* United Nations Development Programme*

**REQUEST FOR PROPOSAL**

# Field Monitoring and Spot-check (FMSC) for Livelihood and Resilience Projects

RFP No.: **UNDP/AFG/RFP/2019/0000003475**

Project: UNDP Livelihoods and Resilience Unit

Country: Afghanistan

Issued on: 7 March 2019

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# Section 1. Letter of Invitation

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

This RFP includes the following documents and the General Terms and Conditions of Contract which is inserted in the Bid Data Sheet (BDS):

Section 1: This Letter of Invitation

Section 2: Instruction to Bidders

Section 3: Bid Data Sheet (BDS)

Section 4: Evaluation Criteria

Section 5: Terms of Reference

Section 6: Returnable Bidding Forms

* Form A: Technical Proposal Submission Form
* Form B: Bidder Information Form
* Form C: Joint Venture/Consortium/Association Information Form
* Form D: Qualification Form
* Form E: Format of Technical Proposal
* Form F: Financial Proposal Submission Form
* Form G: Financial Proposal Form

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.

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

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

UNDP’s vendor protest procedure is intended to afford an opportunity to appeal for persons or firms not awarded a Purchase Order or Contract in a competitive procurement process. **In the event that** you believe you have not been fairly treated, you can find detailed information about vendor protest procedures in the following link: <http://www.undp.org/content/undp/en/home/operations/procurement/protestandsanctions/>

**UNDP encourages every prospective Contractor 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>

Your offer, comprising of documents stated in this RFP, should be submitted to UNDP Afghanistan in accordance with Section 2 (Instructions to Bidders) and Section 3 (Bid Data Sheet) through the **“UNDP ATLAS E-tendering system”** (<https://etendering.partneragencies.org>).

The step by step instructions for registration of bidders and proposal submission through the UNDP ATLAS E-tendering system is available in the **“Instructions Manual for the Bidders”**, attached with this RFP. Should you require any training on the UNDP ATLAS E-tendering system or face with any difficulties when registering your company or submitting your proposal, please send an email to the E-tendering helpdesk at [procurement.af@undp.org](mailto:procurement.af@undp.org) or call +93728999751 during office hours to request for help.

The proposers are advised to use Internet Explorer (Version 10 or above) to avoid any compatibility issues with the e-tendering system.

**No hard copy or email submissions shall be accepted by UNDP.**

Kindly go through this invitation letter and other documents attached here to this RFP. Should you have any questions or require any clarification, please feel free to email your questions/clarifications to the procurement officer at [procurement.af@undp.org](mailto:procurement.af@undp.org). The subject of the email should be **UNDP/AFG/RFP/2019/ 0000003475**

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

Sincerely yours,

***Head of SCMO***

***7 March 2019***

# Section 2. Instruction to Bidders

|  |  |
| --- | --- |
| GENERAL PROVISIONS | |
| Introduction | * 1. Bidders shall adhere to all the requirements of this RFP, including any amendments in writing by UNDP. This RFP is conducted in accordance with the UNDP Programme and Operations Policies and Procedures (POPP) on Contracts and Procurement which can be accessed at <https://popp.undp.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d>   2. Any Proposal submitted will be regarded as an offer by the Bidder and does not constitute or imply the acceptance of the Proposal by UNDP. UNDP is under no obligation to award a contract to any Bidder as a result of this RFP.   3. As part of the bid, it is desired that the Bidder registers at the United Nations Global Marketplace (UNGM) website ([www.ungm.org](http://www.ungm.org)). The Bidder may still submit a bid even if not registered with the UNGM. However, if the Bidder is selected for contract award, the Bidder must register on the UNGM prior to contract signature. |
| Fraud & Corruption,  Gifts and Hospitality | * 1. UNDP strictly enforces a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical or unprofessional practices, and obstruction of UNDP vendors and requires all bidders/vendors observe the highest standard of ethics during the procurement process and contract implementation. UNDP’s Anti-Fraud Policy can be found at <http://www.undp.org/content/undp/en/home/operations/accountability/audit/office_of_audit_andinvestigation.html#anti>   2. Bidders/vendors shall not offer gifts or hospitality of any kind to UNDP staff members including recreational trips to sporting or cultural events, theme parks or offers of holidays, transportation, or invitations to extravagant lunches or dinners.   3. In pursuance of this policy, UNDP (a) Shall reject a proposal if it determines that the selected bidder has engaged in any corrupt or fraudulent practices in competing for the contract in question; (b) Shall declare a vendor ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines that the vendor has engaged in any corrupt or fraudulent practices in competing for, or in executing a UNDP contract.   4. All Bidders must adhere to the UN Supplier Code of Conduct, which may be found at <https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unscc/conduct_english.pdf> |
| Eligibility | * 1. A vendor should not be suspended, debarred, or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization. Vendors are therefore required to disclose to UNDP whether they are subject to any sanction or temporary suspension imposed by these organizations.   2. It is the Bidder’s responsibility to ensure that its employees, joint venture members, sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by UNDP. |
| Conflict of Interests | * 1. Bidders must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. Bidders found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Bidders, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this solicitation process, if they:   2. Are or have been associated in the past, with a firm or any of its affiliates which have been engaged by UNDP to provide services for the preparation of the design, specifications, Terms of Reference, cost analysis/estimation, and other documents to be used for the procurement of the goods and services in this selection process;   3. Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or   4. Are found to be in conflict for any other reason, as may be established by, or at the discretion of UNDP.   5. In the event of any uncertainty in the interpretation of a potential conflict of interest, Bidders must disclose to UNDP, and seek UNDP’s confirmation on whether or not such a conflict exists.   6. Similarly, the Bidders must disclose in their proposal their knowledge of the following:   7. If the owners, part-owners, officers, directors, controlling shareholders, of the bidding entity or key personnel are family members of UNDP staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this RFP; and   8. All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.   Failure to disclose such an information may result in the rejection of the proposal or proposals affected by the non-disclosure.   * 1. The eligibility of Bidders that are wholly or partly owned by the Government shall be subject to UNDP’s further evaluation and review of various factors such as being registered, operated and managed as an independent business entity, the extent of Government ownership/share, receipt of subsidies, mandate and access to information in relation to this RFP, among others. Conditions that may lead to undue advantage against other Bidders may result in the eventual rejection of the Proposal. |
| PREPARATION OF PROPOSALS | |
| General Considerations | * 1. In preparing the Proposal, the Bidder is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.   2. The Bidder will not be permitted to take advantage of any errors or omissions in the RFP. Should such errors or omissions be discovered, the Bidder must notify the UNDP |
| Cost of Preparation of Proposal | * 1. The Bidder shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. UNDP shall not be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process. |
| Language | * 1. The Proposal, as well as any and all related correspondence exchanged by the Bidder and UNDP, shall be written in the language (s) specified in the BDS. |
| Documents Comprising the Proposal | * 1. The Proposal shall comprise of the following documents:   2. Documents Establishing the Eligibility and Qualifications of the Bidder;   3. Technical Proposal;   4. Financial Proposal;   5. Proposal Security, if required by BDS;   6. Any attachments and/or appendices to the Proposal. |
| Documents Establishing the Eligibility and Qualifications of the Bidder | * 1. The Bidder shall furnish documentary evidence of its status as an eligible and qualified vendor, using the Forms provided under Section 6 and providing documents required in those forms. In order to award a contract to a Bidder, its qualifications must be documented to UNDP’s satisfaction. |
| Technical Proposal Format and Content | * 1. The Bidder is required to submit a Technical Proposal using the Standard Forms and templates provided in Section 6 of the RFP.   2. The Technical Proposal shall not include any price or financial information. A Technical Proposal containing material financial information may be declared non-responsive.   3. Samples of items, when required as per Section 5, shall be provided within the time specified and unless otherwise specified by UNDP, and at no expense to UNDP   4. When applicable and required as per Section 5, the Bidder shall describe the necessary training programme available for the maintenance and operation of the services and/or equipment offered as well as the cost to the UNDP. Unless otherwise specified, such training as well as training materials shall be provided in the language of the Bid as specified in the BDS. |
| Financial Proposals | * 1. The Financial Proposal shall be prepared using the Standard Form provided in Section 6 of the RFP. It shall list all major cost components associated with the services, and the detailed breakdown of such costs.   2. Any output and activities described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, as well as in the final total price.   3. Prices and other financial information must not be disclosed in any other place except in the financial proposal. |
| Proposal Security | * 1. A Proposal Security, if required by BDS, shall be provided in the amount and form indicated in the BDS. The Proposal Security shall be valid up to thirty (30) days after the final date of validity of the Proposal.   2. The Proposal Security shall be included along with the Technical Proposal. If Proposal Security is required by the RFP but is not found along with the Technical Proposal, the Proposal shall be rejected.   3. If the Proposal Security amount or its validity period is found to be less than what is required by UNDP, UNDP shall reject the Proposal.   4. In the event an electronic submission is allowed in the BDS, Bidders shall include a copy of the Bid Security in their proposal and the original of the Proposal Security must be sent via courier or hand delivery as per the instructions in BDS.   5. The Proposal Security may be forfeited by UNDP, and the Proposal rejected, in the event of any one or combination, of the following conditions:      1. If the Bidder withdraws itsoffer during the period of the Proposal Validity specified in the BDS, or;      2. In the event that the successful Bidder fails:      3. to sign the Contract after UNDP has issued an award; or   6. to furnish the Performance Security, insurances, or other documents that UNDP may require as a condition precedent to the effectivity of the contract that may be awarded to the Bidder. |
| Currencies | * 1. All prices shall be quoted in the currency or currencies indicated in the BDS. Where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:  1. UNDP will convert the currency quoted in the Proposal into the UNDP preferred currency, in accordance with the prevailing UN operational rate of exchange on the last day of submission of Proposals; and 2. In the event that UNDP selects a proposal for award that is quoted in a currency different from the preferred currency in the BDS, UNDP shall reserve the right to award the contract in the currency of UNDP’s preference, using the conversion method specified above. |
| Joint Venture, Consortium or Association | * 1. If the Bidder is a group of legal entities that will form or have formed a Joint Venture (JV), Consortium or Association for the Proposal, they shall confirm in their Proposal that : (i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the JV, Consortium or Association jointly and severally, which shall be evidenced by a duly notarized Agreement among the legal entities, and submitted with the Proposal; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNDP and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.   2. After the Deadline for Submission of Proposal, the lead entity identified to represent the JV, Consortium or Association shall not be altered without the prior written consent of UNDP.   3. The lead entity and the member entities of the JV, Consortium or Association shall abide by the provisions of Clause 9 herein in respect of submitting only one proposal.   4. The description of the organization of the JV, Consortium or Association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the JV, Consortium or Association Agreement.  All entities that comprise the JV, Consortium or Association shall be subject to the eligibility and qualification assessment by UNDP.   5. A JV, Consortium or Association in presenting its track record and experience should clearly differentiate between:  1. Those that were undertaken together by the JV, Consortium or Association; and 2. Those that were undertaken by the individual entities of the JV, Consortium or Association.    1. Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the JV, Consortium or Association or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.    2. JV, Consortium or Associations are encouraged for high value, multi-sectoral requirements when the spectrum of expertise and resources required may not be available within one firm. |
| Only One Proposal | * 1. The Bidder (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture.   2. Proposals submitted by two (2) or more Bidders shall all be rejected if they are found to have any of the following:   3. they have at least one controlling partner, director or shareholder in common; or   4. any one of them receive or have received any direct or indirect subsidy from the other/s; or   5. they have the same legal representative for purposes of this RFP; or   6. they have a relationship with each other, directly or through common third parties, that puts them in a position to have access to information about, or influence on the Proposal of, another Bidder regarding this RFP process;   7. they are subcontractors to each other’s Proposal, or a subcontractor to one Proposal also submits another Proposal under its name as lead Bidder; or   8. some key personnel proposed to be in the team of one Bidder participates in more than one Proposal received for this RFP process. This condition relating to the personnel, does not apply to subcontractors being included in more than one Proposal. |
| Proposal Validity Period | * 1. Proposals shall remain valid for the period specified in the BDS, commencing on the Deadline for Submission of Proposals. A Proposal valid for a shorter period may be rejected by UNDP and rendered non-responsive.   2. During the Proposal validity period, the Bidder shall maintain its original Proposal without any change, including the availability of the Key Personnel, the proposed rates and the total price. |
| Extension of Proposal Validity Period | * 1. In exceptional circumstances, prior to the expiration of the proposal validity period, UNDP may request Bidders to extend the period of validity of their Proposals. The request and the responses shall be made in writing, and shall be considered integral to the Proposal.   2. If the Bidder agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal.   3. The Bidder has the right to refuse to extend the validity of its Proposal, and in which case, such Proposal will not be further evaluated. |
| Clarification of Proposal | * 1. Bidders may request clarifications on any of the RFP documents no later than the date indicated in the BDS. Any request for clarification must be sent in writing in the manner indicated in the BDS. If inquiries are sent other than specified channel, even if they are sent to a UNDP staff member, UNDP shall have no obligation to respond or confirm that the query was officially received.   2. UNDP will provide the responses to clarifications through the method specified in the BDS.   3. UNDP shall endeavor to provide responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of UNDP to extend the submission date of the Proposals, unless UNDP deems that such an extension is justified and necessary. |
| Amendment of Proposals | * 1. At any time prior to the deadline of Proposal submission, UNDP may for any reason, such as in response to a clarification requested by a Bidder, modify the RFP in the form of an amendment to the RFP. Amendments will be made available to all prospective bidders.   2. If the amendment is substantial, UNDP may extend the Deadline for submission of proposal to give the Bidders reasonable time to incorporate the amendment into their Proposals. |
| Alternative Proposals | * 1. Unless otherwise specified in the BDS, alternative proposals shall not be considered. If submission of alternative proposal is allowed by BDS, a Bidder may submit an alternative proposal, but only if it also submits a proposal conforming to the RFP requirements. UNDP shall only consider the alternative proposal offered by the Bidder whose conforming proposal ranked the highest as per the specified evaluation method. Where the conditions for its acceptance are met, or justifications are clearly established, UNDP reserves the right to award a contract based on an alternative proposal.   2. If multiple/alternative proposals are being submitted, they must be clearly marked as “Main Proposal” and “Alternative Proposal” |
| Pre-Bid Conference | * 1. When appropriate, a Bidder’s conference will be conducted at the date, time and location specified in the BDS. All Bidders are encouraged to attend. Non-attendance, however, shall not result in disqualification of an interested Bidder. Minutes of the Bidder’s conference will be disseminated on the procurement website and shared by email or on the e-Tendering platform as specified in the BDS. No verbal statement made during the conference shall modify the terms and conditions of the RFP, unless specifically incorporated in the Minutes of the Bidder’s Conference or issued/posted as an amendment to RFP. |
| SUBMISSION AND OPENING OF PROPOSALS | |
| Submission | * 1. The Bidder shall submit a duly signed and complete Proposal comprising the documents and forms in accordance with the requirements in the BDS. The submission shall be in the manner specified in the BDS.   2. The Proposal shall be signed by the Bidder or person(s) duly authorized to commit the Bidder. The authorization shall be communicated through a document evidencing such authorization issued by the legal representative of the bidding entity, or a Power of Attorney, accompanying the Proposal.   3. Bidders must be aware that the mere act of submission of a Proposal, in and of itself, implies that the Bidder fully accepts the UNDP General Contract Terms and Conditions. |
| **Hard copy (manual) submission**  **Email Submission**  **eTendering submission** | * 1. Hard copy (manual) submission by courier or hand delivery allowed or specified in the BDS shall be governed as follows:   2. The signed Proposal shall be marked “Original”, and its copies marked “Copy” as appropriate. The number of copies is indicated in the BDS. All copies shall be made from the signed original only. If there are discrepancies between the original and the copies, the original shall prevail.   3. The Technical Proposal and the Financial Proposal envelopes MUST BE COMPLETELY SEPARATE and each of them must be submitted sealed individually and clearly marked on the outside as either “TECHNICAL PROPOSAL” or “FINANCIAL PROPOSAL”, as appropriate. Each envelope SHALL clearly indicate the name of the Bidder. The outer envelopes shall:   i. Bear the name and address of the bidder;  ii. Be addressed to UNDP as specified in the BDS   1. Bear a warning that states “*Not to be opened before the time and date for proposal opening*” as specified in the BDS.   If the envelopes and packages with the Proposal are not sealed and marked as required, UNDP shall assume no responsibility for the misplacement, loss, or premature opening of the Proposal.   * 1. Email submission, if allowed or specified in the BDS, shall be governed as follows:  1. Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS; 2. The Technical Proposal and the Financial Proposal files MUST BE COMPLETELY SEPARATE. The financial proposal shall be encrypted with different passwords and clearly labelled. The files must be sent to the dedicated email address specified in the BDS. 3. The password for opening the Financial Proposal should be provided only upon request of UNDP. UNDP will request password only from bidders whose Technical Proposal has been found to be technically responsive. Failure to provide correct password may result in the proposal being rejected.    1. Electronic submission through eTendering, if allowed or specified in the BDS, shall be governed as follows: 4. Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS; 5. The Technical Proposal and the Financial Proposal files MUST BE COMPLETELY SEPARATE and each of them must be uploaded individually and clearly labelled. 6. The Financial Proposal file must be encrypted with a password so that it cannot be opened nor viewed until the password is provided. The password for opening the Financial Proposal should be provided only upon request of UNDP. UNDP will request password only from bidders whose technical proposal has been found to be technically responsive. Failure to provide the correct password may result in the proposal being rejected. 7. Documents which are required to be in original form (e.g. Bid Security, etc.) must be sent via courier or hand delivery as per the instructions in BDS. 8. Detailed instructions on how to submit, modify or cancel a bid in the eTendering system are provided in the eTendering system Bidder User Guide and Instructional videos available on this link: <http://www.undp.org/content/undp/en/home/operations/procurement/business/procurement-notices/resources/> |
| Deadline for Submission of Proposals and Late Proposals | * 1. Complete Proposals must be received by UNDP in the manner, and no later than the date and time, specified in the BDS. UNDP shall only recognize the date and time that the bid was received by UNDP   2. UNDP shall not consider any Proposal that is submitted after the deadline for the submission of Proposals. |
| Withdrawal, Substitution, and Modification of Proposals | * 1. A Bidder may withdraw, substitute or modify its Proposal after it has been submitted at any time prior to the deadline for submission.   2. Manual and Email submissions: A bidder may withdraw, substitute or modify its Proposal by sending a written notice to UNDP, duly signed by an authorized representative, and shall include a copy of the authorization (or a Power of Attorney). The corresponding substitution or modification of the Proposal, if any, must accompany the respective written notice. All notices must be submitted in the same manner as specified for submission of proposals, by clearly marking them as “WITHDRAWAL” “SUBSTITUTION,” or “MODIFICATION”   3. eTendering: A Bidder may withdraw, substitute or modify its Proposal by Canceling, Editing, and re-submitting the proposal directly in the system. It is the responsibility of the Bidder to properly follow the system instructions, duly edit and submit a substitution or modification of the Proposal as needed. Detailed instructions on how to cancel or modify a Proposal directly in the system are provided in Bidder User Guide and Instructional videos.   4. Proposals requested to be withdrawn shall be returned unopened to the Bidders (only for manual submissions), except if the bid is withdrawn after the bid has been opened |
| Proposal Opening | * 1. There is no public bid opening for RFPs. UNDP shall open the Proposals in the presence of an ad-hoc committee formed by UNDP, consisting of at least two (2) members. In the case of e-Tendering submission, bidders will receive an automatic notification once their proposal is opened. |
| EVALUATION OF PROPOSALS | |
| Confidentiality | * 1. Information relating to the examination, evaluation, and comparison of Proposals, and the recommendation of contract award, shall not be disclosed to Bidders or any other persons not officially concerned with such process, even after publication of the contract award.   2. Any effort by a Bidder or anyone on behalf of the Bidder to influence UNDP in the examination, evaluation and comparison of the Proposals or contract award decisions may, at UNDP’s decision, result in the rejection of its Proposal and may be subject to the application of prevailing UNDP’s vendor sanctions procedures. |
| Evaluation of Proposals | * 1. The Bidder is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under Clause 24 of this RFP. UNDP will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.   2. Evaluation of proposals is made of the following steps:   3. Preliminary Examination   4. Minimum Eligibility and Qualification (if pre-qualification is not done)   5. Evaluation of Technical Proposals   6. Evaluation of Financial Proposals |
| Preliminary Examination | * 1. UNDP shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, and whether the Proposals are generally in order, among other indicators that may be used at this stage. UNDP reserves the right to reject any Proposal at this stage. |
| Evaluation of Eligibility and Qualification | * 1. Eligibility and Qualification of the Bidder will be evaluated against the Minimum Eligibility/Qualification requirements specified in the Section 4 (Evaluation Criteria).   2. In general terms, vendors that meet the following criteria may be considered qualified:   3. They are not included in the UN Security Council 1267/1989 Committee's list of terrorists and terrorist financiers, and in UNDP’s ineligible vendors’ list;   4. They have a good financial standing and have access to adequate financial resources to perform the contract and all existing commercial commitments,   5. They have the necessary similar experience, technical expertise, production capacity where applicable, quality certifications, quality assurance procedures and other resources applicable to the provision of the services required;   6. They are able to comply fully with UNDP General Terms and Conditions of Contract;   7. They do not have a consistent history of court/arbitral award decisions against the Bidder; and   8. They have a record of timely and satisfactory performance with their clients. |
| Evaluation of Technical and Financial Proposals | * 1. The evaluation team shall review and evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and other RFP documents, applying the evaluation criteria, sub-criteria, and point system specified in the Section 4 (Evaluation Criteria). A Proposal shall be rendered non-responsive at the technical evaluation stage if it fails to achieve the minimum technical score indicated in the BDS. When necessary and if stated in the BDS, UNDP may invite technically responsive bidders for a presentation related to their technical proposals. The conditions for the presentation shall be provided in the bid document where required.   2. In the second stage, only the Financial Proposals of those Bidders who achieve the minimum technical score will be opened for evaluation. The Financial Proposals corresponding to Technical Proposals that were rendered non-responsive shall remain unopened, and, in the case of manual submission, be returned to the Bidder unopened. For emailed Proposals and e-tendering submissions, UNDP will not request for the password of the Financial Proposals of bidders whose Technical Proposal were found not responsive.   3. The evaluation method that applies for this RFP shall be as indicated in the BDS, which may be either of two (2) possible methods, as follows: (a) the lowest priced method which selects the lowest evaluated financial proposal of the technically responsive Bidders; or (b) the combined scoring method which will be based on a combination of the technical and financial score.   4. When the BDS specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:   Rating the Technical Proposal (TP):  **TP Rating** = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100  Rating the Financial Proposal (FP):  **FP Rating** = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100  Total Combined Score:  **Combined Score =** (TP Rating) x (Weight of TP, e.g. 70%) + (FP Rating) x (Weight of FP, e.g., 30%) |
| Due Diligence | * 1. UNDP reserves the right to undertake a due diligence exercise, also called post qualification, aimed at determining to its satisfaction, the validity of the information provided by the Bidder. Such exercise shall be fully documented and may include, but need not be limited to, all or any combination of the following:      1. Verification of accuracy, correctness and authenticity of information provided by the Bidder;      2. Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team;      3. Inquiry and reference checking with Government entities with jurisdiction on the Bidder, or with previous clients, or any other entity that may have done business with the Bidder;      4. Inquiry and reference checking with previous clients on the performance on on-going or contracts completed, including physical inspections of previous works, as necessary;      5. Physical inspection of the Bidder’s offices, branches or other places where business transpires, with or without notice to the Bidder;      6. Other means that UNDP may deem appropriate, at any stage within the selection process, prior to awarding the contract. |
| Clarification of Proposals | * 1. To assist in the examination, evaluation and comparison of Proposals, UNDP may, at its discretion, ask any Bidder for a clarification of its Proposal.   2. UNDP’s request for clarification and the response shall be in writing and no change in the prices or substance of the Proposal shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNDP in the evaluation of the Proposals, in accordance with RFP.   3. Any unsolicited clarification submitted by a Bidder in respect to its Proposal, which is not a response to a request by UNDP, shall not be considered during the review and evaluation of the Proposals. |
| Responsiveness of Proposal | * 1. UNDP’s determination of a Proposal’s responsiveness will be based on the contents of the Proposal itself. A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.   2. If a Proposal is not substantially responsive, it shall be rejected by UNDP and may not subsequently be made responsive by the Bidder by correction of the material deviation, reservation, or omission. |
| Nonconformities, Reparable Errors and Omissions | * 1. Provided that a Proposal is substantially responsive, UNDP may waive any non-conformities or omissions in the Proposal that, in the opinion of UNDP, do not constitute a material deviation.   2. UNDP may request the Bidder to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Bidder to comply with the request may result in the rejection of its Proposal.   3. For Financial Proposal that has been opened, UNDP shall check and correct arithmetical errors as follows:  1. if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total shall be corrected, unless in the opinion of UNDP there is an obvious misplacement of the decimal point in the unit price; in which case the line item total as quoted shall govern and the unit price shall be corrected; 2. if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected; and 3. if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail.    1. If the Bidder does not accept the correction of errors made by UNDP, its Proposal shall be rejected. |
| AWARD OF CONTRACT | |
| Right to Accept, Reject, Any or All Proposals | * 1. UNDP reserves the right to accept or reject any Proposal, to render any or all of the Proposals as non-responsive, and to reject all Proposals at any time prior to award of contract, without incurring any liability, or obligation to inform the affected Bidder(s) of the grounds for UNDP’s action. UNDP shall not be obliged to award the contract to the lowest priced offer. |
| Award Criteria | * 1. Prior to expiration of the proposal validity, UNDP shall award the contract to the qualified Bidder based on the award criteria indicated in the BDS. |
| Debriefing | * 1. In the event that a Bidder is unsuccessful, the Bidder may request a debriefing from UNDP. The purpose of the debriefing is to discuss the strengths and weaknesses of the Bidder’s submission, in order to assist the Bidder in improving its future proposals for UNDP procurement opportunities. The content of other proposals and how they compare to the Bidder’s submission shall not be discussed. |
| Right to Vary Requirements at the Time of Award | * 1. At the time of award of Contract, UNDP reserves the right to vary the quantity of services and/or goods, by up to a maximum twenty-five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions. |
| Contract Signature | * 1. Within fifteen (15) days from the date of receipt of the Contract, the successful Bidder shall sign and date the Contract and return it to UNDP. Failure to do so may constitute sufficient grounds for the annulment of the award, and forfeiture of the Proposal Security, if any, and on which event, UNDP may award the Contract to the Second Ranked Bidder or call for new Proposals. |
| Contract Type and General Terms and Conditions | * 1. The types of Contract to be signed and the applicable UNDP Contract General Terms and Conditions, as specified in BDS, can be accessed at <http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html> |
| Performance Security | * 1. 40.1 A performance security, if required in BDS, shall be provided in the amount specified in BDS and form available at   <https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Solicitation_Performance%20Guarantee%20Form.docx&action=default> within fifteen (15) days of the contract signature by both parties. Where a performance security is required, the receipt of the performance security by UNDP shall be a condition for rendering the contract effective. |
| Bank Guarantee for Advanced Payment | * 1. Except when the interests of UNDP so require, it is UNDP’s preference to make no advance payment(s) (i.e., payments without having received any outputs). If an advance payment is allowed as per BDS, and exceeds 20% of the total contract price, or USD 30,000, whichever is less, the Bidder shall submit a Bank Guarantee in the full amount of the advance payment in the form available at <https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Contract%20Management%20Payment%20and%20Taxes_Advanced%20Payment%20Guarantee%20Form.docx&action=default> |
| Liquidated Damages | * 1. If specified in BDS, UNDP shall apply Liquidated Damages resulting from the Contractor’s delays or breach of its obligations as per the Contract. |
| Payment Provisions | * 1. Payment will be made only upon UNDP's acceptance of the work performed. The terms of payment shall be within thirty (30) days, after receipt of invoice and certification of acceptance of work issued by the proper authority in UNDP with direct supervision of the Contractor. Payment will be effected by bank transfer in the currency of contract. |
| Vendor Protest | * 1. UNDP’s vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a contract through a competitive procurement process. In the event that a Bidder believes that it was not treated fairly, the following link provides further details regarding UNDP vendor protest procedures: <http://www.undp.org/content/undp/en/home/operations/procurement/business/protest-and-sanctions.html> |
| Other Provisions | * 1. In the event that the Bidder offers a lower price to the host Government (e.g. General Services Administration (GSA) of the federal government of the United States of America) for similar services, UNDP shall be entitled to same lower price. The UNDP General Terms and Conditions shall have precedence.   2. UNDP is entitled to receive the same pricing offered by the same Contractor in contracts with the United Nations and/or its Agencies. The UNDP General Terms and Conditions shall have precedence.   3. The United Nations has established restrictions on employment of (former) UN staff who have been involved in the procurement process as per bulletin ST/SGB/2006/15 <http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2006/15&referer> |

Section 3. Bid Data Sheet

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

|  |  |  |  |
| --- | --- | --- | --- |
| **BDS No.** | **Ref. to Section.2** | **Data** | **Specific Instructions / Requirements** |
| 1 | 7 | Language of the Proposal | English |
| 2 |  | Submitting Proposals for Parts or sub-parts of the TOR (partial bids) | Not Allowed |
| 3 | 20 | Alternative Proposals | Shall not be considered |
| 4 | 21 | Pre-proposal conference | Will be Conducted  Time: Kabul Local Time  Date: March 19, 2019 10:00 AM  Venue: UNDP Meeting Room, UNOCA Compound, Jalalabad Road, Kabul, Afghanistan  All interested proposers are encouraged to participate in the pre-proposal conference.  The UNDP focal point for the arrangement is:  Procurement Unit  Telephone: +93728999751  E-mail: procurement.af@undp.org  Bidders interested to attend the Pre-Proposal Conference Must Send the Following information to the above-mentioned E-mail address ***Before 12:00 PM on 17 March 2019*** including Participant’s Name, Nationality, National ID (Tazkira) or Passport Number, and Company Name.  The Subject of E-mail Should be:  **RFP Ref. No-UNDP/AFG/RFP/2019/000003475, Pre Bid-Conference** |
| 5 | 10 | Proposal Validity Period | 90 days |
| 6 | 14 | Bid Security | Not Required |
| 7 | 41 | Advanced Payment upon signing of contract | Not Allowed |
| 8 | 42 | Liquidated Damages | Will not be imposed  Percentage of contract price per day of delay: .05%  Max. number of days of delay 30 days, after which UNDP may terminate the contract. |
| 9 | 40 | Performance Security | Not Required |
| 10 | 18 | Currency of Proposal | United States Dollar  For evaluation purposes, the bids submitted in other currencies will be converted to US$ using the UN Operational Exchange Rate.  *Reference date for determining UN Operational Exchange. March 2019* |
| 11 | 31 | Deadline for submitting requests for clarifications/ questions | 5 days before the submission deadline |
| 12 | 31 | Contact Details for submitting clarifications/questions | Focal Person in UNDP:  Address: United Nations Development Programme, UNDP Country Office, UNOCA Complex, Jalalabad Road, Kabul, Afghanistan  E-mail address dedicated for this purpose:  [procurement.af@undp.org](mailto:procurement.af@undp.org)  Note: The Subject Line of email should be: **UNDP/AFG/RFP/2019/0000003475** |
| 13 | 18, 19 and 21 | Manner of Disseminating Supplemental Information to the RFP and responses/clarifications to queries | Posted directly to eTendering |
| 14 | 23 | Deadline for Submission | ☒ Online bidding in E-Tendering module.  As per indicated in eTendering system. Note that system time zone is in EST/EDT (New York) time zone. |
| 14 | 22 | Allowable Manner of Submitting Proposals | ☒ Online bidding in E-Tendering module.  Date and Time: As specified in the system (note that the time zone indicated in the system in New York Time zone).  **PLEASE NOTE:-**  Date and time visible on the main screen of the event (on the 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 to the system.  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.  Note: for registration please refer to E-tendering instruction manual and FAQ. |
| 15 | 22 | Proposal Submission Address | Insert BU Code: AFG10  Event ID Number: 00000003475  To access Event Number 0000003475, kindly visit this website:  <https://etendering.partneragencies.org>  The step by step guide for e-tendering can be downloaded at this link:  <http://www.undp.org/content/undp/en/home/operations/procurement/business/procurement-notices/resources/> |
| 16 | 22 | Electronic submission (email or eTendering) requirements | * Format: PDF files only. ZIP, RAR and JPEG must not be used. Offerors are encouraged to check the attachment formats prior to submission as UNDP will not be responsible if attachments are in other formats that cannot be opened without additional software. * After preparing the Proposal in paper format, the entire Technical Proposal should be scanned or converted into one or more electronic.pdf (Adobe Acrobat) format file(s) and attached to one or more e-mails. The same should be done for financial proposal. * The Technical Proposal should be submitted separately from the Financial Proposal and must not contain any pricing information whatsoever on the services offered. * File names must be maximum 60 characters long and must not contain any letter or special character other than from Latin alphabet/keyboard. * All files must be free of viruses and not corrupted*.* * Financial Proposal Password:   Password for financial proposal must not be provided to UNDP until requested by UNDP if the proposal is deemed technically qualified. Proposers will have 48 hours to respond to the request for password from UNDP. Proposers are advised to note their passwords in a secure place. Should UNDP be unable to open the file due to forgotten password(s), the Proposal shall be request.   * Max. File Size per transmission:   *Proposers may send as many emails as needed but the size of each e-mail should not exceed five megabytes (5MB).*   * Mandatory subject of email: RFP Ref. No. **UNDP/AFG/RFP/20190000003475** |
| 17 | 27  36 | Evaluation Method for the Award of Contract | Combined Scoring Method, using the 70%-30% distribution for technical and financial proposals respectively    The minimum technical score required to pass is 70%. |
| 18 |  | Expected date for commencement of Contract | May 1, 2019 |
| 19 |  | Maximum expected duration of contract | Maximum three years with an initial term of one year, renewable for two terms of one year each by agreement and depending on satisfactory performance and availability of funds. |
| 20 | 35 | UNDP will award the contract to: | |  | | --- | | One or more Proposers, depending on the following factors:  The RFP will result in a Long-Term Agreement (LTAs) with a Company whose Proposal is fully responsive and achieves the highest (Technical + Financial) score (Primary Third-Party Agent (TPA).  An additional two Companies (Reserve TPA) will be added. The Reserve LTAs shall be awarded to the Companies whose proposals are fully responsive and achieves the second and third highest (Technical + Financial) scores.  In case the Primary TPA will not be able to meet UNDPs requirements and/or performance criteria, the second Reserve TPA will be activated, and if the second Reserve TPA will likewise not be able to meet UNDPs requirements and/or performance criteria, then the third Reserve TPA will be used. | |
| 21 | 39 | Type of Contract | Long Term Agreement  <http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html> |
| 22 | 39 | UNDP Contract Terms and Conditions that will apply | UNDP General Terms and Conditions for Professional Services  <http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html> |
| 23 |  | Other Information Related to the RFP | Proposers are solely responsible for ensuring that any and all files sent to UNDP are readable, i.e. uncorrupted, in the indicated electronic format and free from viruses and malware. Failure to provide readable files will result in the proposal being rejected.  Proposals send to or copied to personal emails of UNDP staff will be disqualified |

# Section 4. Evaluation Criteria

**Preliminary Examination Criteria**

Proposals will be examined to determine whether they are complete and submitted in accordance with RFP requirements as per below criteria on a Yes/No basis:

* Appropriate signatures
* Power of Attorney
* Minimum documents provided
* Technical and Financial Proposals submitted separately
* Bid Validity
* Bid Security submitted as per RFP requirements with compliant validity period

**Minimum Eligibility and Qualification Criteria**

Eligibility and Qualification will be evaluated on Pass/Fail basis.

If the Proposal is submitted as a Joint Venture/Consortium/Association, each member should meet minimum criteria, unless otherwise specified in the criterion.

|  |  |  |
| --- | --- | --- |
| **Subject** | **Criteria** | **Document Submission requirement** |
| **ELIGIBILITY** |  |  |
| **Legal Status** | Vendor is a legally registered entity. | Form B: Bidder Information Form |
| **Eligibility** | Vendor is not suspended, nor debarred, nor otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization in accordance with RFP clause 3. | Form A: Technical Proposal Submission Form |
| **Conflict of Interest** | No conflicts of interest in accordance with RFP clause 4. | Form A: Technical Proposal Submission Form |
| **Bankruptcy** | Not declared bankruptcy, not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against the vendor that could impair its operations in the foreseeable future. | Form A: Technical Proposal Submission Form |
| **QUALIFICATION** |  |  |
| **History of Non-Performing Contracts[[1]](#footnote-1)** | Non-performance of a contract did not occur as a result of contractor default for the last 3 years. | Form D: Qualification Form |
| **Litigation History** | No consistent history of court/arbitral award decisions against the Bidder for the last 3 years. | Form D: Qualification Form |
| **Previous Experience** | Minimum 5 years of relevant experience. | Form D: Qualification Form |
| Minimum 2 contracts of not less than US$300,000 each, implemented over the last 5 years.  *(For JV/Consortium/Association, all Parties cumulatively should meet requirement).* | Form D: Qualification Form |
| **Financial Standing** | Positive net income for the past 2 years  *(For JV/Consortium/Association, all Parties cumulatively should meet requirement).* | Form D: Qualification Form |
| Bidder must demonstrate the current soundness of its financial standing and indicate its prospective long-term profitability.  *(For JV/Consortium/Association, all Parties cumulatively should meet requirement).* | Form D: Qualification Form |
| **Bidder’s Qualification** | * must have minimum 5 years of previous experience in the field of spot-check; and field monitoring working experience in Afghanistan is an added advantage; * must have a valid business registration document along with previous registration document which dates back 5 years or older. * must be able to provide copies of previous contracts including the scope of work for at least TWO similar projects within the last 5 years along with value of the contract, duration of assignment, project owner name, address and contact details. * Must be able to provide technical proposal ensuring understanding and meeting the technical requirements of the assignment, able to conduct the works within the stipulated deadline, according to required quality; * Must be able to propose an engagement team, according to the scope, emphasis, timing and conduct of the engagement. |  |
| **Key Personnel** | |  |  |  | | --- | --- | --- | | **Position** | **Professional / Academic Education** | **Professional Experience** | | Team Leader  (Audit Manager) | Chartered Accountant (CA), Chartered Certified Accountant (CCA) or Certified Public Accountant (CPA) completed. | At a minimum of 7 years’ relevant auditing experience. | | Senior Expert  (Audit Team Leader) | Chartered Accountant (CA), Certified Chartered Accountant (CCA) or Certified Public Accountant (CPA) completed or ongoing, with a minimum of master’s degree completed. | At a minimum of 5 years’ relevant auditing experience | | One Junior Expert  (Audit Assistant) | Minimum Chartered Accounting Technician (CAT) qualified or a bachelor’s degree in accounting, finance, etc.;  CA, CCA or CPA completed or ongoing would be an asset | |  | | --- | | At a minimum of 3 years’ relevant auditing experience | | | One Junior Expert (Field Monitoring Expert) | Agriculture and/or Engineering expert; at least a bachelor’s degree in abovementioned fields; | At a minimum of 3 years’ relevant experience in agriculture, engineering and monitoring and data collection is required | |  |
| **Other Relevant Information** | As noted in ISRS 4400 paragraph 7: “The auditor should comply with the Code of Ethics for Professional Accountants issued by the International Ethics Standards Board for Accountants (IESBA Code). Ethical principles governing the auditor’s professional responsibilities for this type of engagement are:   * Integrity; * Objectivity; * Professional competence and due care; * Confidentiality; * Professional behavior; and * Technical standards.” |  |

**Technical Evaluation Criteria**

|  |  |  |
| --- | --- | --- |
| **Summary of Technical Proposal Evaluation Forms** | | **Points Obtainable** |
| 1. | Bidder’s qualification, capacity and experience | 300 |
| 2. | Proposed Methodology, Approach and Implementation Plan | 400 |
| 3. | Management Structure and Key Personnel | 300 |
|  | **Total** | **1000** |

|  |  |  |  |
| --- | --- | --- | --- |
| **Section 1. Bidder’s qualification, capacity and experience** | | | **Points obtainable** |
| 1.1 | Reputation of Organization and Staff Credibility / Reliability / Industry Standing | | 30 |
| 1.2 | General Organizational Capability which is likely to affect implementation: management structure, financial stability and project financing capacity, project management controls, extent to which any work would be subcontracted | | 90 |
| 1.3 | Relevance of specialized knowledge and experience on similar engagements done in the region/country | | 110 |
| Specialized knowledge | 20 |  |
| Experience on similar programme / project | 15 |  |
| Experience on projects in the remote insecure areas | 15 |  |
| Experience with Agriculture and rural development programmes/projects | 10 |  |
| Experience with monitoring, surveys and data analysis | 40 |  |
| Work for UNDP / major multilateral / bilateral programmes | 10 |  |
| 1.4 | Quality assurance procedures, quality assurance methods proposed, warranty | | 40 |
| 1.5 | Organizational Commitment to Sustainability (mandatory weight)  -Organization is compliant with ISO 14001 or ISO 14064 or equivalent – 20 points  -Organization is a member of the UN Global Compact -5 points  -Organization demonstrates significant commitment to sustainability through some other means- 5 points, for example internal company policy documents on women empowerment, renewable energies or membership of trade institutions promoting such issues | | 30 |
| **Total Section 1** | | | **300** |

|  |  |  |
| --- | --- | --- |
| **Section 2. Proposed Methodology, Approach and Implementation Plan** | | **Points obtainable** |
| 2.1 | Understanding of the requirement: Have the important aspects of the task been addressed in sufficient detail? Are the different components of the project adequately weighted relative to one another? | 60 |
| 2.2 | Description of the Offeror’s approach and methodology for meeting or exceeding the requirements of the Terms of Reference | 80 |
| 2.3 | Is the scope of task well defined and does it correspond to the TOR? | 50 |
| 2.4 | Description of available performance monitoring, evaluation mechanisms, reporting mechanism and tools; how they shall be adopted and used for a specific requirement | 50 |
| 2.5 | Assessment of the implementation plan proposed including whether the activities are properly sequenced and if these are logical and realistic | 70 |
| 2.6 | Demonstration of ability to plan, integrate and effectively implement sustainability measures in the execution of the contract | 50 |
| 27 | Extent to which any work would be distributed within the Joint Venture organs (Joint Venture carries additional risks which may affect project implementation, but properly done it offers a chance to access specialized skills.) | 40 |
| **Total Section** **2** | | **400** |

|  |  |  |  |
| --- | --- | --- | --- |
| **Section 3. Management Structure and Key Personnel** | | | **Points obtainable** |
| 3.1 | Composition and structure of the team proposed. Are the proposed roles of the management and the team of key personnel suitable for the provision of the necessary services? |  | 60 |
| 3.2 | Qualifications of key personnel proposed |  |  |
| 3.2 a | Team Leader |  | 120 |
| Education (Postgraduate in governance or related social sciences) | 15 |  |
| Experience in relevant sector | 30 |
| Training in project management and M&E | 25 |
| Professional experience in monitoring | 25 |
| Knowledge of the region/country | 15 |
| Language Qualifications | 10 |
| 3.2 b | Data Analyst |  | 80 |
|  | Education (Postgraduate in governance or related social sciences) | 10 |  |
| Experience in relevant sector | 40 |
| Training in project management and M&E | 20 |
| Professional experience in monitoring | 10 |
|  |  |
| 3.2 c | Field Monitors |  | 40 |
|  | - General Experience | 5 |  |
| - Specific Experience relevant to the assignment | 15 |
| - Training in data collection | 10 |
| - Language Qualifications | 10 |
|  |  |
| **Total Section 3** | | | **300** |

# Section 5. Terms of Reference

# Section 5. Terms of Reference – Field Monitoring and Spot-check (FMSC) for L&R projects

## Background Information and Rationale, Project Description

**UNDP Global Mission Statement:**

UNDP is the UN’s global development network, an organization advocating for change and connecting countries to knowledge, experience and resources to help people build a better life. We are on the ground in 166 countries, working with national counterparts on their own solutions to global and national development challenges.

**UNDP Afghanistan Mission Statement:**

UNDP supports stabilization, state-building, governance and development priorities in Afghanistan. UNDP support, in partnership with the Government, the United Nations system, the donor community and other development stakeholders, has contributed to institutional development efforts leading to positive impact on the lives of Afghan citizens. Over the years UNDP support has spanned such milestone efforts as the adoption of the Constitution; Presidential, Parliamentary and Provincial Council elections; institutional development through capacity-building to the legislative, the judicial and executive arms of the state, and key ministries, Government agencies and commissions at the national and subnational levels. UNDP has played a key role in the management of the Law and Order Trust Fund, which supports the Government in developing and maintaining the national police force and in efforts to stabilize the internal security environment.

**UNDP Livelihoods and Resilience Unit:**

The UNDP Livelihoods and Resilience Unit supports the government of Afghanistan to create livelihood opportunities and reduce poverty, especially among the most vulnerable groups. It works work with businesses to create jobs and economic growth, and with the government to build infrastructure, link rural areas to markets and develop new forms of employment, including in the sustainable mining sector. Since most people depend on the land for an income, the Unit works on livelihoods is closely linked with efforts to protect the environment, bring sustainable energy to rural areas, and prepare for natural disasters. The Unit works closely with the Global Environment Facility (GEF) that finances environment projects focusing on climate change and adaption, climate change induced risks and biodiversity.

## Projects Description:

* 1. **CBARD West and CBARD East:**

CBARD West and East projects are community-based projects which introduce and strengthen local production and marketing of traditional high-value crops in 170 communities in the high opium producing provinces of Nangarhar, Farah and Badghis. With a stated purpose to prove the viability of high-value agricultural-based interventions in improving local economies in Nangarhar, Farah and Badghis as a sustainable alternative to illicit crop cultivation, CBARD East and West projects aim to reduce opium cultivation and directly benefit an estimated 46,000 households (322,000 beneficiaries). In addition to supporting local farmers with Farmers’ Field Schools, CBARD projects will build, develop, and/or strengthen existing public and private agro-business infrastructures in the strategic areas of irrigation, transportation, and agricultural facilities. The latter includes the introduction or strengthening of value-addition activities through community-owned producer groups, cooperatives or established SMEs by building or repairing key infrastructures such as greenhouses, dry and cold storage warehouses, and packaging and processing plants. The projects also recognize the important role of off-farm employment that will be subsequently created and supported by the project through innovative enterprise support and development, and access to finance in improving local economies. Therefore, CBARD East and West introduce an integrated model supportive of agro-based value chains in parallel with assistance for rural off-farm enterprises, entrepreneurs and facilitation of access to finance.

CBARD projects will be implemented by UNDP through a partnership with the Ministry of Agriculture, Irrigation and Livestock and in collaboration with Ministry of Counter Narcotics. It will also be supported locally by District Development Assemblies, Community Development Councils, Non-Government Organizations and the agro-based private sector. Furthermore, UNDP partners with UNODC as the Opium Production Third-party agent and to conduct socio-economic evaluations in the targeted communities.

The project is designed in two outputs:

* **Output 1:** Local production of, and market for, high-value crops improved
* **Output 2:** Community-based agro-business infrastructures (irrigation, transportation, agricultural facilities) are built, developed, and/or strengthened
  1. **Community-Induced Disaster Risk Reduction Project (CDRRP)**

The project aims at developing community-based early warning systems (CBEWS) in targeted disaster-prone communities, enhancing their capacity to respond to the negative effects of climate change (droughts and floods, decreased rainfall) and mainstreaming climate change into national and local planning. The project is funded by the GEF´s Least Developed Country Fund (LDCF) with a total budget of USD6.6 million, including UNDP USD 1 million cash co-finance. The project is being implemented in two provinces Nangarhar and Jowzjan.

* 1. **Conservation of Snow Leopards and their Critical Ecosystems in Afghanistan (Snow Leopards)**

The project objective is to strengthen conservation of the snow leopard and its critical ecosystem in Afghanistan through a holistic and sustainable landscape approach that addresses existing and emerging threats.

**Outcome 1.** Strengthened conservation of Snow Leopards through reduced illegal wildlife trade and decreased incidences of human–wildlife conflict. This component will strengthen conservation of Snow Leopards by reducing poaching of Snow Leopards. Community rangers and government officials will have increased capacity to undertake to monitor of Snow Leopard populations and control the take and trade of Snow Leopards by enforcing regulations related to wildlife crime and illegal trade. Improved understanding of epidemiology will reduce transmission of diseases between domestic animals and wildlife such as Snow Leopards and their prey base. Furthermore, predation on domestic livestock by Snow Leopards will be reduced to minimize incidences of retaliatory killing of Snow Leopards.

**Outcome 2.** Improved land‑use planning across critical Snow Leopard ecosystems to reduce the impacts of forest loss, land degradation and climate change impact. This component will improve conservation of the ecosystems of the Snow Leopard and its prey species. Improved understanding of Snow Leopards and their prey species will increase the availability of information to inform land-use and conservation planning. Pressure on critical ecosystems will be reduced by improving conservation compatible land-use planning and promoting reforestation and improved grazing practices. In addition, development of climate change impact scenarios for Wakhan District will contribute towards planning for integration of climate‑resilient measures into land‑use and wildlife management plans.

**Outcome 3.** Enhanced knowledge management through awareness raising, monitoring and evaluation. This component will improve awareness, knowledge and education concerning Snow Leopards, their prey species and the critical ecosystems upon which they depend. This will be done by enhancing research, knowledge management and awareness raising on the importance to biodiversity and its conservation. Improved knowledge sharing and awareness raising will occur at the national, provincial and local levels. Relevant knowledge and information will be transferred to all stakeholders to ensure that data and information collected will be used to inform planning and decision-making at all levels during and beyond the lifespan of the project.

This project forms part of the GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species and falls under the GEF Programme Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (9071). Under this programmatic framework, with the coordination through the programme steering committee, coordinated knowledge management and cross-fertilization of the individual projects will be assured.

* 1. **Afghanistan Sustainable Energy for Rural Development (ASERD)**

The Afghanistan Sustainable Energy for Rural Development (ASERD) programme is a four- year initiative that commenced on January 2016. The programme aims to increase access to electricity and thermal energy in rural Afghanistan. ASERD is funded by the Republic of Korea and implemented by the Ministry of Rural Rehabilitation and Development (MRRD) with support from the United Nations Development Programme (UNDP). The efforts will bring sustainable energy to households, public facilities and private sectors providing health, economic and social beneﬁts. Most signiﬁcantly, the major contribution will be the establishment of delivery models that are, leverage additional local and international resources, technology neutral mobilizes communities, engage the private sector and ﬁnanciers to stablish a self- sustaining the delivery model. The programme will also aim to establish the right frameworks for policy, regulation, environmental protection, quality incentives and develop human institutional capacities for these delivery models to continue the access to energy in the rural part of Afghanistan.

The project is designed with a total budget of USD 50 million dollars which will run from 2016 till the end of 2019. The Mini-Grid Projects envisaged to be deployed by ASERD in different provinces are detailed in the table 1. below.

* 1. **Livelihoods Improvement in Tajik-Afghan Cross-Border Areas - 2 (LITACA2)**

The project Livelihood Improvement in Tajik—Afghan Cross Border Areas (LITACA) is the first socio-economic development project between the Government of Islamic Republic of Afghanistan and the Republic of Tajikistan executed by the United Nations Development Programme (UNDP) —Tajikistan Office in Tajik side and the United Nations Development Programme (UNDP) —Afghanistan and the Ministry of Rural Rehabilitation and Development (MRRD) of the Government of Islamic Republic of Afghanistan in Afghan side. The project is funded by the Government of Japan through the Japan International Cooperation Agency (JICA).

LITACA II a 3-year initiative (2018 – 2020) to improve living standards and promote stability and security in the bordering provinces of Tajikistan and Afghanistan. This will be achieved by reducing poverty, supporting economic development and cross-border collaboration among the communities along the Tajik-Afghan border. More than 130,072people will directly benefit from LITACA project while the livelihoods of more than 1,823,828) people living in target bordering communities will be strengthened. The project will offer capacity development opportunities for the local governments, civil society and private sector organizations to sustainably manage local socio-economic development. As well, the project will offer investments for rehabilitating priority infrastructure initiatives and business development as a means of improving livelihoods of the target population, and thereby promoting stability and security in the region.

***Table 1. Geographical coverage***

|  |  |  |
| --- | --- | --- |
| **Projects** | **Province** | **Districts** |
| CBARD West | Farah | Khak-e-Safid, Posht-e-Rod |
| Badghis | Jawand, Qadis, Ghormach, Bala Murghab |
| CBARD East | Nangarhar | Rodat, Achin, Khogyani, Sherzad, Chaparhar, Kot |
| CDRRP | Nangarhar | Kama, Kuz Kunar, Behsud |
| Jawzjan | Khwaja Du Koh, Faizabad, Khanaqa |
| Snow Leopard | Badakhshan | Wakhan |
| ASERD | Nangarhar | Dara-e-Noor |
| LITACA2 | Badakhshan | Shahr-e-buzurg |
| Takhar | Cha Ab |
| Yang-e- Qala |
| Dasht-e-Qala |
| Kunduz | Imam Sahib |
| Balkh | Khulm |

## Scope of Services

Implementation of assurance activities is an integral part of the HACT in line with the Micro-Assessment of implementing partners (IP). Assurance is obtained by carrying out: (1) programme monitoring; (2) spot checks; and (3) annual audit as documented in the Cash Transfer Modality (CTM) Assurance Plan for the IP.

UNDP Country Office now requires the services of a third-party agent to conduct an independent field project monitoring and spot-check as part of the abovementioned HACT assurance plan. The purpose of conducting the field project monitoring and spot-check is to provide UNDP and project stakeholders with evidence/assurance regarding the state of project implementation compared to the Annual Work Plan (AWP). Through the Field Project Monitoring process, UNDP will monitor progress towards results and the context in which the project is working. The spot-check is expected to be carried out in accordance with ISRS 4400, Agreed-upon Procedures Regarding Financial Information. The spot check should be carried out every quarter for the duration of up to three years.

## Specific tasks:

## Field Project Monitoring (FPM):

FPM focuses on results-based management, and by extension, on results-based monitoring focuses on outputs, outcomes and impacts, rather than on inputs and activities. Thus, the FPM focuses on assessing the relevance of the design of project interventions, verifying the assumptions underlying project design, potential sustainability, comparing lessons learned from other interventions, and seeking to contribute to wider development debates with concrete examples from the field. The FPM will provide information on:

* **Gender Equality:** A key result of project intervention must include the reduction of inequalities between women and men. Field project monitoring visits must give attention to women and traditionally excluded groups.
* **Livelihoods:** Field monitoring visits to communities should carefully assess changes in livelihoods, whether changes (positive or negative) can be attributed to project interventions and identify who has improved livelihoods because of the project. Lessons learned on “what works for whom” must be carefully recorded/documented. In other terms, the ultimate intended result of project’s interventions is the reduction of poverty and achievement of the relevant UNDP Country Programme Document (CPD) outputs and the Sustainable Development Goals for Afghanistan (A-SDGs). Thus, one of the overarching questions of the monitoring visits must be, is this intervention helping to achieve the UNDP CPD outputs and the A-SDGs?
* **Capacity development:** is at the heart of UNDP’s mandate and essential for the sustainability of project’s interventions. As part of results monitoring, attention must be given to the question whether or not the activities and outputs are leading to the intended increases in capacity of community, organizations/institutions.
* Discuss and validate the progress towards the development results through the project interventions
* Update the status of responding actions from the previous findings/recommendations
* Oversight internal management, especially when these might have changed compared to the previous exercise(s)
* Discuss the findings of field observation with the designated official of the Implementing Partner.
* **Site Observation:**
* Discuss and validate the progress towards the development results through the project interventions
* Update the status of responding actions from the previous findings/recommendations
* Oversight internal management, especially when these might have changed compared to the previous exercise(s)
* Discuss the findings of field observation with the designated official of the Implementing Partner.

## Spot-Check

The third-party agent will perform a review and verification of financial, recruitment and procurement areas, which provides evidence regarding the state of the project implementation and use of agency resources.

The third-party agent will:

* Compare documentation obtained describing the IP’s financial management internal controls against the most recent micro assessment from the corresponding programme cycle; and documenting/reporting any changes or inconsistencies.
* Inquire of IP management whether there have been any changes to internal controls since the prior micro assessment from the current programme cycle. Document any changes identified, if any.
* Verify that all the recruitments are done in accordance with the government rules and regulations and agreement with UNDP. This includes but not limited to:
  + Existence of complete Human Resources (HR) processes documented (Details of all recruitment process documents such as shortlisting, evaluation, interview report, panel recommendations, candidates’ attendance sheet, and other relevant documentation.);
  + Existence of complete HR files for all project staff, interns and volunteers (including National ID (Tazkira), Curriculum Vitae, vendor profile, documents to prove qualification satisfaction, and other relevant documentation).
* Verify that the procurement cases of good and services are done in accordance with the government rules and regulations and agreement with UNDP as per National Implementation Modality (NIM) guidelines. This includes but it is not limited to the following documents:
  + Request for procurement;
  + Procurement announcement;
  + Procurement evaluation, panel scorings as well as declaration of Conflict of interest, contracts and purchase orders;
  + Legal documents of bidders;
* Verify if the contracted companies are in accordance with the qualifications required;
* Perform physical assets and equipment verification and ensure that the assets and equipment are safeguarded and used properly. This includes but it is not limited to:
  + Verification of asset existence as well as that it is not misused;
  + Verification of assets that are transferred between the Project Office in Kabul in the MAIL and the Field Offices in the provinces;
  + Status of the assets (usability and quality);
* Verify that assets have proper tag numbers and identification information.
* Verify that documentation exists to support the expenditure in accordance with the government rules and regulations and agreement with UNDP and agreement with UNDP as per National Implementation Modality (NIM) guidelines. This applies for the NIM Cash Advances that are provided exceptionally to CBARD, CCAP and CDRRP projects to support ad-hoc remote areas expenses. This will be checked based on UNDP-MAIL agreed items for NIM direct cash advances.
* Verify that the activity related to the expenditures is in accordance with the Annual Work Plan as well as in accordance with the government rules and regulations and agreement with UNDP as per NIM guidelines.
* Verify that the selection of Community Development Councils (CDCs) is part of the plan and in agreement with UNDP. This would include but it is not limited to:
  + Verification of existence of filled criteria for village selection in each province;
  + Verification of CDC functionality i.e. CDC’s are functional and registered under MRRD.
* Verify that the CDCs procurement follows a transparent mechanism within Government rules and regulations as stated in the Ministry of Rural Rehabilitation and Development (MRRD) Community contracting regulations. This includes but it is not limited to:
  + The companies contracted by CDC are not in any conflict of Interest with the project team members or personnel employed from project funds and/or working with the project including interns or volunteers;
  + The project has not influenced the company contracting in anyway;
  + The companies contracted are qualified technically based on project and government criteria
* Assess the state of project and/or activity progress compared to actual amount/proportion of expenditure incurred for specific project or activity.
* Obtain a listing of all programme-related expenditures during reporting period for the agreed-upon procedures engagement and perform the following:
  + Randomly select a sample of expenditures amounting to a certain percentage of total expenditures. (The percentage is to be determined by each agency relative to its needs and requirements.) Provide a detailed listing of expenditures selected as samples.
  + For each sample selection perform the following procedures:
  + Verify that documentation exists to support the expenditure in accordance with the IP’s rules and procedures and agreements with the agency.
  + Verify that the activity related to the expenditure is in accordance with the work plan.12

Verify that the expenditure has been reviewed and approved in accordance with the IP’s rules and procedures and agreements with the agency.

* + Verify that the expenditure was reflected on a certified FACE form submitted to the agency.
  + Verify that the expenditure was reflected in the IP’s accounting records (official book of accounts) and bank statement.
  + Verify that supporting documents are stamped ‘PAID from XXX project, indicating which agency funded the transaction.
  + Verify that the FACE form was submitted consistent with the periodicity-of-disbursement requirement in the HACT framework (two weeks).
  + Verify the price paid for goods or services against United Nations agreed standard rates (if readily available).
* If separate bank accounts are maintained for agency-granted funds, perform the following procedures:
  + Verify that the activity per the bank statements agrees with that reflected in the accounting records. Document any variances noted; and
  + Confirm that a bank reconciliation was completed, and the balance has been reconciled to the accounting records. Document any variances noted.

The third-party agent will review and verify at least 25% of the project locations and activity related documentation of each project. The third-party agent will visit both Kabul offices as well as the project offices in provinces along with a sample of CDCs (sample to be selected by the third-party agent). Please refer to Table 1 for list of provinces. One Spot-check exercise will be undertaken covering one full year across agreed project locations. The spot-check exercises will be initiated by UNDP.

## Approach and Methodology

The Third-Party Agent (TPA) will closely engage with UNDP before initiating their field work to understand project details pertaining to i) implementation status and issues; and ii) the agreed work plan. UNDP and projects will provide the TPA with relevant documentation including project documents, narrative reports, monitoring reports, partner capacity assessments and other relevant information. The TPA in turn will conduct quantitative and qualitative analyses on these documents prior to undertaking field level activities. All documentation shared with UNDP is confidential and shall not be disseminated further or shared with counterparts. The TPA will visit project locations at fixed points during project implementation to identify any obstacles to quality implementation and provide recommendations to the project. The timelines for specific assignments shall be discussed and agreed upon between UNDP and the TPA before a field mission is undertaken.

The TPA will not replace the monitoring function undertaken by UNDP implementing partners including the Government, or replace projects’ internal monitoring systems, but rather will provide an independent perspective, external evidence and detailed feedback on the project implementation at field (both programmatic implementation and operational).

Upon receipt of the inception report, UNDP will facilitate a kick-off coordination meeting between projects, UNDP and the TPA. After reviewing the documents in Kabul, the TPA will then carry out the field mission after which a debriefing meeting will be held between UNDP and TPA to validate and clarify any issues. The TPA will then submit report to UNDP (the relevant UNDP Programme Analyst and Programme Finance Analyst) who will work with Projects to prepare a management response. They will discuss findings and agree to a plan of action to resolve any key issues as identified in the draft report.

*Figure 1: Flowchart for the Spot-check process*

All reports shall be submitted to the relevant UNDP Programme Analyst and Programme Finance Analyst in soft copies in **English** along with all raw and primary data collected in electronic form. A management letter should be included within the reports for UNDP spot-checks.

## Deliverables and Schedules/Expected Outputs

The Third-party agent shall submit the following reports as contract deliverables to UNDP for each spot-check exercise:

Payment will be made within (30) days of the acceptance of the deliverables as below:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SN** | **Deliverables** | **Output** | **Percentage** | **Timeline** |
| 1 | Deliverable#1: Submission and approval of inception report:  This will contain the finalized approach and methodology for implementation of the assignment. The finalized approach and methodology should be a fine tuning of the methodology and approach provided in their initial technical proposal. The report shall be inclusive of the action plan and sampling methodology and standard that the TPA will adopt for monitoring services. This Inception Report shall be agreed with UNDP at the outset and shall form the basis for review and M&E of TPA work by UNDP. Any changes to the agreed approach and methodology during the assignment shall be fully documented and cleared by UNDP. | Submission of inception report | 10% | 2 weeks after signing the contract |
| 2 | Deliverable#2: Submission and approval of first quarterly report: | Submission of quarterly report: This will cover the timeline of the first quarter and must provide factual, detailed analysis of trends, identify problems (particularly recurring challenges and bottlenecks) in relation to the timely implementation of project activities and recommend appropriate actions, and describe positive feedback and lessons learned. | 20% | By 15 April of each year |
| 3 | Submission and approval of second quarterly report: This will cover the timeline of the second quarter and must provide factual, detailed analysis of trends, identify problems (particularly recurring challenges and bottlenecks) in relation to the timely implementation of project activities and recommend appropriate actions, and describe positive feedback and lessons learned. | Second quarterly report. | 20% | By 15 July of each year |
| 4 | Submission and approval of third quarterly report: This will cover the timeline of the third quarter and must provide factual, detailed analysis of trends, identify problems (particularly recurring challenges and bottlenecks) in relation to the timely implementation of project activities and recommend appropriate actions, and describe positive feedback and lessons learned. | Third quarterly report | 20% | By 15 October of each year |
| 5 | Submission and approval of final report: This will cover the timeline of the whole calendar year (January-December) and must provide factual, detailed analysis of trends, identify problems (particularly recurring challenges and bottlenecks) in relation to the timely implementation of project activities and recommend appropriate actions, and describe positive feedback and lessons learned. The report, will be submitted to the UNDP Livelihoods and Resilience Unit Section Chief and UNDP Programme Finance Analyst. | Final Report | 30% | By 15 January of the following year |

The final and quarterly reports will include an analysis of the findings and identify key follow up actions for the project. Please refer to Annex 1 for the combined reporting template of both field monitoring and spot-check.

## Key Performance Indicators and Service Level

For each third-party monitoring exercise, below deliverables are considered:

* **Submission and approval of Inception report:** The TPA will submit an inception report to the relevant Programme Finance Analyst within 2 weeks after the initiation of an exercise by UNDP.
* **Submission and approval of Quarterly Reports:** the TPA will submit three quarterly reports for first, second and third calendar quarters of each year. The reports will be due within a month after quarter closes (April for quarter 1, July for quarter 2 and October for quarter 3).
* **Submission and approval of Final Report:** The final report will be submitted one month after the year is closed (end of January).

## Governance and Accountability

**UNDP responsibility: oversight and liaison.** Under the oversight of the Livelihoods and Resilience Unit Section Chief in Kabul at UNDP Country Office, and the overall coordination of the relevant UNDP Programme Analysts the third-party agent reports to the UNDP Programme Analyst and Programme Finance Analyst and liaise with other UNDP Units in the Country Office and staff. The Section Chief will assess the performance of the third-party agent in close consultation with the UNDP Programme Finance Analyst and certify payments based on deliverables.

**Third-party agent responsibility: monitoring and reporting**

The agent shall designate a Team Leader to be the focal point for UNDP on monitoring and submission of reports. The Team Leader will also be responsible for communicating with the L&R Section Chief, the Programme Finance Analyst and the UNDP Programme Analysts for submitting draft reports and incorporating comment and suggestions from the above UNDP officials and submitting final reports.

The Team Leader will coordinate with UNDP Programme Analyst and Programme Finance Analyst and organize a meeting to review reports and information. The TPM Team Leader will ensure that the contract is performed in an efficient and effective manner in accordance with the Terms of Reference. The third-party Agent will provide in its proposal a description and cost estimate for all the facilities required to perform the services.

The third-party agent will ensure that it has the required access to provinces, districts and communities where the project is implemented. The agent will also conduct meetings with the UNDP L&R Section Chief and the UNDP Programme Finance Analyst on ad-hoc request to address issues of concern and provide actionable recommendations for solutions, including resolution of issues identified by the agent.

Office space, transport, computers, stationery, communications equipment are the responsibility of the third-party agent and not of UNDP and/or the projects.

## Facilities to be provided by UNDP

The third-party agent will be responsible for all logistical, administrative and maintenance support necessary for its personnel to operation for the whole duration of the contract with no responsibility on the part of UNDP.

This shall include the following:

* The duty of care of all its personnel in Afghanistan, including the welfare of its staff, including payment of salaries, medical insurance, medical and casualty evacuation in the event of a security breakdown.
* Arrangements for logistics across all aspects of the assignment, including in-country transportation for its operations, accommodation and any visa requirements.
* Security for all its personnel and assets. Neither the UNDP nor its national partners shall provide security facilities or be liable for any individual and material damage.
* Ensure adequate communication with UNDP.

In addition to the Section Chief and the UNDP Programme Finance Analyst and the UNDP Programme Analysts in UNDP CO the Team Leader may liaise with the Heads of the UNDP Finance Unit if required. In the project, the Team Leader may liaise with the UNDP Project Finance Analyst, the project managers, the project finance officers, procurement officers, field coordinators and field admin/finance staff. The assignment must be completed within 6 weeks from the initiation of the spot-check exercise.

**Specific arrangements**

Before mission, the third-party agent will meet the UNDP Programme Analysts and the UNDP Finance Analyst in the Livelihoods and Resilience Unit to share project details pertaining to the project work and implementation plan.

The UNDP Programme Finance Analyst and the Project Managers or their delegates will provide the Team Leader appointed by the third-party agent with the required project documentation, narrative, financial and monitoring reports, assessments and other relevant data and information to carry out activity spot-check.

All documentation shared with and by UNDP and the Project Manager/his/her delegate is confidential and shall not be disseminated by the third-party agent further or shared with counterparts at all.

## Expected duration of the contract/assignment

* The RFP will result in a Long-Term Agreement (LTAs) with Companies whose Proposals are fully responsive and achieves the highest (Technical + Financial) score (Primary Third-Party Agent (TPA)).

An additional Companies (Reserve TPA) will be added. The Reserve LTAs shall be awarded to the Companies whose proposals are fully responsive and achieves the second highest (Technical + Financial) scores.

In case the Primary TPA will not be able to meet UNDPs requirements and/or performance criteria, the second Reserve TPA will be activated, and if the second Reserve TPA will likewise not be able to meet UNDPs requirements and/or performance criteria, then the third Reserve TPA will be used.

* Overall, one spot-checks exercise covering one full calendar year is required for each project which will be initiated by UNDP as per need and certain schedule. Each mission will cover at least 25% of the project locations stated in Table 1.
* The timelines for specific assignments shall be discussed and agreed upon between UNDP and the TPA before a field mission is undertaken.

* Each Spot-check exercise will be for one year from the time of initiation up to submission of final report covering one calendar year.

## Duty Station

* The relevant projects’ geographic coverage is given in Table 1. The third-party agent will be required to travel and provide verification in these project locations. Each mission will cover at least 25% of the project locations stated in Table 1. There will be one spot-checks exercise covering one year required for each project but the locations for each will be sampled based on thematic areas covered and geographical coverage.
* The third-party agent will be guided by the reporting requirements of this assignment. They are not required to be in the UNDP offices unless specifically requested by the relevant UNDP Programme Analyst and Programme Finance Analyst.

## Professional Qualifications of the Successful Contractor and its key personnel

As noted in ISRS 4400 paragraph 7: “The auditor should comply with the Code of Ethics for Professional Accountants issued by the International Ethics Standards Board for Accountants (IESBA Code). Ethical principles governing the auditor’s professional responsibilities for this type of engagement are:

* Integrity;
* Objectivity;
* Professional competence and due care;
* Confidentiality;
* Professional behavior; and
* Technical standards.”

Here are specific requirements for the firm:

* A successful proposer must have minimum 5 years of previous experience in the field of spot-check; and field monitoring working experience in Afghanistan is an added advantage;
* Please provide a narrative of your organization’s history and describe previous experience along with organization’s location, length of time in business, experience with evaluations;
* Submit a valid business registration document of the company along with previous registration document which dates back5 years or older;
* Provide copies of your previous contracts including the scope of work for at least TWO similar projects within the last 5 years along with Value of the contract, Duration of assignment, Project owner name, address and contact details;
* A successful proposer shall provide technical proposal ensuring that they understand and meet the technical requirements of the assignment, able to conduct the works within the stipulated deadline, according to required quality;

The firm shall propose an engagement team, according to the scope, emphasis, timing and conduct of the engagement. The recommended team composition and their required qualifications are in the table below.

|  |  |  |
| --- | --- | --- |
| **Position** | **Professional / Academic Education** | **Professional Experience** |
| Team Leader  (Audit Manager) | Chartered Accountant (CA), Chartered Certified Accountant (CCA) or Certified Public Accountant (CPA) completed. | At a minimum of 7 years’ relevant auditing experience. |
| Senior Expert  (Audit Team Leader) | Chartered Accountant (CA), Certified Chartered Accountant (CCA) or Certified Public Accountant (CPA) completed or ongoing, with a minimum of master’s degree completed. | At a minimum of 5 years’ relevant auditing experience |
| One Junior Expert  (Audit Assistant) | Minimum Chartered Accounting Technician (CAT) qualified or a bachelor’s degree in accounting, finance, etc.;  CA, CCA or CPA completed or ongoing would be an asset | |  | | --- | | At a minimum of 3 years’ relevant auditing experience | |
| One Junior Expert (Field Monitoring Expert) | Agriculture and/or Engineering expert; at least a bachelor’s degree in abovementioned fields; | At a minimum of 3 years’ relevant experience in agriculture, engineering and monitoring and data collection is required |

**Note:**

* It is highly desirable that the field monitors/data collectors are based in the same province for which they are selected. Therefore, DSA costs shouldn’t be included in the budget.

## Price and Schedule of Payments

UNDP shall pay the Monitoring Agent in accordance with the payment terms of the Long-Term Agreement. The payment shall be based on the services ordered by UNDP and delivered by the Monitoring Agent on an actual cost basis. The Monitoring Agent will implement the activities contained in its work plan developed in consultation and agreed by UNDP. At the end of the each TPM exercise, the Monitoring Agent will submit to UNDP a final report detailing the work completed in accordance with an agreed scope. Along with the final report, the Monitoring Agent will submit to UNDP documentation of personnel and operational costs as outlined in the agreed rates. Upon UNDP certification that the final report and annual report as applicable meets the quality standards and UNDP certification that the variable staff and operations costs submitted fairly reflect the quantity and quality of work completed during the assigned field mission, UNDP will reimburse the Monitoring Agent for such costs.

## Additional References or Resources

* The CBARD (West and East) Project Documents.
* Community-Induced Disaster Risk Reduction Project (CDRRP) - Project Document
* Conservation of Snow Leopards and their Critical Ecosystems in Afghanistan (Snow Leopards) – Project Document
* Afghanistan Sustainable Energy for Rural Development (ASERD) – Project Document
* Livelihoods Improvement in Tajik-Afghan Cross-Border Areas - 2 (LITACA2) – Project Document

Annex 1: Reporting template

Each report will include two parts: a. Field Monitoring report; and b. Spot-check report.

1. **Field Project Monitoring Report**

* Standardized summary page with key information, key recommendations and any “red flags” that need to be followed up on by the Country Office, which will be used by the Programme Analyst and Program Officer (M&E) to log recommendations, channel reports to potential users, and to archive the report for future reference.
* Two to five pages of key findings and analysis which will feed into higher level analyses and trend analyses (relevance, efficiency, effectiveness, potential sustainability)
* Annexes with additional details, lists of persons met, photographs, maps, etc.

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| image001 | **FIELD PROJECT MONITORING REPORT – Programme/CO**   |  |  | | --- | --- | | Programme/Project title: |  | | Key objective of field visit | Monitoring ......................... | | Provinces/Districts visited: |  | | Monitor(s): |  | | Monitoring visit date: | ........................ 201... | |

**SUMMARY**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Rating  Category | a | b | c | d | Not Assessed |
| RELEVANCE |  |  |  |  |  |
| EFFICIENCY |  |  |  |  |  |
| EFFECTIVENESS |  |  |  |  |  |
| POTENTIAL SUSTAINABILITY |  |  |  |  |  |

Note: a=very good; b=above average; c=below average; d=serious deficiencies

**Major Issues that may require immediate action**

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| --- |
|  |

**Key actions Recommended[[2]](#footnote-2)♣**

|  |  |  |  |
| --- | --- | --- | --- |
| Priority | Who | What | By When |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |

**EXPLANATORY COMMENTS (1-5 pages maximum)**

* + - * **Relevance**

|  |
| --- |
| Write up with an explanation and back by fact reference, data and information related to the following questions.   * Do the project outputs/outcomes address the real problems, needs and priorities of the intended target group in the area? * Is the project targeting the right people? Is the targeting approach appropriate to the context? * Is the project yielding the desired/target results? * Do you have any recommendation to be needed to readjust the project work-plan/design (output, outcomes, strategy, approach, and target) to better respond to the context/area? |

* + - * **2. Efficiency**

|  |
| --- |
| Write up with an explanation and back by fact reference, data and information related to the following questions.  Are the activities “best value for money?”  Are the activities planned well?  Are project resources managed in a transparent and accountable manner?  Are activities implemented as per the AWP?   * + Key activity results   + As per schedule in AWP   + As per the budget AWP   Does the project delay its implementation? If yes, why?  Have all planned outputs been delivered to date?  What is the quality of the outputs delivered?  What do you recommend improving? |

* + - * **3. Effectiveness**

|  |
| --- |
| Write up with an explanation and back by fact reference, data and information related to the following questions.  Are the outputs helping to reach the outcome results? If not, why?  What is the likelihood that planned outcomes will be achieved?  To what extent do women and marginalized groups benefit from services/supports provided by the project?  Do the intended beneficiaries have access to the services/supports provided by the project?  Are intended beneficiaries actually benefiting from the services/supports provided by the project? |

* + - * **4. Potential Sustainability**

|  |
| --- |
| Write up with an explanation and back by fact reference, data and information related to the following questions.  Is the project well integrated in local planning priorities / sector planning priorities?  How do you assess government ownership of results?  How do you rate government interest, high, medium or low? Why?  The feedback from beneficiaries?  Has the project been able to build the required capacity of national and local institution/community to sustain the project?  Are other organisations using the system and institution created by the project?  Are there other potential partners who could be mobilized to support the project?  What do you recommend improving? |

* + - * **ANNEXES:**

**Activities carried out**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * **UNDP Projects/Officials: -** * **Local Government Offices/Officials: -** * **UN agencies/Officials: -**  |  |  | | --- | --- | | Date: ......... | Travelling from ....................... to ...................... | | Date: ......... | Interaction with entrepreneurs and travelling back to .................. | |

|  |  |
| --- | --- |
| **List of visited/interacted people** | |
|  |  |

**Photographs**

..............................................................................................

1. **Spot-Check Report**

* Report of factual findings
* Management letter with the recommendations to the Implementing Partner and their final comments.
* Updated status of prior-year audit action plan

**Area of Observation:** …………………………………. (E.g. Cash Management or Inventory)

|  |  |  |  |
| --- | --- | --- | --- |
| **No.** | **Observation**  *(What is the current context or circumstance?)* | **Implication**  *(What are the impacts or risks under the current context or circumstance?)* | **Recommendation**  *(Suggestions or comments to mitigate or eliminate the risks)* |
|  |  |  |  |
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**Name of the Sport Check Member:……………………………………..**

# Section 6: Returnable Bidding Forms / Checklist

This form serves as a checklist for preparation of your Proposal. Please complete the Returnable Bidding Forms in accordance with the instructions in the forms and return them as part of your Proposal submission. No alteration to format of forms shall be permitted and no substitution shall be accepted.

Before submitting your Proposal, please ensure compliance with the Proposal Submission instructions of the BDS 22.

**Technical Proposal Envelope:**

|  |  |
| --- | --- |
| **Have you duly completed all the Returnable Bidding Forms?** |  |
| * Form A: Technical Proposal Submission Form |  |
| * Form B: Bidder Information Form |  |
| * Form C: Joint Venture/Consortium/ Association Information Form |  |
| * Form D: Qualification Form |  |
| * Form E: Format of Technical Proposal |  |
| * Form H: Proposal Security Form (**NOT APPLICABLE)** |  |
| * [Add other forms as necessary] |  |
| **Have you provided the required documents to establish compliance with the evaluation criteria in Section 4?** |  |

**Financial Proposal Envelope**

**(Must be submitted in a separate sealed envelope/password protected email)**

|  |  |
| --- | --- |
| * Form F: Financial Proposal Submission Form |  |
| * Form G: Financial Proposal Form |  |

## **Form A:** Technical Proposal Submission Form

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Bidder: | [Insert Name of Bidder] | Date: | Select date |
| RFP reference: | [Insert RFP Reference Number] | | |

We, the undersigned, offer to provide the services for [Insert Title of services] in accordance with your Request for Proposal No. [Insert RFP Reference Number] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

We hereby declare that our firm, its affiliates or subsidiaries or employees, including any JV/Consortium /Association members or subcontractors or suppliers for any part of the contract:

1. is not under procurement prohibition by the United Nations, including but not limited to prohibitions derived from the Compendium of United Nations Security Council Sanctions Lists;
2. have not been suspended, debarred, sanctioned or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization;
3. have no conflict of interest in accordance with Instruction to Bidders Clause 4;
4. do not employ, or anticipate employing, any person(s) who is, or has been a UN staff member within the last year, if said UN staff member has or had prior professional dealings with our firm in his/her capacity as UN staff member within the last three years of service with the UN (in accordance with UN post-employment restrictions published in ST/SGB/2006/15);
5. have not declared bankruptcy, are not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against them that could impair their operations in the foreseeable future;
6. undertake not to engage in proscribed practices, including but not limited to corruption, fraud, coercion, collusion, obstruction, or any other unethical practice, with the UN or any other party, and to conduct business in a manner that averts any financial, operational, reputational or other undue risk to the UN and we embrace the principles of the United Nations Supplier Code of Conduct and adhere to the principles of the United Nations Global Compact.

We declare that all the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification and/or sanctioning by the UNDP.

We offer to provide services in conformity with the Bidding documents, including the UNDP General Conditions of Contract and in accordance with the Terms of Reference

Our Proposal shall be valid and remain binding upon us for the period of time specified in the Bid Data Sheet.

We understand and recognize that you are not bound to accept any Proposal you receive.

I, the undersigned, certify that I am duly authorized by [Insert Name of Bidder] to sign this Proposal and bind it should UNDP accept this Proposal.

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

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

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

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[*Stamp with official stamp of the Bidder*]

## **Form B:** BidderInformation Form

|  |  |
| --- | --- |
| **Legal name of Bidder** | [Complete] |
| **Legal address** | [Complete] |
| **Year of registration** | [Complete] |
| **Bidder’s Authorized Representative Information** | Name and Title: [Complete]  Telephone numbers: [Complete]  Email: [Complete] |
| **Are you a UNGM registered vendor?** | Yes  No If yes, [insert UGNM vendor number] |
| **Are you a UNDP vendor?** | Yes  No If yes, [insert UNDP vendor number] |
| **Countries of operation** | [Complete] |
| **No. of full-time employees** | [Complete] |
| **Quality Assurance Certification (e.g. ISO 9000 or Equivalent) (***If yes, provide a Copy of the valid Certificate):* | [Complete] |
| **Does your Company hold any accreditation such as ISO 14001 related to the environment?** *(If yes, provide a Copy of the valid Certificate):* | [Complete] |
| **Does your Company have a written Statement of its Environmental Policy?** *(If yes, provide a Copy)* | [Complete] |
| **Contact person UNDP may contact for requests for clarification during Proposal evaluation** | Name and Title: [Complete]  Telephone numbers: [Complete]  Email: [Complete] |
| **Please attach the following documents:** | * Company Profile, which should not exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured * Certificate of Incorporation/ Business Registration * Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Bidder is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Bidder * Trade name registration papers, if applicable * Local Government permit to locate and operate in assignment location, if applicable * Official Letter of Appointment as local representative, if Bidder is submitting a Bid in behalf of an entity located outside the country * Members of Governing Board and their Designations duly certified by the Corporate Secretary or its equivalent document if Bidder is not a corporation. * List of Shareholders and other entities financially interested in the firm owning 5% or more of the stocks and other interests, or its equivalent if bidder is not a corporation. * Quality certificate (e.g. ISO, etc) and/or other similar certificates, accreditations, awards and citations received by the bidder * Latest audited financial statement (income statement and balance sheet) including Auditor’s Report for the past 3 years * Statement of satisfactory performance from the top 5 clients in terms of contract value for the past 3 years |

## **Form C:** Joint Venture/Consortium/Association Information Form

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Bidder: | [Insert Name of Bidder] | Date: | Select date |
| RFP reference: | [Insert RFP Reference Number] | | |

To be completed and returned with your Proposal if the Proposal is submitted as a Joint Venture/Consortium/Association.

|  |  |  |
| --- | --- | --- |
| **No** | **Name of Partner and contact information** *(address, telephone numbers, fax numbers, e-mail address)* | **Proposed proportion of responsibilities (in %) and type of services to be performed** |
| 1 | [Complete] | [Complete] |
| 2 | [Complete] | [Complete] |
| 3 | [Complete] | [Complete] |

|  |  |
| --- | --- |
| **Name of leading partner**  (with authority to bind the JV, Consortium, Association during the RFP process and, in the event a Contract is awarded, during contract execution) | [Complete] |

We have attached a copy of the below document signed by every partner, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture:

Letter of intent to form a joint venture ***OR***  JV/Consortium/Association agreement

We hereby confirm that if the contract is awarded, all parties of the Joint Venture/Consortium/Association shall be jointly and severally liable to UNDP for the fulfillment of the provisions of the Contract.

|  |  |
| --- | --- |
| Name of partner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Name of partner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  |
| Name of partner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Name of partner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

## 

## **Form D:** QualificationForm

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Bidder: | [Insert Name of Bidder] | Date: | Select date |
| RFP reference: | [Insert RFP Reference Number] | | |

If JV/Consortium/Association, to be completed by each partner.

**Historical Contract Non-Performance**

|  |  |  |  |
| --- | --- | --- | --- |
| Contract non-performance did not occur for the last 3 years | | | |
| Contract(s) not performed for the last 3 years | | | |
| **Year** | **Non- performed portion of contract** | **Contract Identification** | **Total Contract Amount** (current value in US$) |
|  |  | Name of Client:  Address of Client:  Reason(s) for non-performance: |  |

**Litigation History** (including pending litigation)

|  |  |  |  |
| --- | --- | --- | --- |
| No litigation history for the last 3 years | | | |
| Litigation History as indicated below | | | |
| **Year of dispute** | **Amount in dispute** (in US$) | **Contract Identification** | **Total Contract Amount** (current value in US$) |
|  |  | Name of Client:  Address of Client:  Matter in dispute:  Party who initiated the dispute:  Status of dispute:  Party awarded if resolved: |  |

**Previous Relevant Experience**

Please list only previous similar assignments successfully completed in the last 3 years.

List only those assignments for which the Bidder was legally contracted or sub-contracted by the Client as a company or was one of the Consortium/JV partners. Assignments completed by the Bidder’s individual experts working privately or through other firms cannot be claimed as the relevant experience of the Bidder, or that of the Bidder’s partners or sub-consultants, but can be claimed by the Experts themselves in their CVs. The Bidder should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if so requested by UNDP.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Project name & Country of Assignment** | **Client & Reference Contact Details** | **Contract Value** | **Period of activity and status** | **Types of activities undertaken** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

*Bidders may also attach their own Project Data Sheets with more details for assignments above.*

  Attached are the Statements of Satisfactory Performance from the Top 3 (three) Clients or more.

**Financial Standing**

|  |  |
| --- | --- |
| **Annual Turnover for the last 3 years** | Year       USD  Year       USD  Year       USD |
| **Latest Credit Rating (if any), indicate the source** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Financial information**  (in US$ equivalent) | **Historic information for the last 3 years** | | |
|  | Year 1 | Year 2 | Year 3 |
|  | *Information from Balance Sheet* | | |
| Total Assets (TA) |  |  |  |
| Total Liabilities (TL) |  |  |  |
| Current Assets (CA) |  |  |  |
| Current Liabilities (CL) |  |  |  |
|  | *Information from Income Statement* | | |
| Total / Gross Revenue (TR) |  |  |  |
| Profits Before Taxes (PBT) |  |  |  |
| Net Profit |  |  |  |
| Current Ratio |  |  |  |

**Attached are copies of the audited financial statements (balance sheets, including all related notes, and income statements) for the years required above complying with the following condition:**

* 1. Must reflect the financial situation of the Bidder or party to a JV, and not sister or parent companies;
  2. Historic financial statements must be audited by a certified public accountant;
  3. Historic financial statements must correspond to accounting periods already completed and audited. No statements for partial periods shall be accepted.

## **Form E:** Format ofTechnical Proposal

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Bidder: | [Insert Name of Bidder] | Date: | Select date |
| RFP reference: | [Insert RFP Reference Number] | | |

The Bidder’s proposal should be organized to follow this format of Technical Proposal. Where the bidder is presented with a requirement or asked to use a specific approach, the bidder must not only state its acceptance, but also describe how it intends to comply with the requirements. Where a descriptive response is requested, failure to provide the same will be viewed as non-responsive.

**SECTION 1: Bidder’s qualification, capacity and expertise**

* 1. Brief description of the organization, including the year and country of incorporation, and types of activities undertaken.
  2. General organizational capability which is likely to affect implementation: management structure, financial stability and project financing capacity, project management controls, extent to which any work would be subcontracted (if so, provide details).
  3. Relevance of specialized knowledge and experience on similar engagements done in the region/country.
  4. Quality assurance procedures and risk mitigation measures.
  5. Organization’s commitment to sustainability.

**SECTION 2: Proposed Methodology, Approach and Implementation Plan**

This section should demonstrate the bidder’s responsiveness to the TOR by identifying the specific components proposed, addressing the requirements, providing a detailed description of the essential performance characteristics proposed and demonstrating how the proposed approach and methodology meets or exceeds the requirements. All important aspects should be addressed in sufficient detail and different components of the project should be adequately weighted relative to one another.

* 1. A detailed description of the approach and methodology for how the Bidder will achieve the Terms of Reference of the project, keeping in mind the appropriateness to local conditions and project environment. Details how the different service elements shall be organized, controlled and delivered.
  2. The methodology shall also include details of the Bidder’s internal technical and quality assurance review mechanisms.
  3. Explain whether any work would be subcontracted, to whom, how much percentage of the work, the rationale for such, and the roles of the proposed sub-contractors and how everyone will function as a team.
  4. Description of available performance monitoring and evaluation mechanisms and tools; how they shall be adopted and used for a specific requirement.
  5. Implementation plan including a Gantt Chart or Project Schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing.
  6. Demonstrate how you plan to integrate sustainability measures in the execution of the contract.
  7. Any other comments or information regarding the project approach and methodology that will be adopted.

**SECTION 2A: Bidder’s Comments and Suggestions on the Terms of Reference**

Provide comments and suggestions on the Terms of Reference, or additional services that will be rendered beyond the requirements of the TOR, if any.

**SECTION 3: Management Structure and Key Personnel**

* 1. Describe the overall management approach toward planning and implementing the project. Include an organization chart for the management of the project describing the relationship of key positions and designations. Provide a spreadsheet to show the activities of each personnel and the time allocated for his/her involvement.
  2. Provide CVs for key personnel that will be provided to support the implementation of this project using the format below. CVs should demonstrate qualifications in areas relevant to the Scope of Services.

**Format for CV of Proposed Key Personnel**

|  |  |
| --- | --- |
| Name of Personnel | [Insert] |
| Position for this assignment | [Insert] |
| Nationality | [Insert] |
| Language proficiency | [Insert] |
| Education/ Qualifications | *[Summarize college/university and other specialized education of personnel member, giving names of schools, dates attended, and degrees/qualifications obtained.]* |
| [Insert] |
| Professional certifications | *[Provide details of professional certifications relevant to the scope of services]* |
| * Name of institution: [Insert] * Date of certification: [Insert] |
| Employment Record/ Experience | *[List all positions held by personnel (starting with present position, list in reverse order), giving dates, names of employing organization, title of position held and location of employment. For experience in last five years, detail the type of activities performed, degree of responsibilities, location of assignments and any other information or professional experience considered pertinent for this assignment.]* |
| [Insert] |
| References | *[Provide names, addresses, phone and email contact information for two (2) references]* |
| Reference 1:  [Insert]  Reference 2:  [Insert] |

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe my qualifications, my experiences, and other relevant information about myself.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of Personnel Date (Day/Month/Year)

## **Form F:** Financial Proposal Submission Form

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Bidder: | [Insert Name of Bidder] | Date: | Select date |
| RFP reference: | [Insert RFP Reference Number] | | |

We, the undersigned, offer to provide the services for [Insert Title of services] in accordance with your Request for Proposal No. [Insert RFP Reference Number] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

Our attached Financial Proposal is for the sum of [Insert amount in words and figures].

Our Proposal shall be valid and remain binding upon us for the period of time specified in the Bid Data Sheet.

We understand you are not bound to accept any Proposal you receive.

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

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

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

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[*Stamp with official stamp of the Bidder*]

## **Form G:** Financial ProposalForm (please refer to separate Attachment)

1. Non-performance, as decided by UNDP, shall include all contracts where (a) non-performance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and (b) contracts that were so challenged but fully settled against the contractor. Non-performance shall not include contracts where Employers decision was overruled by the dispute resolution mechanism. Non-performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the Bidder have been exhausted. [↑](#footnote-ref-1)
2. [↑](#footnote-ref-2)