code of Conduct;

30.2 UNDP Policy on Fraud and other Corrupt Practices ("UNDP Anti-fraud Policy");

30.3 UNDP Office of Audit and Investigations (OAI) Investigation Guidelines;

- 30.4** UNDP Vendor Sanctions Policy; and
30.5 All security directives issued by UNDP.

The Contractor acknowledges and agrees that it has read and is familiar with the requirements of the foregoing documents which are available online at www.undp.org or at <http://www.undp.org/content/undp/en/home/operations/procurement/business/>. In making such acknowledgement, the Contractor represents and warrants that it is in compliance with the requirements of the foregoing, and will remain in compliance throughout the term of this Contract.

31. OBSERVANCE OF THE LAW: The Contractor shall comply with all laws, ordinances, rules, and regulations bearing upon the performance of its obligations under the Contract. In addition, the Contractor shall maintain compliance with all obligations relating to its registration as a qualified vendor of goods or services to UNDP, as such obligations are set forth in UNDP vendor registration procedures.

32. CHILD LABOR: The Contractor represents and warrants that neither it, its parent entities (if any), nor any of the Contractor's subsidiary or affiliated entities (if any) 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.

33. MINES: The Contractor represents and warrants that neither it, its parent entities (if any), nor any of the Contractor's subsidiaries or affiliated entities (if any) is engaged in the sale or manufacture of anti-personnel mines or components utilized in the manufacture of anti-personnel mines.

34. SEXUAL EXPLOITATION:

34.1 In the performance of the Contract, the Contractor shall comply with the Standards of Conduct set forth in the Secretary-General's bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse." In particular, the Contractor shall not engage in any conduct that would constitute sexual exploitation or sexual abuse, as defined in that bulletin.

34.2 The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by its employees or any other persons engaged and controlled 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 reasonable and appropriate measures to prohibit its employees or other persons engaged and controlled by it from exchanging any money, goods, services, or other things of value, for sexual favors or activities, or from engaging any sexual activities that are exploitive or degrading to any person.

34.3 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.

35. ANTI-TERRORISM: The Contractor agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received under the Contract is used to provide support to individuals or entities associated with terrorism and that 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 https://www.un.org/sc/suborg/en/sanctions/1267/aq_sanctions_list. This provision must be included in all sub-contracts or sub-agreements entered into under the Contract.