



*Empowered lives.
Resilient nations.*

REQUEST FOR PROPOSAL

**Evidence Based Policy Making applying Impact Evaluation
Zambia Evaluation Team**

RFP No.: **RFP-003-2020**

Project: **Strengthening climate resilience of agricultural livelihoods in Agro-Ecological Regions I and II in Zambia**

Country: **Zambia**

Issued on: **22 May 2020**

Contents

| | |
|--|----|
| Section 1. Letter of Invitation..... | 4 |
| Section 2. Instruction to Bidders..... | 5 |
| A. GENERAL PROVISIONS 5 | |
| 1. Introduction | 5 |
| 2. Fraud & Corruption, Gifts and Hospitality..... | 5 |
| 3. Eligibility | 5 |
| 4. Conflict of Interests | 6 |
| B. PREPARATION OF PROPOSALS 6 | |
| 5. General Considerations | 6 |
| 6. Cost of Preparation of Proposal | 6 |
| 7. Language | 6 |
| 8. Documents Comprising the Proposal..... | 6 |
| 9. Documents Establishing the Eligibility and Qualifications of the Bidder | 7 |
| 10. Technical Proposal Format and Content..... | 7 |
| 11. Financial Proposals | 7 |
| 12. Proposal Security | 7 |
| 13. Currencies | 8 |
| 14. Joint Venture, Consortium or Association..... | 8 |
| 15. Only One Proposal..... | 9 |
| 16. Proposal Validity Period..... | 9 |
| 17. Extension of Proposal Validity Period | 9 |
| 18. Clarification of Proposal | 9 |
| 19. Amendment of Proposals..... | 9 |
| 20. Alternative Proposals..... | 10 |
| 21. Pre-Bid Conference..... | 10 |
| C. SUBMISSION AND OPENING OF PROPOSALS 10 | |
| 22. Submission..... | 10 |
| 23. Deadline for Submission of Proposals and Late Proposals | 11 |
| 24. Withdrawal, Substitution, and Modification of Proposals..... | 11 |
| 25. Proposal Opening..... | 11 |
| D. EVALUATION OF PROPOSALS 11 | |
| 26. Confidentiality | 11 |
| 27. Evaluation of Proposals | 11 |
| 28. Preliminary Examination | 12 |
| 29. Evaluation of Eligibility and Qualification..... | 12 |
| 30. Evaluation of Technical and Financial Proposals..... | 12 |
| 31. Due Diligence | 13 |

| | |
|---|----|
| 32. Clarification of Proposals | 13 |
| 33. Responsiveness of Proposal..... | 13 |
| 34. Nonconformities, Reparable Errors and Omissions | 14 |
| E. AWARD OF CONTRACT 14 | |
| 35. Right to Accept, Reject, Any or All Proposals | 14 |
| 36. Award Criteria | 14 |
| 37. Debriefing | 14 |
| 38. Right to Vary Requirements at the Time of Award..... | 14 |
| 39. Contract Signature | 14 |
| 40. Contract Type and General Terms and Conditions | 15 |
| 41. Performance Security..... | 15 |
| 42. Bank Guarantee for Advanced Payment..... | 15 |
| 43. Liquidated Damages | 15 |
| 44. Payment Provisions..... | 15 |
| 45. Vendor Protest | 15 |
| 46. Other Provisions | 15 |
| Section 3. Bid Data Sheet..... | 17 |
| Section 4. Evaluation Criteria..... | 20 |
| Section 5. Terms of Reference | 24 |
| Section 6: Returnable Bidding Forms / Checklist..... | 24 |
| form a: technical proposal submission form..... | 34 |
| form b: bidder information form..... | 35 |
| form c: joint venture/consortium/association information form | 36 |
| form d: qualification form | 37 |
| form e: format of technical proposal..... | 39 |
| form f: financial proposal submission form | 45 |
| form g: financial proposal form | 1 |
| form h: form of proposal security | 3 |

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
 - Form H: Form of Proposal Security

If you are interested in submitting a Proposal in response to this RFP, please prepare your Proposal in accordance with the requirements and procedure as set out in this RFP and submit it by the Deadline for Submission of Proposals set out in Bid Data Sheet.

Please acknowledge receipt by utilizing the "Accept Invitation" function in eTendering system, where applicable. This will enable you to receive amendments or updates to the RFP. Should you require further clarifications, kindly communicate with the contact person/s identified in the attached Bid Data Sheet as the focal point for queries on this RFP.

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

Issued by:

Approved by:

Name: Dick KAMPAMBA
Title: Procurement Analyst
Date: **May 22, 2020**

Name: Roland SERI
Title: Deputy Resident Representative
Date: **May 22, 2020**

SECTION 2. INSTRUCTION TO BIDDERS

| A. GENERAL PROVISIONS | |
|---|--|
| <i>1. Introduction</i> | <p>1.1 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</p> <p>1.2 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.</p> <p>1.3 As part of the bid, it is desired that the Bidder registers at the United Nations Global Marketplace (UNGM) website (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.</p> |
| <i>2. Fraud & Corruption, Gifts and Hospitality</i> | <p>2.1 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</p> <p>2.2 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.</p> <p>2.3 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.</p> <p>2.4 All Bidders must adhere to the UN Supplier Code of Conduct, which may be found at http://www.un.org/depts/ptd/pdf/conduct_english.pdf</p> |
| <i>3. Eligibility</i> | <p>3.1 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.</p> <p>3.2 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.</p> |

| | |
|---|--|
| <p>4. <i>Conflict of Interests</i></p> | <p>4.1 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:</p> <ul style="list-style-type: none"> a) 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; b) Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or c) Are found to be in conflict for any other reason, as may be established by, or at the discretion of UNDP. <p>4.2 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.</p> <p>4.3 Similarly, the Bidders must disclose in their proposal their knowledge of the following:</p> <ul style="list-style-type: none"> a) 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 b) All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices. <p>Failure to disclose such an information may result in the rejection of the proposal or proposals affected by the non-disclosure.</p> <p>4.4 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.</p> |
| <p>B. PREPARATION OF PROPOSALS</p> | |
| <p>5. <i>General Considerations</i></p> | <p>5.1 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.</p> <p>5.2 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</p> |
| <p>6. <i>Cost of Preparation of Proposal</i></p> | <p>6.1 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.</p> |
| <p>7. <i>Language</i></p> | <p>7.1 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.</p> |
| <p>8. <i>Documents</i></p> | <p>8.1 The Proposal shall comprise of the following documents:</p> |

| | |
|---|---|
| <i>Comprising the Proposal</i> | <ul style="list-style-type: none"> a) Documents Establishing the Eligibility and Qualifications of the Bidder; b) Technical Proposal; c) Financial Proposal; d) Proposal Security, if required by BDS; e) Any attachments and/or appendices to the Proposal. |
| <i>9. Documents Establishing the Eligibility and Qualifications of the Bidder</i> | <p>9.1 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.</p> |
| <i>10. Technical Proposal Format and Content</i> | <p>10.1 The Bidder is required to submit a Technical Proposal using the Standard Forms and templates provided in Section 6 of the RFP.</p> <p>10.2 The Technical Proposal shall not include any price or financial information. A Technical Proposal containing material financial information may be declared non-responsive.</p> <p>10.3 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</p> <p>10.4 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.</p> |
| <i>11. Financial Proposals</i> | <p>11.1 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.</p> <p>11.2 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.</p> <p>11.3 Prices and other financial information must not be disclosed in any other place except in the financial proposal.</p> |
| <i>12. Proposal Security</i> | <p>12.1 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.</p> <p>12.2 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.</p> <p>12.3 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.</p> <p>12.4 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.</p> <p>12.5 The Proposal Security may be forfeited by UNDP, and the Proposal rejected, in the event of any one or combination, of the following conditions:</p> <ul style="list-style-type: none"> a) If the Bidder withdraws its offer during the period of the Proposal Validity specified in the BDS, or; b) In the event that the successful Bidder fails: |

| | |
|--|--|
| | <p>i. to sign the Contract after UNDP has issued an award; or</p> <p>12.6 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.</p> |
| <p>13. <i>Currencies</i></p> | <p>13.1 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:</p> <p>a) 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</p> <p>b) 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.</p> |
| <p>14. <i>Joint Venture, Consortium or Association</i></p> | <p>14.1 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.</p> <p>14.2 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.</p> <p>14.3 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.</p> <p>14.4 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.</p> <p>14.5 A JV, Consortium or Association in presenting its track record and experience should clearly differentiate between:</p> <p>a) Those that were undertaken together by the JV, Consortium or Association; and</p> <p>b) Those that were undertaken by the individual entities of the JV, Consortium or Association.</p> <p>14.6 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.</p> <p>14.7 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.</p> |

| | |
|---|--|
| <p>15. Only One Proposal</p> | <p>15.1 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.</p> <p>15.2 Proposals submitted by two (2) or more Bidders shall all be rejected if they are found to have any of the following:</p> <ul style="list-style-type: none"> a) they have at least one controlling partner, director or shareholder in common; or b) any one of them receive or have received any direct or indirect subsidy from the other/s; or c) they have the same legal representative for purposes of this RFP; or d) 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; e) 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 f) 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. |
| <p>16. Proposal Validity Period</p> | <p>16.1 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.</p> <p>16.2 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.</p> |
| <p>17. Extension of Proposal Validity Period</p> | <p>17.1 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.</p> <p>17.2 If the Bidder agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal.</p> <p>17.3 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.</p> |
| <p>18. Clarification of Proposal</p> | <p>18.1 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.</p> <p>18.2 UNDP will provide the responses to clarifications through the method specified in the BDS.</p> <p>18.3 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.</p> |
| <p>19. Amendment of Proposals</p> | <p>19.1 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.</p> |

| | | |
|---|------|---|
| | 19.2 | 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. |
| 20. Alternative Proposals | 20.1 | 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. |
| | 20.2 | If multiple/alternative proposals are being submitted, they must be clearly marked as "Main Proposal" and "Alternative Proposal" |
| 21. Pre-Bid Conference | 21.1 | 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. |
| C. SUBMISSION AND OPENING OF PROPOSALS | | |
| 22. Submission | 22.1 | 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. |
| | 22.2 | 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. |
| | 22.3 | 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. |
| eTendering submission | 22.4 | Electronic submission through eTendering, if allowed or specified in the BDS, shall be governed as follows: <ul style="list-style-type: none"> a) Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS; b) The Technical Proposal and the Financial Proposal files MUST BE COMPLETELY SEPARATE and each of them must be uploaded individually and clearly labelled. a) 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. c) 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. |

| | |
|---|--|
| | <p>d) 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-notice/resources/</p> |
| <p>23. <i>Deadline for Submission of Proposals and Late Proposals</i></p> | <p>23.1 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</p> <p>23.2 UNDP shall not consider any Proposal that is submitted after the deadline for the submission of Proposals.</p> |
| <p>24. <i>Withdrawal, Substitution, and Modification of Proposals</i></p> | <p>24.1 A Bidder may withdraw, substitute or modify its Proposal after it has been submitted at any time prior to the deadline for submission.</p> <p>24.2 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"</p> <p>24.3 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.</p> <p>24.4 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</p> |
| <p>25. <i>Proposal Opening</i></p> | <p>25.1 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.</p> |
| <p>D. EVALUATION OF PROPOSALS</p> | |
| <p>26. <i>Confidentiality</i></p> | <p>26.1 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.</p> <p>26.2 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.</p> |
| <p>27. <i>Evaluation of Proposals</i></p> | <p>27.1 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.</p> <p>27.2 Evaluation of proposals is made of the following steps:</p> <ol style="list-style-type: none"> Preliminary Examination Minimum Eligibility and Qualification (if pre-qualification is not done) |

| | |
|--|--|
| | <p>c) Evaluation of Technical Proposals</p> <p>d) Evaluation of Financial Proposals</p> |
| 28. <i>Preliminary Examination</i> | 28.1 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. |
| 29. <i>Evaluation of Eligibility and Qualification</i> | <p>29.1 Eligibility and Qualification of the Bidder will be evaluated against the Minimum Eligibility/Qualification requirements specified in the Section 4 (Evaluation Criteria).</p> <p>29.2 In general terms, vendors that meet the following criteria may be considered qualified:</p> <ul style="list-style-type: none"> a) 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; b) They have a good financial standing and have access to adequate financial resources to perform the contract and all existing commercial commitments, c) 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; d) They are able to comply fully with UNDP General Terms and Conditions of Contract; e) They do not have a consistent history of court/arbitral award decisions against the Bidder; and f) They have a record of timely and satisfactory performance with their clients. |
| 30. <i>Evaluation of Technical and Financial Proposals</i> | <p>30.1 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.</p> <p>30.2 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.</p> <p>30.3 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.</p> <p>30.4 When the BDS specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:</p> |

| | |
|---------------------------------------|--|
| | <p><u>Rating the Technical Proposal (TP):</u></p> <p>TP Rating = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100</p> <p><u>Rating the Financial Proposal (FP):</u></p> <p>FP Rating = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100</p> <p><u>Total Combined Score:</u></p> <p>Combined Score = (TP Rating) x (Weight of TP, e.g. 70%) + (FP Rating) x (Weight of FP, e.g., 30%)</p> |
| 31. <i>Due Diligence</i> | <p>31.1 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:</p> <ul style="list-style-type: none"> a) Verification of accuracy, correctness and authenticity of information provided by the Bidder; b) Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team; c) 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; d) Inquiry and reference checking with previous clients on the performance on on-going or contracts completed, including physical inspections of previous works, as necessary; e) Physical inspection of the Bidder's offices, branches or other places where business transpires, with or without notice to the Bidder; f) Other means that UNDP may deem appropriate, at any stage within the selection process, prior to awarding the contract. |
| 32. <i>Clarification of Proposals</i> | <p>32.1 To assist in the examination, evaluation and comparison of Proposals, UNDP may, at its discretion, ask any Bidder for a clarification of its Proposal.</p> <p>32.2 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.</p> <p>32.3 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.</p> |
| 33. <i>Responsiveness of Proposal</i> | <p>33.1 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.</p> <p>33.2 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.</p> |

| | |
|--|---|
| <p>34. <i>Nonconformities, Repairable Errors and Omissions</i></p> | <p>34.1 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.</p> <p>34.2 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.</p> <p>34.3 For Financial Proposal that has been opened, UNDP shall check and correct arithmetical errors as follows:</p> <ul style="list-style-type: none"> a) 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; b) 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 c) 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. <p>34.4 If the Bidder does not accept the correction of errors made by UNDP, its Proposal shall be rejected.</p> |
| <p>E. AWARD OF CONTRACT</p> | |
| <p>35. <i>Right to Accept, Reject, Any or All Proposals</i></p> | <p>35.1 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.</p> |
| <p>36. <i>Award Criteria</i></p> | <p>36.1 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.</p> |
| <p>37. <i>Debriefing</i></p> | <p>37.1 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.</p> |
| <p>38. <i>Right to Vary Requirements at the Time of Award</i></p> | <p>38.1 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.</p> |
| <p>39. <i>Contract Signature</i></p> | <p>39.1 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.</p> |

| | |
|---|--|
| 40. <i>Contract Type and General Terms and Conditions</i> | 40.1 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 |
| 41. <i>Performance Security</i> | 41.1 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. |
| 42. <i>Bank Guarantee for Advanced Payment</i> | 42.1 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 |
| 43. <i>Liquidated Damages</i> | 43.1 If specified in BDS, UNDP shall apply Liquidated Damages resulting from the Contractor's delays or breach of its obligations as per the Contract. |
| 44. <i>Payment Provisions</i> | 44.1 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. |
| 45. <i>Vendor Protest</i> | 45.1 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 |
| 46. <i>Other Provisions</i> | <p>46.1 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.</p> <p>46.2 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.</p> <p>46.3 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</p> |

| | |
|--|---|
| | <u>er</u> |
|--|---|

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 | <p>Will be Conducted</p> <p>Time: 2:30 pm, Central African Time</p> <p>Date: May 28, 2020</p> <p>Venue: VIA ZOOM. Invitation will be sent to all participating companies that will accept invitation in eTendering System by 27th May 2020.</p> <p>The UNDP focal point for the arrangement is: Procurement Unit, UNDP Lusaka, ZAMBIA</p> <p>Telephone: + 260 211 386 200 E-mail: procurement.zm@undp.org</p> |
| 5 | 10 | Proposal Validity Period | 90 days |
| 6 | 14 | Bid Security | <p>Required in the amount of USD 10,000</p> <p>Acceptable Forms of Bid Security</p> <ul style="list-style-type: none"> ▪ Bank Guarantee (See Section 8 for template) <p>Any Bank-issued Check / Cashier's Check / Certified Check</p> |
| 7 | 41 | Advanced Payment upon signing of contract | Allowed up to a maximum of 20% of contract value supported by a bank guarantee or any Bank-issued Check / Cashier's Check / Certified Check |

| | | | |
|----|---------------|---|---|
| 8 | 42 | Liquidated Damages | Will be imposed as follows: Percentage of contract price per day of delay: 0.5% Max. number of days of delay 30, after which UNDP may terminate the contract. |
| 9 | 40 | Performance Security | Not Required |
| 10 | 18 | Currency of Proposal | United States Dollar |
| 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: Procurement Unit Address: UNDP, UN House, Alick Nkhata Road, Longacres, Lusaka, ZAMBIA E-mail address: procurement.zm@undp.org |
| 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 | For eTendering submission - as indicated in eTendering system. Note that system time zone is in EST/EDT (New York) time zone. |
| 14 | 22 | Allowable Manner of Submitting Proposals | <input type="checkbox"/> Courier/Hand Delivery <input type="checkbox"/> Submission by email <input checked="" type="checkbox"/> e-Tendering |
| 15 | 22 | Proposal Submission Address | https://etendering.partneragencies.org <u>Business unit: ZMB10</u> <u>Event ID number: 0000006038</u> |
| 16 | 22 | Electronic submission (email or eTendering) requirements | <ul style="list-style-type: none"> ▪ Format: PDF files only ▪ 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. ▪ Password for financial proposal <u>must</u> not be provided to UNDP until requested by UNDP ▪ Max. File Size per transmission: 10 mb ▪ Documents which are required in original (e.g. Proposal Security) should be sent to the below address with a PDF copy submitted as part of the electronic submission: |

| | | | |
|----|----------|--|--|
| | | | Procurement Unit United Nations Development Programme UN House, Alick Nkhata Road P O Box 31966 Lusaka, ZAMBIA |
| 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 | <i>July 1, 2020</i> |
| 19 | | Maximum expected duration of contract | 3 months |
| 20 | 35 | UNDP will award the contract to: | One Proposer Only |
| 21 | 39 | Type of Contract | Purchase Order and Contract for Goods and Services for UNDP 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 | <i>None</i> |

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 ITB clause 3. | Form A: Technical Proposal Submission Form |
| Conflict of Interest | No conflicts of interest in accordance with ITB 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 Contracts¹ | 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 3 contracts of similar value, nature and complexity implemented over the last 3 years. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i> | Form D: Qualification Form |

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.

| | | |
|---------------------------|--|----------------------------|
| Financial Standing | Minimum average annual turnover of USD 1,000,000 for the last 3 years. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i> | Form D: Qualification Form |
| | Bidder must demonstrate the current soundness of its financial standing and indicate its prospective long-term profitability. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i> | Form D: Qualification Form |

Technical Evaluation Criteria

| Summary of Technical Proposal Evaluation Forms | | Points Obtainable | Weight |
|--|--|-------------------|-------------|
| 1. | Bidder's qualification, capacity and experience | 250 | 25% |
| 2. | Proposed Methodology, Approach and Implementation Plan | 450 | 45% |
| 3. | Management Structure and Key Personnel | 300 | 30% |
| | Total | 1,000 | 100% |

| # | CRITERIA | OBTAINABLE POINTS |
|--|--|-------------------|
| SECTION 1. BIDDER'S QUALIFICATION, CAPACITY AND EXPERIENCE | | |
| 1.1 | Reputation of Organization and Staff Credibility / Reliability / Industry Standing | 30 |
| 1.2 | Litigation and Arbitration history | 15 |
| 1.3 | General Organizational Capability which is likely to affect implementation <ul style="list-style-type: none"> - Financial stability - Loose consortium, holding company or one firm - Age/size of the firm - Strength of project management support - Project financing capacity - Project management controls | 50 |
| 1.4 | 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 specialised skills.) | 15 |
| 1.5 | Quality assurance procedures, warranty | 30 |
| 1.6 | Relevance of Experience of Team Members: | |
| 1.6a | Specialised Knowledge | 25 |
| 1.6b | Experience on similar projects | 50 |
| 1.6c | Work for major multilateral/ or bilateral programmes | 25 |
| 1.6d | Experience in the region | 10 |
| | Sub-total: bidder's qualification and experience | 250 |
| SECTION 2. PROPOSED METHODOLOGY, APPROACH AND IMPLEMENTATION PLAN | | |
| 2.1 | To what degree does the Proposer understand the task? | 50 |
| 2.2 | Have the important aspects of the task been addressed in sufficient detail? | 30 |
| 2.3 | Is the proposal based on a survey of the project environment and was this data input properly used in the preparation of the proposal? | 65 |
| 2.4 | Is the conceptual framework adopted appropriate for the task? | 65 |

| | | |
|--|--|--------------|
| 2.5 | Is the scope of the task well defined and does it correspond to the TOR | 100 |
| 2.6 | Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project indicating time frame? | 140 |
| | Sub-total Methodology | 450 |
| | | |
| SECTION 3. MANAGEMENT STRUCTURE AND KEY PERSONNEL | | |
| 3.1 | Project Manager/ Lead Consultant | |
| 3.1.1 | Master's degree or equivalent in management, or other related field | 30 |
| 3.1.2 | Demonstrable Experience in designing and conducting research and baseline study for agricultural projects | 50 |
| 3.1.3 | Excellent in working with local communities, NGOs/Donors or national government | 40 |
| 3.1.4 | Experience in supervising and managing teams | 20 |
| 3.1.5 | Knowledge in data management software and statistical skills | 10 |
| 3.2 | Field Manager | |
| 3.2.1 | Degree or equivalent in management, or other relevant field | 30 |
| 3.2.2 | Experience managing field work for surveys of communities and/or schools | 20 |
| 3.2.3 | Experience in conducting trainings and developing teaching aids | 10 |
| 3.2.4 | Experience in community-based projects | 10 |
| 3.3 | Data Manager/ Technical lead | |
| 3.3.1 | Degree or equivalent in computers science, demography, statistics, or any other relevant field | 30 |
| 3.3.2 | Training and experience in using and programming CS-PRO and similar programs. | 10 |
| 3.3.3 | Data analysis and cleaning | 10 |
| 3.3.4 | Ability to compile data from different sources, merging data sets | 10 |
| 3.3.5 | Ability to query data or data mining | 10 |
| 3.3.6 | Visualisation and reporting | 10 |
| | Sub-total Management structure and key personnel | 300 |
| | | |
| Total | | 1,000 |

SECTION 5. TERMS OF REFERENCE

The objective of the “**Strengthening climate resilience of agricultural livelihoods in Agro-Ecological Regions I and II in Zambia**” project aims to increase the resilience of smallholder farmers in Agro-Ecological Regions I and II in Zambia in view of climate change and variability. The project will achieve this aim by taking a value chain approach, addressing risks posed across key stages of the value chain – planning, inputs, production, and post-production. The project makes targeted interventions which include three interrelated outputs:

- (i) Strengthening the capacity of farmers to plan for climate risk;
- (ii) Strengthening resilient agricultural production and diversification practices (for both food security and income generation) and;
- (iii) Strengthening farmers’ access to markets and commercialization of introduced resilient agricultural commodities

Evidence-based knowledge on adaptation is lacking in many climate finance investments with knowledge from programs primarily from tracking process indicators by-and-large and using assertions/anecdotal evidence to support projects. However, evidence has shown that there is a knowledge gap on how households and communities respond to shocks and what is the effective and efficient way to support these communities. Without the use of counterfactuals, impact of programs and investments are highly subjective with little likelihood of replication.

UNDP supports governments globally to adapt to climate change in different sectors. A central element of these investments is to learn about and document the extent to which climate adaptation investments are effective, are operationally feasible, and in what circumstances. As such, data collection and rigorous evaluation of all UNDP climate change adaptation programs is essential for generating new knowledge that can inform governments and partners to effectively design and use the adaptation mechanisms. The eventual learning objective is not only to assess the impact of the UNDP intervention(s) in Zambia, but also to compare these impacts across the other countries with similar interventions, and to be able to provide externally valid advice on the feasibility and effectiveness of these approaches to other countries.

The Zambia UNDP country office with UNDP GCF impact evaluation team will hire a firm or consortium referred to as ‘the consultant’ to conduct a survey in 16 districts under the direct supervision of the Principal Investigator, with technical assistance from the Zambia GCF project team and country office environment team (“National Evaluation Team”) on all aspects related to the baseline household data collection activities. The Districts include: Mafinga, Chama, Mambwe, Nyimba, Luangwa, Rufunsa, Chongwe, Chirundu, Siavonga, Namwala, Gwembe, Kazungula, Sesheke, Senanga, Sioma and Mulobezi.

PURPOSE OF THIS CONSULTANCY

The purpose of this consultancy is to undertake the baseline household data collection from the entry and management for a prospective, rigorous impact evaluation of a climate change adaptation project: “**Strengthening climate resilience of agricultural livelihoods in Agro-Ecological Regions I and II in Zambia**”. The baseline study will provide an information base against which to monitor and assess the progress and effectiveness of the SCRALA project during

implementation and after all project activities are completed. The survey will establish the pre-project conditions against which future changes amongst a target population can be measured.

SCOPE OF WORK

The assignment includes the following tasks:

Farmer Listing Survey

This activity requires listing of all farmers eligible for the program in Primary Sampling Units (PSU) areas in each camp through a rapid screening and listing survey. **The firm will work with the Ministry of Agriculture (MoA) District staff including camp officers to update the basic information from each community in the enumeration area. The survey firm or consortium will review the existing farm register with farming household to assess farmer eligibility, basic demographic and confirm the contact information.** The farmer registration is already ongoing in MoA and the listing is to review the existing database. The expected number of farmers to be listed for this survey is between 840,000 and 1.2 million. The farmer sample will be constructed based on this listing. An initial identification and selection of enumeration areas though may also be required.

Agricultural Household Survey

A complete household survey will be collected from a sample of 3000 households in the PSUs, taking on average [45-90] minutes per household to implement. The sample final sample size will be determined using a power calculation that is expected from the survey firm thus budget should be made based on average per household basis rather than the 3000 currently estimated. Information will be collected through interviews as well as direct observation. The household survey will include:

- Agricultural household roster and socio-economic modules, including individual level demographic, education, labor/employment and other information.
- Climate information module, including access to climate information and seasonal forecast.
- Agricultural module, including farming production process – detailed inputs and output including post-harvest processes such as access to market and warehouse.
- A household economy module, including expenditures and assets.
- A household physical characteristics module that documents the location, type and size of housing, housing upgrades, household facilities – especially access to, and types of sanitation, hygiene & water facilities, and other housing facilities and amenities. [GPS/GIS] information should be collected for each household in the evaluation sample.

Additional notes on the agricultural survey:

- **Crop type mapping:** It is expected that the agricultural land of the farmer will be visited where the farm location will be geo-coded, and the type of crops adequately mapped. The GPS location that will be collected for the crop farmers will be expected to be based on 5 GPS points of the farmland. The four corners of the farm and a location in the middle of the farm.
- **Agricultural Yield estimate using Crop Cut methodology:** As part of the agricultural household survey, a Crop Cut estimate of yield is also required for majority of the farmland that will be visited. The protocol for the crop Cut estimate of yield will be finalized by the survey firm.

Community Survey

A community survey will cover a sample of community leaders and cooperatives in approximately

220 sample clusters and will take [60-90] minutes to implement. The survey will be collected through interviews with community leader or key respondent in each community and one cooperative, and will include information on locality characteristics, services, infrastructure, access to markets, prices and others.

The survey firm/consultants will be expected to complete the following activities associated with this baseline household data collection.

METHODOLOGY

Data Collection

In order to conduct the baseline survey on the key parameters, the following methodologies can be utilized, but should not be limited to:

- Desk review
- Quantitative data collection and analysis of information from the 16 target districts
- Key informant interviews (KIIs), stakeholder consultations and other participatory methods
- Focus Group Discussions (FGDs) with different Government and non-government institutions in target districts.

Data Analysis

The Survey Firm must develop (or adapt) a robust data entry program in suitable program approved by the Evaluation Team. The Survey Firm will be responsible for translating the user interface into appropriate local language if needed, adapting the program to reflect any changes from the base questionnaire, and adding modules for any additional data collection that is unique to the survey.

The adapted program must be robust:

- Adapt data entry range and consistency checks to values appropriate for the country context, based on existing HH survey data.
- To the greatest extent possible, the data entry program should conduct range and consistency checks, as the questionnaire is keypunched.
- Violations of these checks should lead to an immediate and transparent message sent to the keypuncher, along with a practical method for correcting keypunch errors, or over-riding and documenting any answers that violate the range and consistency check rules.
- The program should allow valid open-ended and “other” textual responses outside of the response options provided in the questionnaire
- Variable names generated by the program should correspond clearly and logically to the question labels used in the questionnaire.
- Coding strategy in order to maintain consistent, unique identifiers for households for matching longitudinal data

Training of Enumerators

The Evaluation Team will provide draft training materials to the Survey Firm. Survey Firm will adapt the materials to the local context in consultation with the Evaluation Team. If necessary, the training materials and field manuals will be translated to the local language.

A comprehensive general training should be given to the supervisors, interviewers in order to create a team environment and to allow for substitution between roles should any team member

take a leave of absence due to illness or other emergency. Because the training should also serve as a screening process for skilled interviewers and data entry agents, the survey firm should also recruit more interviewers and data entry agents for the training than will be ultimately hired for the project. The supervisors should receive supplemental training as needed.

The training should be scheduled for a minimum of **1 week**. The Survey Firm and Evaluation Team will need to identify whether all training can take place in one plenary group, or if the number of trainees (supervisors, interviewers, etc) is large, if it is better to divide the training into several sub-groups. In this case, the Survey Firm will still need to standardize training across sub-groups by using the same training materials among trainers. The Training program should include:

Theoretical: Training should include a review of the theory of the questionnaire and each question in order to fully understand the objective of each question. Standard quantitative interviewing techniques and field protocols should also be covered.

Classroom practice: Training should include individual and group exercises to become familiar with the practice of asking and filling questionnaires. This part of the training may include in class demonstrations, where the questionnaire is projected, and one interviewer completes the questionnaire in front of the classroom. The training may also use vignettes, where the firm designs case scenarios based on typical households (perhaps those found during the supervisor training or piloting) and have interviewers complete the questionnaire based on the vignette. Finally, the trainees should conduct pilot interviews on the same subject, and have the interviewers fill in a questionnaire for the interview to test consistency across the interviewers.

Pilot-test: After the theoretical and classroom practices, the interviewers should go to the field to administer the full questionnaire to a small number of households (outside the study sample but comparable to the sampled households in household characteristics). The pilot-test shouldn't focus on major adjustments to the questionnaire, but rather simulate the administration of the questionnaire under normal circumstances. The pilot-test should also serve as a test of the CAPI.

Evaluation: Following the training, interviewers and supervisors should be evaluated based on their understanding of the questionnaire and their ability to correctly record data using the same test scenarios as used in the classroom practice. The training period should conclude only once the field teams have demonstrated mastery of the designated tasks.

The hired firm will be responsible for finalization of the survey methodology in consultation with UNDP Evaluation team.

PRODUCTS (KEY DELIVERABLES)

DELIVERABLES (1): INCEPTION REPORT

The survey firm shall submit an electronic copy of the inception report to UNDP which should include a detailed methodology including tools to be used to gather data/information, quality assurance, mechanism of data /information collection, sampling, pilot testing, roles and responsibility of team members and key milestone. The inception report should also detail the fieldwork plan in collaboration with the IE team to including the following:

- Final Workplan with Gantt Chart

- Composition of field team
 - Number of enumerators
 - Number of field-supervisors
 - Qualifications, training of each
- Expected tasks, responsibilities, and schedule of delivery of each member of the team
- Number of visits per household (*TWO visits per household may be needed in some cases to allow for interrupted surveys, revisions of incomplete or inconsistent information, and quality control*)
- The expected time each team will spend in a PSU

The Evaluation Team will provide the survey firm with an outline of the defined sampling strategy. Based on this, the Survey Firm, in consultation with the Evaluation Team, must propose a robust plan for selecting the evaluation sample. The sampling plan must detail:

- Work with the agricultural officers at the districts to finalize the listing and selection of households and individuals to be interviewed. Note that the project is undertaking listing at the project districts, and the survey firm will work with them to finalize it. THIS LISTING SHOULD BE CONDUCTED before FIELDWORK.
- Clearly define the probabilities of selecting the target population.
- Strict guidelines to select replacement households if selected households refuse to participate or are otherwise unable to participate. Replacement of households must be done sparingly and require supervisor approval.
- Coding strategy in order to ensure each household and individual has a unique code for data entry that merges seamlessly across data sets.
- Transportation and lodging logistics
- Sample Control File for data collection in each PSU
- Protocol for confirming that the location has been correctly identified
- Supervision and spot check plans to ensure adherence to data collection protocols and confirm quality of data collection and entry, including a minimum of [10%] of re-visits to a random sample of the evaluation sample to confirm the validity of the data
- Protocols and procedures for addressing data inconsistencies/miss-reporting when identified
- Protocols for Computer Assisted Field Entry (CAFE) and data transmission protocols

This Field Work Plan should be presented to the Evaluation Team for comment and revised as necessary before commencing fieldwork. The Survey Firm must then implement the survey, adhering as closely to the plan as conditions allow. As field conditions dictate significant changes to these plans, the Survey Firm's Field Supervisors are obliged to inform the Evaluation Team via the Survey Firm's management, in the form of a written report or progress report.

Therefore, the inception report shall constitute the first deliverable to be submitted by the consulting firm. The report shall provide a clear and concise approach with content, quality, substance and details of the survey, It will provide a methodology that includes questionnaires, tools, baseline framework, quality assurance mechanism, sampling plan, pilot testing, roles and responsibilities of the key members, survey execution plan and structure of the report to be submitted within three weeks from contract signing.

DELIVERABLE (2) PRE- TESTING REPORT

Including timing of modules, comments from interviewers and supervisors and necessary changes to the questionnaire

The Survey Firm will be provided a standard set of base questionnaires in English. In consultation with the Evaluation Team, the Survey Firm will adapt survey modules to the country context, including phrasing of questions and adaptation of response codes so they are appropriate to the study context. If needed, once the Survey Firm has adapted the base English questionnaire to reflect unique needs of the project, the Survey Firm will translate this set of questionnaires to the local language(s) and pre-test the translated questionnaires, adapting any components that are necessary to accurately capture the intended information on the study populations. This would include, for example, revising consumption and asset items to reflect the patterns of consumption and assets evident from existing data.

The final set of questionnaires used in the field will be re-translated into English by an independent translator contracted by the Survey firm and formatted in the identical format used in the actual implementation.

DELIVERABLE (3) DRAFT REPORT AND DATA

The complete data will be submitted with the draft report that includes the raw data from the field and also edited data with appropriate codes. A draft report of the assignment findings shall be presented to the evaluation team for comments and clarifications. The consultant will be expected to work on the comments made by the evaluation team and submit the final report.

DELIVERABLE (4) VALIDATION MEETING AND PRESENTATION

A consultative meeting shall be held not more than 10 days upon submission of the draft report. The National Evaluation Team, technical advisor and other relevant stakeholders will be invited to attend the consultative meeting. The team leader of the service agency shall make the presentation and highlight the methodology and results of the baseline study.

DELIVERABLE (5) FINAL BASELINE REPORT

A comprehensive and analytical baseline report that is sufficient with disaggregated data that would provide guidance on impact evaluation of a climate change adaptation project. The baseline report should be able to report on the indicators as set out in the project results chains. This should be a well-organized final report complete with standard reporting formats (main body of the report should be a minimum 50 pages in length, excluding TOC, tables, and annexes). Report synthesizing the main findings and indicators of the survey (not to exceed 7-10 pages in length).

The consulting firm is required to produce all the deliverables during the contract period.

BASELINE TEAM COMPOSITION AND REQUIRED COMPETENCIES

The personnel requirements for this project include:

Core survey team: The Survey Firm must provide a minimum of:

- (1) Full-time Project Manager
- (1) Full-time Field Manager
- (1) Full-time Data Manager

Field Team: Although the Survey Firm will determine the NUMBER of field teams in consultation

with the Evaluation Team, each field team should be comprised of:

- (1) Supervisor
- (2-6) Interviewers

REQUIRED SKILLS/ EXPERIENCE

The firm must meet the following minimum requirements:

- Legal status recognized by the Government of the republic of Zambia, enabling the organization to perform the above-mentioned tasks under the laws of Zambia.
- Minimum 5 years' experience managing household-level surveys of similar scale (2000+ households); experience working on agricultural-related surveys preferred
- Strong capacity and experience in planning and organizing survey logistics
- Good network of experienced enumerators, supervisors and data entry clerks.
- Strong capacity in data management and statistics.
- Strong knowledge in the following software: STATA, CS-Pro, and SPSS
- Strong interpersonal skills and a team-oriented spirit.
- Team with gender mix will be an added advantage

In the technical proposal, the firm must also indicate the proposed staff and qualifications for each of the three key managerial positions based on the following minimum requirements:

- **Project Manager:** plans, supervises and manages the entire survey with the assistance of the field and data managers. The Project Manager must be based in-country for the entire duration of the survey and must have experience in managing at large-scale household surveys of over 1500 households; experience managing surveys of at least 100 communities and/or schools; Degree in management, or other relevant field. Specific training in survey management. The project Manger must have excellent inter-personal skills and demonstrated ability to engage at various levels including local communities and strong analytical skills.
- **Field Manager:** responsible for training of field staff; plans, supervises and manages the field work. The Field Manager must be based in-country for the entire duration of the survey and have experience in managing field work of large-scale household surveys of over 1500 households; experience managing field work for surveys of at least 100 communities and/or schools; Degree in management, or other relevant field. Specific training in survey management. The Field manager must have experience in conducting training and developing training materials
- **Data Manager:** plans, supervises and manages data processing and consolidation of data including coding of questionnaire. The Data Manager must be based in-country for the entire duration of the survey and must have experience in managing data entry of large –scale household surveys of over 1500 households; experience in managing data entry for surveys of at least 100 schools and communities. Degree in statistics, computer science, demography or other relevant discipline; Specific training in data entry for household survey management, Specific training and experience in using and programming CS-PRO and similar programs, data analysis and cleaning, ability to compile data from different sources and merging sets, ability to query data, visualization and reporting

ETHICAL CLEARANCE DOCUMENTATION

The Survey Firm is responsible for acquiring all permissions necessary for conducting the survey. Where required, this may include relevant permissions from national and/or local authorities, and

Institutional Review Board (Protection of Human Subjects) permissions. The Survey Firm is also responsible for adhering to local formalities and obtaining any required permits related to the survey implementation, as well as survey team health and accident insurance, salary, taxes, and others as necessary. Through the course of obtaining ethical clearance, the survey firm should also identify and secure respondent compensation packages/gifts according to local custom.

MANAGEMENT AND IMPLEMENTATION ARRANGEMENT (REPORTING)

Bi-weekly progress reports of the numbers and IDs of PSUs/Clusters successfully completed. The Survey Firm should also budget for a two-three-day meeting for all supervisors, interviewers and data entry agents *to meet after fieldwork begins*. A good point in time is *2-3 weeks into fieldwork*. This meeting should allow the team to discuss any problems related to supervision, fieldwork organization, skip patterns, and CAPI issues for the progress report.

ESTIMATED LEVEL OF EFFORT

The level of effort required for these responsibilities is currently estimated at 2 – 3months.

DELIVERABLES AND PAYMENT SCHEDULES

| Outputs | Percentage | Timing |
|---|------------|---|
| Contract awarded and signing | 20% | Day 1 |
| Submission and acceptance of the inception report and pre-testing report | 20% | 10 days after contract signing |
| Submission and acceptance of the first draft report Presentation of the results of the baseline survey and validation by the National Evaluation Team | 20% | |
| Submission and acceptance of the Final report | 40% | 10 Days after Presentation of baseline survey results |

EVALUATION CRITERIA

Submission of the technical proposal and financial proposal will be required for this process. Technical proposals will be opened and compared prior to the financial proposal. The financial proposal will be opened only for submissions that passed the minimum technical score of 70% of the obtainable score of 1000 points in the evaluation of the technical proposals. The technical proposal is evaluated on the basis of its responsiveness to the Term of Reference.

The financial proposal of all bidders, who have attained a minimum 70% score in the technical evaluation will be compared. The short-listed bidding agencies may be asked for a presentation prior to the final selection if necessary. The contract will be awarded to the successful bidder following completion of all evaluations. The successful bidder will have to sign a contract to undertake the assignment.

ESTIMATED SCHEDULE

This consultancy is estimated to run from 1st July to 30th September 2020

MANAGEMENT AND LOGISTICAL SUPPORT

The consultant will report directly to the Project Manager, Zambia UNDP environment team lead, regional technical advisor and the Senior Economist - Principal Investigator - UNDP.

PAYMENT

The assignment will be remunerated upon delivery of the agreed outputs, at the agreed fee rate and the agreed number of days of professional fees chargeable, as per the normal procedures of the UNDP. Specifically requested among other financial proposal elements is to state the cost of unit per questionnaire administration in the financial proposal.

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:

| | |
|--|--------------------------|
| Have you duly completed all the Returnable Bidding Forms? | |
| ▪ Form A: Technical Proposal Submission Form | <input type="checkbox"/> |
| ▪ Form B: Bidder Information Form | <input type="checkbox"/> |
| ▪ Form C: Joint Venture/Consortium/ Association Information Form | <input type="checkbox"/> |
| ▪ Form D: Qualification Form | <input type="checkbox"/> |
| ▪ Form E: Format of Technical Proposal | <input type="checkbox"/> |
| ▪ Form H: Proposal Security Form | <input type="checkbox"/> |
| Have you provided the required documents to establish compliance with the evaluation criteria in Section 4? | <input type="checkbox"/> |

Financial Proposal:

Password protected

| | |
|--|--------------------------|
| ▪ Form F: Financial Proposal Submission Form | <input type="checkbox"/> |
| ▪ Form G: Financial Proposal Form | <input type="checkbox"/> |

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:

- a) 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;
- b) 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;
- c) have no conflict of interest in accordance with Instruction to Bidders Clause 4;
- d) 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);
- e) 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;
- f) 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: BIDDER INFORMATION 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? | <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UGNM vendor number] |
| Are you a UNDP vendor? | <input type="checkbox"/> Yes <input type="checkbox"/> 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: | <ul style="list-style-type: none"> ▪ Company Profile, which should <u>not</u> 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 ▪ Official Letter of Appointment as local representative, if Bidder is submitting a Bid in behalf of an entity located outside the country ▪ Power of Attorney |

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: QUALIFICATION FORM

| | | | |
|-----------------|-------------------------------|-------|-------------|
| 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

| <input type="checkbox"/> Contract non-performance did not occur for the last 3 years | | | |
|--|------------------------------------|---|---|
| <input type="checkbox"/> 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)

| <input type="checkbox"/> No litigation history for the last 3 years | | | |
|---|-----------------------------|---|---|
| <input type="checkbox"/> 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 |
| | <i>Information from Balance Sheet</i> | | |
| Total Assets (TA) | | | |
| Total Liabilities (TL) | | | |
| Current Assets (CA) | | | |
| Current Liabilities (CL) | | | |
| | <i>Information from Income Statement</i> | | |
| 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:

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

FORM E: FORMAT OF TECHNICAL 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

- 1.1 Brief description of the organization, including the year and country of incorporation, and types of activities undertaken.
- 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 (if so, provide details).
- 1.3 Relevance of specialized knowledge and experience on similar engagements done in the region/country.
- 1.4 Quality assurance procedures and risk mitigation measures.
- 1.5 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.

- 2.1 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.
- 2.2 The methodology shall also include details of the Bidder's internal technical and quality assurance review mechanisms.
- 2.3 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.
- 2.4 Description of available performance monitoring and evaluation mechanisms and tools; how they shall be adopted and used for a specific requirement.
- 2.5 Implementation plan including a Gantt Chart or Project Schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing.
- 2.6 Demonstrate how you plan to integrate sustainability measures in the execution of the contract.
- 2.7 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

- 3.1 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.
- 3.2 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 | <p><i>[PROVIDE DETAILS OF PROFESSIONAL CERTIFICATIONS RELEVANT TO THE SCOPE OF SERVICES]</i></p> <hr/> <ul style="list-style-type: none"> ▪ NAME OF INSTITUTION: [INSERT] ▪ DATE OF CERTIFICATION: [INSERT] |
| EMPLOYMENT RECORD/ EXPERIENCE | <p><i>[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.]</i></p> <hr/> <p>[INSERT]</p> |

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 PROPOSAL FORM

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

The Bidder is required to prepare the Financial Proposal following the below format and submit it in an envelope separate from the Technical Proposal as indicated in the Instruction to Bidders. Any Financial information provided in the Technical Proposal shall lead to Bidder's disqualification.

The Financial Proposal should align with the requirements in the Terms of Reference and the Bidder's Technical Proposal.

Currency of the proposal: [Insert Currency]

Table 1: Summary of Overall Prices

| | Amount(s) |
|---|-----------|
| Professional Fees (from Table 2) | |
| Other Costs (from Table 3) | |
| Total Amount of Financial Proposal | |

Table 2: Breakdown of Professional Fees and other costs

| Description of Activity | Unit of measure | Unit rate USD | Number of working days ^(*) | No. of Personnel | Total Amount USD |
|-----------------------------------|-----------------|---------------|---------------------------------------|------------------|------------------|
| I. Personnel Services | | | | | |
| 1. Project Manager | Day | | 20 | 1 | |
| 2. Field Manager | Day | | 32 | 1 | |
| 3. Data Manager | Day | | 30 | 1 | |
| 4. Supervisor | Day | | 20 | 4 | |
| 5. Interviewers | Day | | 20 | 24 | |
| | | | | | |
| II. Out of Pocket Expenses | | | | | |
| 1. Travel Costs | Lumpsum | | | | |
| 2. Daily Allowance | Lumpsum | | | | |
| 3. Communications | Lumpsum | | | | |
| 4. Others ⁽²⁾ | Lumpsum | | | | |
| | | | | | |
| III. Other Related Costs | | | | | |

| | | | | | |
|------------------------------|---------|--|--|--|--|
| 5. Reproduction/ translation | Lumpsum | | | | |
| 6. Training | Lumpsum | | | | |
| 7. Stationery | Lumpsum | | | | |
| 8. Equipment lease | | | | | |
| 9. Others (***) | Lumpsum | | | | |
| | | | | | |
| TOTAL | | | | | |

* Number of days worked during the period of engagement to execute this contract.

** Refer to TOR Section: Baseline Team Composition and required competencies

***Others should clearly indicate the full list of items that are part of the cost estimate while clearly

Table 3: Breakdown of Price per Deliverable

| Outputs | Percentage | Amount USD | Timing |
|---|-------------|------------|---|
| Contract awarded and signing | 20% | | Day 1 |
| Submission and acceptance of the inception report and pre-testing report | 20% | | 10 days after contract signing |
| Submission and acceptance of the first draft report Presentation of the results of the baseline survey and validation by the National Evaluation Team | 20% | | |
| Submission and acceptance of the Final report | 40% | | 10 Days after Presentation of baseline survey results |
| Total | 100% | | |

FORM H: FORM OF PROPOSAL SECURITY

**Proposal Security must be issued using the official letterhead of the Issuing Bank.
Except for indicated fields, no changes may be made on this template.**

To: UNDP

[Insert contact information as provided in Data Sheet]

WHEREAS [Name and address of Bidder] (hereinafter called "the Bidder") has submitted a Proposal to UNDP dated [Click here to enter a date](#) to execute Services [Insert Title of Services] (hereinafter called "the Proposal"):

AND WHEREAS it has been stipulated by you that the Bidder shall furnish you with a Bank Guarantee by a recognized bank for the sum specified therein as security in the event that the Bidder:

- a) Fails to sign the Contract after UNDP has awarded it;
- b) Withdraws its Proposal after the date of the opening of the Proposals;
- c) Fails to comply with UNDP's variation of requirement, as per RFP instructions; or
- d) Fails to furnish Performance Security, insurances, or other documents that UNDP may require as a condition to rendering the contract effective.

AND WHEREAS we have agreed to give the Bidder such this Bank Guarantee:

NOW THEREFORE we hereby affirm that we are the Guarantor and responsible to you, on behalf of the Bidder, up to a total of *[amount of guarantee] [in words and numbers]*, such sum being payable in the types and proportions of currencies in which the Price Proposal is payable, and we undertake to pay you, upon your first written demand and without cavil or argument, any sum or sums within the limits of *[amount of guarantee as aforesaid]* without your needing to prove or to show grounds or reasons for your demand for the sum specified therein.

This guarantee shall be valid up to 30 days after the final date of validity of bids.

SIGNATURE AND SEAL OF THE GUARANTOR BANK

Signature: _____

Name: _____

Title: _____

Date: _____

Name of Bank _____

Address _____

[Stamp with official stamp of the Bank]