



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

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|------------------------|------------------|
| NAME & ADDRESS OF FIRM | October 15, 2019 |
| | RFP/PNG/007-2019 |

Dear Sir / Madam:

We kindly request you to submit your Proposal for **provision of consultancy services for Spot Checks Performed by Third Party Service Providers.**

Please be guided by the form attached hereto as Attachment 1, 2 and 3, in preparing your Proposal. Proposals may be submitted on or before **29th October 2019**. Your Proposal must be expressed in the English, and valid for a minimum period of 120 days.

Documents uploaded in the system as part of your quotation must be free from any form of virus or corrupted contents, or the quotations shall be rejected.

It shall remain your responsibility to ensure that your proposal is submitted on or before the deadline indicated above. Completed proposals should be submitted to procurement.png@undp.org.

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

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

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

No price variation due to escalation, inflation, fluctuation in exchange rates, or any other market factors shall be accepted by UNDP after it has received the Proposal. At the time of Award of Contract or Purchase Order, UNDP reserves the right to vary (increase or decrease) the quantity of services and/or goods, by up to a maximum twenty-five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.

Any Contract or Purchase Order that will be issued as a result of this RFP shall be subject to the General Terms and Conditions indicated herein. The mere act of submission of a Proposal implies that the Service Provider accepts

without question the General Terms and Conditions of UNDP in this link:
<http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html>

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

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

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

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

Thank you and we look forward to receiving your Proposal.

Sincerely yours,
UNDP Papua New Guinea
Procurement

Attachment 1

Description of Requirements

| | |
|--|---|
| Context of the Requirement | Provision of consultancy services for Spot Checks Performed by Third Party Service Providers in Papua New Guinea |
| Implementing Partner of UNDP | Government of PNG |
| Brief Description of the Required Services | To carry out spot check for Strengthening the Management Effectiveness of the National System of Protected Area Project and Provincial Capacity Building Project. |
| List and Description of Expected Outputs to be Delivered | <ul style="list-style-type: none"> • Checking the IP's internal controls with respect to financial management, procurement and/or other controls required to implement the activities defined in the work plan. • Reviewing a sample of expenditures to confirm that documentation supports the expenditures and that they are in accordance with the work plan and other United Nations regulations. |
| Person to Supervise the Work/Performance of the Service Provider | Momenat al-khateeb, UNDP Programme Specialist. |
| Frequency of Reporting | Refer the terms of reference for detailed information |
| Progress Reporting Requirements | Refer the terms of reference for detailed information |
| Location of work | Port Moresby and Lumi, Papua New Guinea |
| Expected duration of work | Refer the terms of reference for detailed information |
| Target start date | Refer the terms of reference for detailed information |
| Latest completion date | Refer the terms of reference for detailed information |
| Travels Expected | Refer the terms of reference for detailed information |
| Special Security Requirements | <input checked="" type="checkbox"/> Security Clearance from UN prior to travelling <input checked="" type="checkbox"/> Comprehensive travel and medical insurance |
| Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal) | Refer the terms of reference for detailed information |
| Implementation Schedule indicating breakdown and timing of activities/sub-activities | <input checked="" type="checkbox"/> Required |

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| Names and curriculum vitae of individuals who will be involved in completing the services | <input checked="" type="checkbox"/> Required |
| Currency of Proposal | <input checked="" type="checkbox"/> PNG Kina |
| Value Added Tax on Price Proposal | <input checked="" type="checkbox"/> must be exclusive of VAT and other applicable indirect taxes |
| Validity Period of Proposals (<i>Counting for the last day of submission of quotes</i>) | <input checked="" type="checkbox"/> 120 days In exceptional circumstances, UNDP may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal. |
| Partial Quotes | <input checked="" type="checkbox"/> Not permitted |
| Payment Terms ¹ | Refer TOR for detailed information |
| Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment | Momenat al-khateeb, UNDP Programme Specialist. |
| Criteria for Contract Award | <input checked="" type="checkbox"/> Highest Combined Score (based on the 70% technical offer and 30% price weight distribution) <input checked="" type="checkbox"/> Full acceptance of the UNDP Contract General Terms and Conditions (GTC). This is a mandatory criteria and cannot be deleted regardless of the nature of services required. Non acceptance of the GTC may be grounds for the rejection of the Proposal. |
| Criteria for the Assessment of Proposal | <u>Technical Proposal (70%) of no more than 10 pages addressing:</u> <input checked="" type="checkbox"/> Expertise of the Firm (28%) <input checked="" type="checkbox"/> Methodology, Its Appropriateness to the Condition and Timeliness of the Implementation Plan (21%) <input checked="" type="checkbox"/> Management Structure and Qualification of Key Personnel (21%) <i>(To be technical competent bidder must score minimum 49% out of 70%)</i> <u>Financial Proposal (30%)</u> To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP. |
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¹ UNDP preference is not to pay any amount in advance upon signing of contract. If the Service Provider strictly requires payment in advance, it will be limited only up to 20% of the total price quoted. For any higher percentage, or any amount advanced exceeding \$30,000, UNDP shall require the Service Provider to submit a bank guarantee or bank cheque payable to UNDP, in the same amount as the payment advanced by UNDP to the Service Provider.

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| UNDP will award the contract to: | <input checked="" type="checkbox"/> One and only one Service Provider |
| Type of Contract to be Signed | <input checked="" type="checkbox"/> Contract Face Sheet (Goods and-or Services) UNDP (Annex 6) |
| Contract General Terms and Conditions ² | <input checked="" type="checkbox"/> General Terms and Conditions for contracts (goods and/or services) Applicable Terms and Conditions are available at: http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html |
| Annexes to this RFP | <input checked="" type="checkbox"/> Form for Submission of Technical Proposal (Attachment 2) <input checked="" type="checkbox"/> Form for Submission of Financial Proposal (Attachment 3)- (Should be Password Protected) <input checked="" type="checkbox"/> Detailed TOR (Attachment 5) <input checked="" type="checkbox"/> Bid Submission Form (Attachment 4) |
| Contact Person for Inquiries (Written inquiries only) ³ | Tirnesh Prasad Email: procurement.pg@undp.org Any delay in UNDP's response shall be not used as a reason for extending the deadline for submission, unless UNDP determines that such an extension is necessary and communicates a new deadline to the Proposers. |
| Required Documents that must be Submitted to Establish Qualification of Proposers | <input checked="" type="checkbox"/> Company Profile, which should not exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured <input checked="" type="checkbox"/> 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 <input checked="" type="checkbox"/> Certificate of Registration of the business, including Articles of Incorporation, or equivalent document if Bidder is not a corporation <input checked="" type="checkbox"/> Statement of Satisfactory Performance from the Top [3] Clients in terms of Contract Value the past [5 years] <input checked="" type="checkbox"/> CV's of all key personnel proposed for this tender <input checked="" type="checkbox"/> All information regarding any past and current litigation during the last five (5) years, in which the bidder is involved, indicating the parties concerned, the subject of the litigation, the amounts involved, and the final resolution if already concluded. <input checked="" type="checkbox"/> Signed Technical Proposal (Attachment 2) <input checked="" type="checkbox"/> Signed Financial Proposal (Attachment 3) <input checked="" type="checkbox"/> Signed Bid Submission Form (Attachment 4) |

² Service Providers are alerted that non-acceptance of the terms of the General Terms and Conditions (GTC) may be grounds for disqualification from this procurement process.

³ This contact person and address is officially designated by UNDP. If inquiries are sent to other person/s or address/es, even if they are UNDP staff, UNDP shall have no obligation to respond nor can UNDP confirm that the query was received.

Attachment 2

FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL⁴

(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery⁵)

[insert: Location].

[insert: Date]

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

Dear Sir/Madam:

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

A. Qualifications of the Service Provider

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

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

B. Proposed Methodology for the Completion of Services

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

C. Qualifications of Key Personnel

⁴ This serves as a guide to the Service Provider in preparing the Proposal.

⁵ Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

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

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

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

[Designation]

[Date]

Attachment 3

A. Cost Breakdown per Deliverable*

| Deliverables/Outputs | Indicative Due Dates | Fees Due by % | Certifying/ Authorizing officer |
|--|----------------------|---------------|---------------------------------|
| Payment upon submission and acceptance of Draft report | 15/11/19 | 20% | UNDP Programme Specialist |
| Payment upon submission and acceptance of Final report | 10/12/19 | 80% | UNDP Programme Specialist |

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

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

| Description of Activity | Remuneration per Unit of Time | Total Period of Engagement | No. of Personnel | Total Rate |
|-----------------------------------|-------------------------------|----------------------------|------------------|------------|
| I. Personnel Services | | | | |
| 1. Services from Home Office | | | | |
| a. Team Leader | | | | |
| b. Field Staff | | | | |
| c. Other Experts (if applicable) | | | | |
| | | | | |
| Add other expert if required | | | | |
| | | | | |
| II. Out of Pocket Expenses | | | | |
| 1. Travel Costs | | | | |
| 2. Daily Allowance | | | | |
| 3. Communications | | | | |
| 4. Reproduction | | | | |
| 5. Equipment Lease | | | | |
| 6. Others | | | | |
| III. Other Related Costs | | | | |

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

[Designation]

[Date]

Attachment 4: Bid/Proposal Submission Form⁶

Date: _____

To: UNDP

Dear Sir/Madam:

We, the undersigned, hereby offer to provide professional services to [Insert tender title] in accordance with your Request for Proposal dated (insert the date) and our Proposal. We are hereby submitting our Proposal, which includes the Technical Proposal and Financial Proposal sealed under a separate envelope.

We hereby declare that:

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

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

We agree to abide by this Proposal for 120 days. We undertake, if our Proposal is accepted, to initiate the services not later than the date indicated in the Data Sheet.

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

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

We remain,

Yours sincerely,

Authorized Signature *[In full and initials]*: _____

Name and Title of Signatory: _____

Name of Firm: _____

⁶ No deletion or modification may be made in this form. Any such deletion or modification may lead to the rejection of the Proposal.

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

Attachment 5

Terms of Reference for Spot Checks Performed by Third Party Service Providers

| | |
|--------------------------------------|--|
| Location: | 1. Project (1) Strengthening the Management Effectiveness of the National System of Protected Area Project: Location is in Lumi 2. Project (2) Provincial Capacity Building Project – Location is in Port Moresby |
| Type of Contract: | Professional Service Contract with a Firm |
| Project: | Strengthening the Management Effectiveness of the National System of Protected Area Project and Provincial Capacity Building Project |
| Languages Required: | English |
| Starting Date: | 1st November 2019 |
| Duration of Initial Contract: | 25 days from 1st November – 30 December 2019 |

Periodic on-site reviews (spot checks) are performed to assess the accuracy of the financial records for cash transfers to the IP and the status of programme implementation (through a review of financial information), and to determine whether there have been any significant changes to internal controls. The spot check is not an audit.

Under the umbrella of Strengthening the Management of the National System, UNITED NATIONS DEVELOPMENT PROGRAMME in Papua New Guinea is using the national implementation modality with two following projects:

- 1- Provincial Capacity Building Project with The Department of Finance as an implementing partner (IP).
- 2- Strengthening the Management Effectiveness of the National System of Protected Area Project with Tenkile Conservation Alliance as a Responsible Partner (RP)

The intended outputs for each project will be annexed to the TOR. This TOR was developed to guide UNDP, the third-party service provider/s and IPs/RPs through the objectives, scope, timeline and deliverables of the requested agreed-upon procedures engagement. (See Annex 3 for programme-specific information)

Purpose of Agreed-upon Procedures Engagements:

An agreed-upon procedures attest engagement involves engagement of a third-party service provider to prepare a report on factual findings based on specific, agreed-upon procedures

performed. As the third-party service provider is engaged to report on findings of the agreed-upon procedures, no assurance is expressed. Instead, users of the report assess for themselves the procedures and findings reported by the service provider and draw their own conclusions. The report is restricted to parties that have agreed to the procedures to be performed, since others, unaware of the reasons for the procedures, may misinterpret the results.

Standards:

The attestation engagement should be conducted in accordance with Annex 3 ISRS 4400, Agreed-upon Procedures Regarding Financial Information.

Spot checks scope of work involve:

- 1- Checking the IP's internal controls with respect to financial management, procurement and/or other controls required to implement the activities defined in the work plan.
- 2- Reviewing a sample of expenditures to confirm that documentation supports the expenditures and that they are in accordance with the work plan and other United Nations regulations.

Spot Check Procedures

The Spot Check is to be performed at the premises of the IP/RP considering the following procedures to be conducted during the spot check:

1. Review the 2018 Follow up Action Plan for the HACT audit observations/recommendations for each IP and check the implementation stage of recommendations.
2. If the recommendation is not implemented, agree with the IP on the timeline/procedures of implementing the recommendations, through seeking signed letter from the IP.
3. Obtain a listing of all programme-related expenditures during the 01 Jan 2019 to Oct 2019 and perform the following:
 - ✓ Randomly select a sample of expenditures amounting to a certain percentage of total expenditures. Provide a detailed listing of expenditures selected as samples (10% should be used as a minimum sample).
 - ✓ For each sample selection perform the following procedures:
 - ✓ Verify the documentation exists to support the expenditure in accordance with the IP's rules and procedures and agreements with the UNDP.
 - ✓ Verify that the activity related to the expenditure is in accordance with the work plan.
 - ✓ Verify that the expenditure was reflected on a certified FACE form submitted to the UNDP.

- ✓ Verify that the expenditure was reflected in the IP's accounting records (official book of accounts)
- ✓ Verify that the FACE form was submitted consistent with the periodicity-of-disbursement requirement in the HACT framework.
- 4. If separate bank accounts are maintained for UNDP-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.
 - ✓ any other tasks as necessary that are required to successfully complete the work

Deliverables

1. The Third-Party Service provider prepares a standard agreed-upon procedures report in accordance with the applicable standards, which includes:
 - ✓ Enumeration of the agreed-upon procedures performed and a summary of corresponding factual findings;
 - ✓ A statement indicating that the report is intended solely for the information and use of the specified parties;
 - ✓ Identification of the specific parties to whom use is restricted;
 - ✓ A statement that the report is not intended to be and should not be used by anyone other than the specified parties; and
 - ✓ A statement that the scope of agreed-upon procedures does not provide the same level of assurance as that of an audit or review. A report template following ISRS 4400 is included in Annex 3.
2. Third-Party Service Provider prepares a spot check work plan detailing work performed. A template is provided in Annex 4.
3. Third Party to prepare management Letter in accordance with Annex 2 and can refer to the risk rating as indicated in Annex 2.1
4. Third- Party to share the Spot Check recommendation and the 2018 Follow up Action plan in accordance with Annex 5.

Qualifications of the Third-Party Service Provider

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:

- (a) Integrity;
- (b) Objectivity;
- (c) Professional competence and due care;
- (d) Confidentiality;
- (e) Professional behavior; and
- (f) Technical standards.”

Independence is not a requirement for agreed-upon procedures engagements. However, the terms or objectives of an engagement or national standards may require The Service Provider to comply with the independence requirements of the IESBA Code. Where Service Provider is not independent, a statement to that effect should be made in the report of factual findings.

The Service Provider should be experienced in applying ISRS standards. If hiring staff, The Service Provider should employ staff with recognized professional qualifications and suitable experience with ISRS standards, including experience in reviewing similar entities.

CVs of all members of the assessment team should be provided. They should include details on agreed-upon procedures carried out by the relevant staff, including ongoing assignments indicating responsibilities assumed by them, and their qualifications and experience in undertaking agreed-upon procedures.

United Nations and agency-specific (if any) procurement policies should apply in procurement of third-party service providers.

Items to be Provided to The Service Provider before Starting Fieldwork

The Project provides the following documentation in advance of starting fieldwork:

- ✓ Work plan and any progress reports submitted during the year;
- ✓ A list of the IP’s individual transactions (i.e., accounting records), including a summary of the disbursements and FACE forms submitted during the period selected for assessment; and
- ✓ A list of findings of the IP’s micro assessment, reports of relevant field monitoring visits, last Spot Check available, audits reports and other documentation that may help to understand the IP’s internal controls and supported activities.

To ensure efficient use of time, The Service Provider should review the information received and provide the IP with a list of requested documents in advance of any site visits.

Assignment information:

- 1- **Contract duration will be from 1st November – 30 December 2019**
- 2- **Field visit can take place within the period of contract.**
- 3- **Draft report to be submitted within 1 weeks from the Field visit.**
- 4- **Final Report to be submitted within 1weeks from submitting the draft report.**

Expected Outcomes/ Deliverables

| Deliverables/ Outputs | Percentage of Payment | Milestone Due Dates | Certifying/ Authorizing officer |
|--|------------------------------|----------------------------|--|
| Payment upon submission and acceptance of Draft report | 20% | 15 November | Muminat Alkhatib |
| Payment upon submission and acceptance of Final report | 80% | 10 December | Muminat Alkhatib |

Qualification, Team Composition and Experiences

General expertise and qualifications of the consulting firm should be as follows:

- A minimum of 5 years progressive experience in carrying out similar exercise
- Proven project work experience of 5 years at the national level in a developing country context, as well as the international level on assessment
- Strong inter-personal skills, in particular, demonstrated team leadership qualities and excellent oral communication skills.

The service provider should appoint a qualified project team and provide their qualifications and experience carried out by the relevant staff, including on-going assignments indicating responsibilities assumed by them, and their qualifications and experience. Consisting of a team of experts with in-depth work experience in PNG. Team members should comprise the following:

- a. **Team leader** – At least Bachelor’s degree and minimum of 5 years experiences
- b. **Field staff** – At least Bachelor’s degree and minimum of 2 years experiences

1. Technical Evaluation Criteria

| Summary of Technical Proposal Evaluation Forms | | Points Obtainable |
|--|--|-------------------|
| 1. | Expertise & reputation of Firm / Organization | 400 |
| 2. | Proposed Methodology, Approach and Implementation Plan | 300 |
| 3. | Management Structure and Key Personnel | 300 |
| | Total | 1000 |

| Expertise of the Firm/Organization | | | Points obtainable |
|------------------------------------|--|-----------|-------------------|
| 1.1 | Reliability and history of the Firm/Organization’s competence, technical and financial and proof of sustainability/ Reputation of Organization and Staff / Credibility / Industry Standing | | 40 |
| 1.2 | General Organizational Capability which is likely to affect implementation: | Sub-score | 80 |
| | - Number of personnel and available facilities/expertise to produce a report of this nature | 40 | |
| | - Similar types of undertaken activities | 40 | |
| 1.3 | Extent to which any work would be subcontracted (subcontracting carries additional risks which may affect project implementation, but properly done it offers a chance to access specialized skills) | | 20 |
| 1.4 | Quality assurance procedures, warranty | | 30 |
| 1.5 | Past experience: | Sub-score | 200 |
| | A minimum of 5 years progressive experience in carrying out similar exercise. | 70 | |
| | Proven project work experience of 5 years at the national level in a developing country context, as well as the international level on assessment. | 70 | |
| | Strong inter-personal skills, in particular, demonstrated team leadership qualities and excellent oral communication skills. | 60 | |
| 1.6 | Organizational Commitment to Sustainability - Organization demonstrates significant commitment to sustainability | | 30 |
| Total Section 1 | | | 400 |

| Section 2. Proposed Methodology, Approach and Implementation Plan | | Points obtainable |
|---|--|-------------------|
| 2.1 | To what degree does the Proposer understand the task? Have the important aspects of the task been addressed in sufficient detail? - Proposed methodology in carrying out the required tasks and delivering the required outputs – description of activities. | 30 |

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| 2.2 | Does the proposal demonstrate an understanding of the project environment and has this been properly used in the preparation of the proposal? | 40 |
| 2.3 | To what degree does the Proposer's have the technical understanding of the requirements of this engagement? | 30 |
| 2.4 | To what degree does the Proposer's approach to technical assistance including training and mentoring that meet the requirements | 30 |
| 2.5 | Is the conceptual framework adopted appropriate for the task? | 30 |
| 2.6 | Are the different components of the project adequately weighted relative to one another? | 70 |
| 2.7 | Is the scope of the task well defined and does it correspond to the TOR? | 40 |
| 2.8 | Is the sequence of activities and the planning logical, realistic and promise efficient implementation of the project? | 30 |
| Total Section 2 | | 300 |

| Section 3. Management Structure and Key Personnel | | | | Points obtainable |
|---|---|----|-----------|-------------------|
| 3.1 | Team Leader and Team Members - Description of the project team and their qualifications (Refer TOR) | | | |
| | Team Members: | | Sub-Score | |
| | 3.1.1. Team Leader | | 180 | |
| | At least Bachelor’s degree | 95 | | |
| | Minimum of 5 years experiences | 85 | | |
| | 3.1.2 Other team members | | Sub-Score | |
| | At least Bachelor’s degree | 60 | 120 | |
| | Minimum of 2 years experiences | 60 | | |
| | | | Sub-Score | |
| Total Section 3 | | | 300 | |

Submission Instructions

Completed proposals should be submitted to procurement.png@undp.org , no later than 29th October 2019.

For any clarification regarding this assignment please write to Tirnesh Prasad on procurement.pg@undp.org

Please be guided by the instructions provided in this document above while preparing your submission.

Incomplete proposals and failure to comply with proposal submission instruction may not be considered or may result in disqualification of proposal.

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

Annex 1. Programme -Specific Information

| | |
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| IP Name | Tenkile Conservation Alliance |
| Programme Name | Strengthening the Management Effectiveness of the National System of Protected Areas' |
| Programme Number | 00094837 |
| Programme Background | supports the formal gazettal and effective management of the proposed Torricelli Mountain Range Conservation Area (TRMCA), and community livelihood assistance in the TMR landscape such as alternative protein, focusing on domestic animal farming, fish farming and home gardens |
| Programme Location | Lumi, West Sepik Province, Papua New Guinea |
| Programme contact person | Jim Thomas |
| Location of records | Lumi- West Sepik Province, Papua New Guinea |
| Currency of records maintained | PGK |
| Period of transactions covered by spot check | 2019 |
| Fund received during the period covered by the spot check | PGK2,664,687.16 |
| Expenditures incurred/reported during the period covered by the spot check: | PGK1,136,145.82 |
| Intended start date of the spot check: | 14 th -30 th November 2019 |
| Estimated number of days required for the spot check: | 7 days |
| Recipient of management letter: | Muminat Alkhatib UNDP Programme Specialist |

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| | Draft and final report will be shared at : momenat.al-khateeb@undp.org |
| Submission deadline (including draft and final reports to local agency management): | Deadline for Draft report: 5 December 2019 Deadline for Final report – 15 December 2019 |
| Submission logistics: | Delivered to UNDP Office |
| Any special requests to be considered during engagement: | UNDP will provide guidance on the logistical arrangement Contractor will meet UNDP team prior conducting the field work. |
| Cash transfer modality used by the IP: | NEX Advance |

| | |
|----------------------|---|
| IP Name | PNG Department of Finance |
| Programme Name | Provincial Capacity Development Programme |
| Programme Number | 112510 |
| Programme Background | <ul style="list-style-type: none"> • The objective of the project is to continue support to the Government to improve the equitable delivery of public services through enhancing public finance management capacities at the national and sub-national levels. • Its focus is to build capacity at the sub-national level, targeting financial accountability of Provinces, Districts and Local Level Governments and District Development Authorities (DDAs) for enhancing the inclusiveness, efficiency and effectiveness of delivery of core functions. • The project contributes to the implementation of the PFM Roadmap adopted in September 2015 and complements other initiatives supported by the Governments of PNG and Australia through PNG Governance Facility (PGF) and the Department of Finance through the Financial Management Improvement Program (FMIP), including the Provincial, District and Local Level Government Services Improvement Programme aimed at supporting effective decentralized service delivery by the provinces |

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| Programme Location | PNG Department of Finance is in Port Moresby and activities are implemented in the following sites: Central Province Gulf Province Western Province Milne Bay Province Oro Province Morobe Province Madang Province East Sepik Province Sandaun Province Manus East New Britain West New Britain New Ireland Eastern Highlands Western Highlands Simbu Enga Jiwaka Hela Southern Highlands |
| Programme contact person | Sam Erepan, Programme Coordinator |
| Location of records | Level 1, PNG Department of Finance: Vulupindi Haus, Waigani, NCD |
| Currency of records maintained | PGK |
| Period of transactions covered by spot check | 2019 |
| Fund received during the period covered by the spot check | PGK 1,723,522.93 |
| Expenditures incurred/reported during the period covered by the spot check: | PGK 1,723,522.93 |
| Intended start date of the spot check: | For one week from 1- 30th November 2019 upon discussion and agreement between the IP and the contractor on the timeframe |
| Estimated number of days required for the spot check: | 7 days |
| Recipient of management letter: | Muminat Alkhatib UNDP Programme Specialist Draft and final report will be shared at : momenat.al-khateeb@undp.org |

| | |
|---|--|
| Submission deadline (including draft and final reports to local agency management): | Draft Report will be shared within 5 working days from the field visit |
| Submission logistics: | Delivered to UNDP Office |
| Any special requests to be considered during engagement: | UNDP will provide guidance on the logistical arrangement Contractor will meet UNDP team prior conducting the field work |
| Cash transfer modality used by the IP: | NEX advance |

Annex 2. Management Letter Template in Accordance with IPPF

Annex 3. ISRS 4400 Agreed-upon Procedures Report Template

Report of factual findings:

To (those who engaged the auditor)

We have performed the procedures agreed with you and enumerated below with respect to the programme disbursements related to (insert programme name and number) as at (for the XX-month period ended) (date), set forth in the accompanying management letter. Our engagement was undertaken in accordance with the ISRS (or refer to relevant national standards or practices) applicable to agreed-upon procedures engagements. The procedures were performed solely to assist you in evaluating the validity of accounting records that support cash transfers from (agency) and are summarized as follows:

1. Compare documentation obtained describing the IP's financial management internal controls against the most recent micro assessment from the corresponding programme cycle. Document any changes or inconsistencies.
2. 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.
3. Obtain a listing of all programme related expenditures during the XX-month period ended (date) 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 to be determined by each agency in relation to their 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.
 - ✓ 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 and bank statement.
 - ✓ Verify that supporting documents are stamped 'PAID from XXX grant', indicating which agency funded the transaction.

- ✓ Verify that the FACE form was submitted consistent with the periodicity-of-disbursement requirement in the HACT framework.
- ✓ Verify the price paid for goods or services against United Nations agreed standard rates (if readily available).
- 4. 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.

We report our findings below:

- (a) With respect to item 1 we found (provide details of findings).
- (b) With respect to item 2 we found (provide details of findings).
- (c) With respect to item 3 we found (provide details of findings).
- (d) With respect to item 4 we found (provide details of findings).

Because these procedures do not constitute either an audit or a review made in accordance with International Standards on Auditing or International Standards on Review Engagements (or relevant national standards or practices), we do not express any assurance on the programme disbursements as of (for the XX month period ended) (date). Had we performed additional procedures or had we performed an audit or review of the financial statement in accordance with International Standards on Auditing or International Standards on Review Engagements (or relevant national standards or practices), other matters might have come to our attention that would have been reported to you. Our report is solely for the purpose set forth in the first paragraph of this report and for your information. It is not to be used for any other purpose or to be distributed to any other parties. This report relates only to the items specified above and does not extend to any financial statement of the implementing partner, taken as a whole.

Signature
Date
Address

Annex 4. Spot Check Work Plan

| | |
|--|--|
| Programme title: | |
| Project title: | |
| Name of IP: | |
| Location of IP/programme: | |
| IP contact person and position: | |
| Start/end date of spot check (dd/mm/yyyy – dd/mm/yyyy): | |
| Dates covered by FACE form selected for testing (dd/mm/yyyy – dd/mm/yyyy): | |
| Date of last spot check (dd/mm/yyyy – dd/mm/yyyy): | |
| Member(s) of the spot check team (Name, designation, section/organization): | |
| IP staff whom the spot check team met and worked with during the spot check (names and titles) | |

Internal Controls: Complete the following table covering specific procedures regarding internal controls.

| Procedure | Findings |
|---|----------|
| Compare documentation obtained describing the IP's financial management internal controls against the most recent micro | |

| | |
|--|--|
| assessment from the corresponding programme cycle. Document any changes or inconsistencies identified. | |
| 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. | |

Sample of Expenditures: Complete the following table for details related to each sample

| Sample expenditure description and voucher number | Sample expenditure amount reported | Documentation exists to support expenditure in accordance with IP's applicable rules and procedures and agreements with the agency? (Y/N) | Activity is related to expenditure in accordance with work plan? (Y/N) | Expenditure has been reviewed and approved in accordance with IP's applicable rules and procedures and agreements with the agency? (Y/N) | Expenditure was reflected on a certified FACE form submitted to the agency and in IP's accounting records and bank statement? (Y/N) | Supporting documents are stamped 'PAID from XXX grant', indicating which agency funded the transaction? (Y/N) | FACE form was submitted consistent with the periodicity-of-disbursement requirement in the HACT framework (within two weeks)? (Y/N) | Price paid for goods or services against United Nations agreed standard rates (if readily available) | Comment/finding |
|---|------------------------------------|---|--|--|---|---|---|--|-----------------|
| | | | | | | | | | |
| Total sample expenditures: | | | | | | | | | |
| Total expenditures reported on FACE forms during period under spot check: | | | | | | | | | |

| | | | | | | | | | |
|---|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
| Percentage coverage: (Total sample expenditures divided by total expenditures reported on FACE forms during period under spot check) | | | | | | | | | |

Annex 5. Management replies and status of recommendations on attestation of XX project

| Recommendation # | Recommendation | Management reply | Priority | Cause | Area | Further comments of audit | Responsible manager | Expected completion date | Status |
|------------------|----------------|------------------|----------|-------|------|---------------------------|---------------------|--------------------------|--------|
| | | | | | | | | | |
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Attachment 6

Contract for Professional Services

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

United Nations Development Programme



Empowered lives.
Resilient nations.

Contract for Goods and/or Services

Between the United Nations Development Programme and [insert name of the Contractor]

| | |
|---|--------------------------|
| 1. Country Where Goods Will be Delivered and/or Services Will be Provided: | |
| 2. UNDP <input type="checkbox"/> Request for Quotation <input type="checkbox"/> Request for Proposal <input type="checkbox"/> Invitation to Bid <input type="checkbox"/> direct contracting Number and Date: | |
| 3. Contract Reference (e.g. Contract Award Number): | |
| 4. Long Term Agreement: [Yes] [No] [indicate as appropriate] | |
| 5. Subject Matter of the Contract: <input type="checkbox"/> goods <input type="checkbox"/> services <input type="checkbox"/> goods and services | |
| 6. Type of Services: | |
| 7. Contract Starting Date: | 8. Contract Ending Date: |
| 9. Total Contract Amount: [insert currency and amount in figures and words] 9a. Advance Payment: [insert currency and amount in figures and words or indicate "not applicable"] | |
| 10. Total Value of Goods and/or Services: <input type="checkbox"/> below US\$50,000 (Services only) – UNDP General Terms and Conditions for Institutional (de minimis) Contracts apply <input type="checkbox"/> below US\$50,000 (Goods or Goods and Services) – UNDP General Terms and Conditions for Contracts apply <input type="checkbox"/> equal to or above US\$50,000 (Goods and/or Services) – UNDP General Terms and Conditions for Contracts apply | |
| 11. Payment Method: <input type="checkbox"/> fixed price <input type="checkbox"/> cost reimbursement | |
| 12. Contractor's Name: Address: Country of incorporation: Website: | |

| |
|--|
| 13. Contractor's Contact Person's Name: Title: Address: Telephone number: Fax: Email: |
| 14. UNDP Contact Person's Name: Title: Address: Telephone number: Fax: Email: |
| 15. Contractor's Bank Account to which payments will be transferred: Beneficiary: Account name: Account number: Bank name: Bank address: Bank SWIFT Code: Bank Code: Routing instructions for payments: |

This Contract consists of the following documents, which in case of conflict shall take precedence over one another in the following order:

1. This face sheet ("Face Sheet").
2. UNDP Special Conditions [delete if not applicable].
3. [UNDP General Terms and Conditions for Contracts] [UNDP General Terms and Conditions for Institutional (de minimis) Contracts] [delete if not applicable and remove square brackets].
4. Terms of Reference (TORs) and Schedule of Payments, incorporating the description of services, deliverables and performance targets, time frames, schedule of payments, and total contract amount [delete if not applicable].
5. Technical Specifications for Goods [delete if not applicable].
6. The Contractor's Technical Proposal and Financial Proposal, dated [insert date], as clarified by the agreed minutes of the negotiations meeting, dated [insert date]; these documents not attached hereto but known to and in the possession of the Parties, and forming an integral part of this Contract.
7. Discount Prices [to be used in cases where the Contractor is engaged on the basis of an LTA; delete if not applicable].

All the above, hereby incorporated by reference, shall form the entire agreement between the Parties (the "Contract"), superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Contract.

This Contract shall enter into force on the date of the last signature of the Face Sheet by the duly authorized representatives of the Parties, and terminate on the Contract Ending Date indicated on the Face Sheet. This Contract may be amended only by written agreement between the duly authorized representatives of the Parties.

IN WITNESS WHEREOF, the undersigned, being duly authorized thereto, have on behalf of the Parties hereto signed this Contract at the place and on the day set forth below.

| For the Contractor | | For UNDP | |
|--------------------|--|------------|--|
| Signature: | | Signature: | |
| Name: | | Name: | |
| Title: | | Title: | |
| Date: | | Date: | |