



# **REQUEST FOR PROPOSALS**

**UNDP/RFP/013/2014**

**Support to Develop Risk Sensitive Land Use Plan (RSLUP)  
and  
Building Bye-laws of Kathmandu Valley.**



**United Nations Development Programme  
Comprehensive Disaster Risk Management Programme (CDRMP)  
Nepal**

August, 2014

## Section 1. Letter of Invitation

Kathmandu, Nepal  
August 6, 2014

### **Support to Develop Risk Sensitive Land Use Plan (RSLUP) and Building Bye-laws of Kathmandu Valley (UNDP/RFP/013/2014)**

Dear Sir/Madam,

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:

- Section 1 – This Letter of Invitation
- Section 2 – Instructions to Proposers (including Data Sheet)
- Section 3 – Terms of Reference
- Section 4 – Proposal Submission Form
- Section 5 – Documents Establishing the Eligibility and Qualifications of the Proposer
- Section 6 – Technical Proposal Form
- Section 7 – Financial Proposal Form
- Section 8 – Form for Proposal Security *[Not applicable]*
- Section 9 – Form for Performance Security *[Not applicable]*
- Section 10 – Form for Advanced Payment Guarantee *[Not applicable]*
- Section 11 – Contract for Professional Services, including General Terms and Conditions

Your offer, comprising of a Technical and Financial Proposal, in separate sealed envelopes, should be submitted in accordance with Section 2.

A pre-bid meeting will be held on **3:00PM on 12 August 2014** in the CDRMP Meeting Hall, Pulchowk, Lalitpur. All interested bidders or their representatives are highly encouraged to attend the pre-bid meeting.

You are kindly requested to submit an acknowledgment letter to UNDP to the following address:

**United Nations Development Programme**  
**Ref: UNDP/RFP/013/2014**  
**UN House, Pulchowk, Lalitpur, Nepal**  
Tel: 5523200, Fax: 977-1-5523991

The letter should be received by UNDP no later than **14 August 2014**. The same letter should advise whether your company intends to submit a Proposal. If that is not the case, UNDP would appreciate your indicating the reason, for our records.

If you have received this RFP through a direct invitation by UNDP, transferring this invitation to another firm requires your written notification to UNDP of such transfer and the name of the company to whom the invitation was forwarded.

Should you require further clarifications, kindly communicate with the contact person identified in the attached Data Sheet as the focal point for queries on this RFP.

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

Yours sincerely

A handwritten signature in black ink, appearing to read 'Deepak', with a long, sweeping horizontal line extending to the right.

Deepak Shrestha  
Procurement Analyst  
UNDP Nepal

## Section 2: Instruction to Proposers<sup>1</sup>

### Definitions

- a) *"Contract"* refers to the agreement that will be signed by and between the UNDP and the successful proposer, all the attached documents thereto, including the General Terms and Conditions (GTC) and the Appendices.
- b) *"Country"* refers to the country indicated in the Data Sheet.
- c) *"Data Sheet"* refers to such part of the Instructions to Proposers used to reflect conditions of the tendering process that are specific for the requirements of the RFP.
- d) *"Day"* refers to calendar day.
- e) *"Government"* refers to the Government of the country that will be receiving the services provided/rendered specified under the Contract.
- f) *"Instructions to Proposers"* (Section 2 of the RFP) refers to the complete set of documents that provides Proposers with all information needed and procedures to be followed in the course of preparing their Proposals
- g) *"LOI"* (Section 1 of the RFP) refers to the Letter of Invitation sent by UNDP to Proposers.
- h) *"Material Deviation"* refers to any contents or characteristics of the proposal that is significantly different from an essential aspect or requirement of the RFP, and : (i) substantially alters the scope and quality of the requirements; (ii) limits the rights of UNDP and/or the obligations of the offeror; and (iii) adversely impacts the fairness and principles of the procurement process, such as those that compromise the competitive position of other offerors.
- i) *"Proposal"* refers to the Proposer's response to the Request for Proposal, including the Proposal Submission Form, Technical and Financial Proposal and all other documentation attached thereto as required by the RFP.
- j) *"Proposer"* refers to any legal entity that may submit, or has submitted, a Proposal for the provision of services requested by UNDP through this RFP.
- k) *"RFP"* refers to the Request for Proposals consisting of instructions and references prepared by UNDP for purposes of selecting the best service provider to perform the services described in the Terms of Reference.
- l) *"Services"* refers to the entire scope of tasks and deliverables requested by UNDP under the RFP.
- m) *"Supplemental Information to the RFP"* refers to a written communication issued by UNDP to prospective Proposers containing clarifications, responses to queries received from prospective Proposers, or changes to be made in the RFP, at any time after the release of the RFP but before the

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<sup>1</sup> Note: this Section 2 - Instructions to Proposers shall not be modified in any way. Any necessary changes to address specific country and project information, shall be introduced only through the Data Sheet.



deadline for the submission of Proposals.

- n) *"Terms of Reference"* (TOR) refers to the document included in this RFP as Section 3 which describes the objectives, scope of services, activities, tasks to be performed, respective responsibilities of the proposer, expected results and deliverables and other data pertinent to the performance of the range of duties and services expected of the successful proposer.

## A. GENERAL

1. UNDP hereby solicits Proposals in response to this Request for Proposal (RFP). Proposers must strictly adhere to all the requirements of this RFP. No changes, substitutions or other alterations to the rules and provisions stipulated in this RFP may be made or assumed unless it is instructed or approved in writing by UNDP in the form of Supplemental Information to the RFP.
2. Submission of a Proposal shall be deemed as an acknowledgement by the Proposer that all obligations stipulated by this RFP will be met and, unless specified otherwise, the Proposer has read, understood and agreed to all the instructions in this RFP.
3. Any Proposal submitted will be regarded as an offer by the Proposer and does not constitute or imply the acceptance of any Proposal by UNDP. UNDP is under no obligation to award a contract to any Proposer as a result of this RFP.
4. UNDP implements a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical practices, and obstruction. UNDP is committed to preventing, identifying and addressing all acts of fraud and corrupt practices against UNDP as well as third parties involved in UNDP activities. (See [http://www.undp.org/about/transparencypdocs/UNDP\\_Anti\\_Fraud\\_Policy\\_English\\_FINAL\\_june\\_2011.pdf](http://www.undp.org/about/transparencypdocs/UNDP_Anti_Fraud_Policy_English_FINAL_june_2011.pdf) and [http://www.undp.org/content/undp/en/home/operations/procurement/procurement\\_protest/](http://www.undp.org/content/undp/en/home/operations/procurement/procurement_protest/) for full description of the policies)
5. In responding to this RFP, UNDP requires all Proposers to conduct themselves in a professional, objective and impartial manner, and they must at all times hold UNDP's interests paramount. Proposers must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. All Proposers found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Proposers, 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:
  - 5.1 Are or have been associated in the past, with a firm or any of its affiliates which have been engaged 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;
  - 5.2 Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or
  - 5.3 Are found to be in conflict for any other reason, as may be established by, or at the discretion of, UNDP.

In the event of any uncertainty in the interpretation of what is potentially a conflict of interest, proposers must disclose the condition to UNDP and seek UNDP's confirmation on whether or not such conflict exists.

6. Similarly, the Proposers must disclose in their proposal their knowledge of the following :
  - 6.1 That they are owners, part-owners, officers, directors, controlling shareholders, or they have key personnel who are family 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
  - 6.2 All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.

Failure of such disclosure may result in the rejection of the proposal or proposals affected by the non-disclosure.

7. The eligibility of Proposers 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 as an independent entity, the extent of Government ownership/share, receipt of subsidies, mandate, access to information in relation to this RFP, and others that may lead to undue advantage against other Proposers, and the eventual rejection of the Proposal.
8. All Proposers must adhere to the UNDP Supplier Code of Conduct, which may be found at this link: <http://web.ng.undp.org/procurement/undp-supplier-code-of-conduct.pdf>

## B. CONTENTS OF PROPOSAL

### 9. Sections of Proposal

Proposers are required to complete, sign and submit the following documents:

- 9.1 Proposal Submission Cover Letter Form (see RFP Section 4);
- 9.2 Documents Establishing the Eligibility and Qualifications of the Proposer (see RFP Section 5);
- 9.3 Technical Proposal (see prescribed form in RFP Section 6);
- 9.4 Financial Proposal (see prescribed form in RFP Section 7);
- 9.5 Proposal Security, if applicable (if required and as stated in the **Data Sheet** (DS nos. 9-11), see prescribed Form in RFP Section 8);
- 9.6 Any attachments and/or appendices to the Proposal.

### 10. Clarification of Proposal

- 10.1 Proposers may request clarifications of any of the RFP documents no later than the date indicated in the **Data Sheet** (DS no. 16) prior to the proposal submission date. Any request for clarification must be sent in writing via courier or through electronic means to the UNDP address indicated in the **Data Sheet** (DS no. 17). UNDP will respond in writing, transmitted by electronic means and will transmit copies of the response (including an explanation of the query but without identifying the source of inquiry) to all Proposers who have provided confirmation of their intention to submit a Proposal.
- 10.2 UNDP shall endeavor to provide such 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.

## 11. Amendment of Proposals

- 11.1 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 Proposer, modify the RFP in the form of a Supplemental Information to the RFP. All prospective Proposers will be notified in writing of all changes/amendments and additional instructions through Supplemental Information to the RFP and through the method specified in the **Data Sheet** (DS No. 18).
- 11.2 In order to afford prospective Proposers reasonable time to consider the amendments in preparing their Proposals, UNDP may, at its discretion, extend the deadline for submission of Proposals, if the nature of the amendment to the RFP justifies such an extension.

## C. PREPARATION OF PROPOSALS

### 12. Cost

The Proposer 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 in no case be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.

### 13. Language

The Proposal, as well as any and all related correspondence exchanged by the Proposer and UNDP, shall be written in the language (s) specified in the **Data Sheet** (DS No 4). Any printed literature furnished by the Proposer written in a language other than the language indicated in the **Data Sheet**, must be accompanied by a translation in the preferred language indicated in the **Data Sheet**. For purposes of interpretation of the Proposal, and in the event of discrepancy or inconsistency in meaning, the version translated into the preferred language shall govern. Upon conclusion of a contract, the language of the contract shall govern the relationship between the contractor and UNDP.

### 14. Proposal Submission Form

The Proposer shall submit the Proposal Submission Form using the form provided in Section 4 of this RFP.

### 15. Technical Proposal Format and Content

Unless otherwise stated in the **Data Sheet** (DS no. 28), the Proposer shall structure the Technical Proposal as follows:

- 15.1 Expertise of Firm/Organization – this section should provide details regarding management structure of the organization, organizational capability/resources, and experience of organization/firm, the list of projects/contracts (both completed and on-going, both domestic and international) which are related or similar in nature to the requirements of the RFP, and proof of financial stability and adequacy of resources to complete the services required by the RFP (see RFP clause 18 and DS No. 26 for further details). The same shall apply to any other entity participating in the RFP as a Joint Venture or Consortium.

- 15.2 Proposed Methodology, Approach and Implementation Plan – this section should demonstrate the Proposer’s response to the Terms of Reference by identifying the specific components proposed, how the requirements shall be addressed, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; identifying the works/portions of the work that will be subcontracted; and demonstrating how the proposed methodology meets or exceeds the specifications, while ensuring appropriateness of the approach to the local conditions and the rest of the project operating environment. This methodology must be laid out in an implementation timetable that is within the duration of the contract as specified in the **Data Sheet** (DS nos. 29 and 30).

Proposers must be fully aware that the products or services that UNDP requires may be transferred, immediately or eventually, by UNDP to the Government partners, or to an entity nominated by the latter, in accordance with UNDP’s policies and procedures. All proposers are therefore required to submit the following in their proposals :

- a) A statement of whether any import or export licences are required in respect of the goods to be purchased or services to be rendered, including any restrictions in the country of origin, use or dual use nature of the goods or services, including any disposition to end users; and
- b) Confirmation that the Proposer has obtained license of this nature in the past, and have an expectation of obtaining all the necessary licenses, should their Proposal be rendered the most responsive.

- 15.3 Management Structure and Key Personnel – This section should include the comprehensive curriculum vitae (CVs) of key personnel that will be assigned to support the implementation of the proposed methodology, clearly defining the roles and responsibilities vis-à-vis the proposed methodology. CVs should establish competence and demonstrate qualifications in areas relevant to the TOR.

In complying with this section, the Proposer assures and confirms to UNDP that the personnel being nominated are available for the Contract on the dates proposed. If any of the key personnel later becomes unavailable, except for unavoidable reasons such as death or medical incapacity, among other possibilities, UNDP reserves the right to consider the proposal non-responsive. Any deliberate substitution arising from unavoidable reasons, including delay in the implementation of the project of programme through no fault of the Proposer shall be made only with UNDP’s acceptance of the justification for substitution, and UNDP’s approval of the qualification of the replacement who shall be either of equal or superior credentials as the one being replaced.

- 15.4 Where the **Data Sheet** requires the submission of the Proposal Security, the Proposal Security shall be included along with the Technical Proposal. The Proposal Security may be forfeited by UNDP, and reject the Proposal, in the event of any or any combination of the following conditions:

- a) If the Proposer withdraws its offer during the period of the Proposal Validity specified in the **Data Sheet** (DS no. 11), or;
- b) If the Proposal Security amount is found to be less than what is required by UNDP as indicated in the **Data Sheet** (DS no. 9), or;
- c) In the case the successful Proposer fails:
  - i. to sign the Contract after UNDP has awarded it;
  - ii. to comply with UNDP’s variation of requirement, as per RFP clause 35; or

- iii. to furnish Performance Security, insurances, or other documents that UNDP may require as a condition to rendering the effectivity of the contract that may be awarded to the Proposer.

## 16. Financial Proposals

The Financial Proposal shall be prepared using the attached standard form (Section 7). It shall list all major cost components associated with the services, and the detailed breakdown of such costs. All outputs and activities described in the Technical Proposal must be priced separately on a one-to-one correspondence. 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.

## 17. Currencies

All prices shall be quoted in the currency indicated in the **Data Sheet** (DS no. 15). However, where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:

- 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
- b) In the event that the proposal found to be the most responsive to the RFP requirement is quoted in another currency different from the preferred currency as per **Data Sheet** (DS no. 15), then UNDP shall reserve the right to award the contract in the currency of UNDP's preference, using the conversion method specified above.

Proposals submitted by two (2) or more Proposers shall all be rejected if they are found to have any of the following :

- 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 Proposer 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 Proposer; or
- f) an expert proposed to be in the team of one Proposer participates in more than one Proposal received for this RFP process. This condition does not apply to subcontractors being included in more than one Proposal.

## 18. Documents Establishing the Eligibility and Qualifications of the Proposer

The Proposer shall furnish documentary evidence of its status as an eligible and qualified vendor, using the forms provided under Section 5, Proposer Information Forms. In order to award a contract to a Proposer, its qualifications must be documented to UNDP's satisfaction. These include, but are not limited to, the following:

- a) That, in the case of a Proposer offering to supply goods under the Contract which the Proposer did not manufacture or otherwise produce, the Proposer has been duly authorized by the goods' manufacturer or producer to supply the goods in the country of final destination;

- b) That the Proposer has the financial, technical, and production capability necessary to perform the Contract; and
- c) That, to the best of the Proposer's knowledge, it is not included in the UN 1267/1989 List or the UN Ineligibility List, nor in any and all of UNDP's list of suspended and removed vendors.

## 19. Joint Venture, Consortium or Association

If the Proposer is a group of legal entities that will form or have formed a joint venture, consortium or association at the time of the submission of 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 joint venture jointly and severally, and this shall be duly evidenced by a duly notarized Agreement among the legal entities, which shall be submitted along 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.

After the Proposal has been submitted to UNDP, the lead entity identified to represent the joint venture shall not be altered without the prior written consent of UNDP. Furthermore, neither the lead entity nor the member entities of the joint venture can:

- a) Submit another proposal, either in its own capacity; nor
- b) As a lead entity or a member entity for another joint venture submitting another Proposal.

The description of the organization of the joint venture/consortium/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 Joint Venture Agreement. All entities that comprise the joint venture shall be subject to the eligibility and qualification assessment by UNDP.

Where a joint venture is presenting its track record and experience in a similar undertaking as those required in the RFP, it should present such information in the following manner:

- a) Those that were undertaken together by the joint venture; and
- b) Those that were undertaken by the individual entities of the joint venture expected to be involved in the performance of the services defined in the RFP.

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 joint venture or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.

If a joint venture's Proposal is determined by UNDP as the most responsive Proposal that offers the best value for money, UNDP shall award the contract to the joint venture, in the name of its designated lead entity. The lead entity shall sign the contract for and on behalf of all other member entities.

## 20. Alternative Proposals

Unless otherwise specified in the **Data Sheet** (DS nos. 5 and 6), alternative proposals shall not be considered. 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.

## 21. Validity Period

Proposals shall remain valid for the period specified in the **Data Sheet** (DS no. 8), commencing on the submission deadline date also indicated in the **Data Sheet** (DS no. 21). A Proposal valid for a shorter period shall be immediately rejected by UNDP and rendered non-responsive.

In exceptional circumstances, prior to the expiration of the proposal validity period, UNDP may request Proposers 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.

## 22. Proposer's Conference

When appropriate, a proposer's conference will be conducted at the date, time and location specified in the **Data Sheet** (DS no. 7). All Proposers are encouraged to attend. Non-attendance, however, shall not result in disqualification of an interested Proposer. Minutes of the proposer's conference will be either posted on the UNDP website, or disseminated to the individual firms who have registered or expressed interest with the contract, whether or not they attended the conference. No verbal statement made during the conference shall modify the terms and conditions of the RFP unless such statement is specifically written in the Minutes of the Conference, or issued/posted as an amendment in the form of a Supplemental Information to the RFP.

# D. SUBMISSION AND OPENING OF PROPOSALS

## 23. Submission

- 23.1 The Financial Proposal and the Technical Proposal Envelopes MUST BE COMPLETELY SEPARATE and each of them must be submitted sealed individually and clearly marked on the outside as either "TECHNICAL PROPOSAL" or "FINANCIAL PROPOSAL", as appropriate. Each envelope MUST clearly indicate the name of the Proposer. The outer envelopes shall bear the address of UNDP as specified in the **Data Sheet** (DS no.20) and shall include the Proposer's name and address, as well as a warning that state "*not to be opened before the time and date for proposal opening*" as specified in the **Data Sheet** (DS no. 24). The Proposer shall assume the responsibility for the misplacement or premature opening of Proposals due to improper sealing and labeling by the Proposer.
- 23.2 Proposers must submit their Proposals in the manner specified in the **Data Sheet** (DS nos. 22 and 23). When the Proposals are expected to be in transit for more than 24 hours, the Proposer must ensure that sufficient lead time has been provided in order to comply with UNDP's deadline for submission. UNDP shall indicate for its record that the official date and time of receiving the Proposal is the actual date and time when the said Proposal has physically arrived at the UNDP premises indicated in the **Data Sheet** (DS no. 20).
- 23.3 Proposers submitting Proposals by mail or by hand shall enclose the original and each copy of the Proposal, in separate sealed envelopes, duly marking each of the envelopes as "Original Proposal" and "Copy of Proposal" as appropriate. The 2 envelopes shall then be sealed in an outer envelope. The number of copies required shall be as specified in the **Data Sheet** (DS No. 19). In the event of any discrepancy between the contents of the "Original Proposal" and the "Copy of Proposal", the contents of the original shall govern. The original version of the Proposal shall be signed or initialed by the Proposer or person(s) duly authorized to commit the Proposer on every page. The authorization shall be communicated through a document

evidencing such authorization issued by the highest official of the firm, or a Power of Attorney, accompanying the Proposal.

- 23.4 Proposers must be aware that the mere act of submission of a Proposal, in and of itself, implies that the Proposer accepts the General Contract Terms and Conditions of UNDP as attached hereto as Section 11.

## **24. Deadline for Submission of Proposals and Late Proposals**

Proposals must be received by UNDP at the address and no later than the date and time specified in the **Data Sheet** (DS nos. 20 and 21).

UNDP shall not consider any Proposal that arrives after the deadline for submission of Proposals. Any Proposal received by UNDP after the deadline for submission of Proposals shall be declared late, rejected, and returned unopened to the Proposer.

## **25. Withdrawal, Substitution, and Modification of Proposals**

- 25.1 Proposers are expected to have sole responsibility for taking steps to carefully examine in detail the full consistency of its Proposals to the requirements of the RFP, keeping in mind that material deficiencies in providing information requested by UNDP, or lack clarity in the description of services to be provided, may result in the rejection of the Proposal. The Proposer shall assume the responsibility regarding erroneous interpretations or conclusions made by the Proposer in the course of understanding the RFP out of the set of information furnished by UNDP.
- 25.2 A Proposer may withdraw, substitute or modify its Proposal after it has been submitted by sending a written notice in accordance with Clause 23.1, 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 must accompany the respective written notice. All notices must be received by UNDP prior to the deadline for submission and submitted in accordance with RFP Clause 23.1 (except that withdrawal notices do not require copies). The respective envelopes shall be clearly marked "WITHDRAWAL," "SUBSTITUTION," or "MODIFICATION".
- 25.3 Proposals requested to be withdrawn shall be returned unopened to the Proposers.
- 25.4 No Proposal may be withdrawn, substituted, or modified in the interval between the deadline for submission of Proposals and the expiration of the period of proposal validity specified by the Proposer on the Proposal Submission Form or any extension thereof.

## **26. Proposal Opening**

UNDP will open the Proposals in the presence of an ad-hoc committee formed by UNDP of at least two (2) members. If electronic submission is permitted, any specific electronic proposal opening procedures shall be as specified in the **Data Sheet** (DS no. 23).

The Proposers' names, modifications, withdrawals, the condition of the envelope labels/seals, the number of folders/files and all other such other details as UNDP may consider appropriate, will be announced at the opening. No Proposal shall be rejected at the opening stage, except for late submission, for which the Proposal shall be returned unopened to the Proposer.



## 27. Confidentiality

Information relating to the examination, evaluation, and comparison of Proposals, and the recommendation of contract award, shall not be disclosed to Proposers or any other persons not officially concerned with such process, even after publication of the contract award.

Any effort by a Proposer 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.

In the event that a Proposer is unsuccessful, the Proposer may seek a meeting with UNDP for a debriefing. The purpose of the debriefing is discussing the strengths and weaknesses of the Proposer's submission, in order to assist the Proposer in improving the proposals presented to UNDP. The content of other proposals and how they compare to the Proposer's submission shall not be discussed.

## E. EVALUATION OF PROPOSALS

### 28. Preliminary Examination of Proposals

UNDP shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, whether or not the Proposer is in the UN Security Council 1267/1989 Committee's list of terrorists and terrorist financiers, and in UNDP's list of suspended and removed vendors, and whether the Proposals are generally in order, among other indicators that may be used at this stage. UNDP may reject any Proposal at this stage.

### 29. Evaluation of Proposals

29.1 UNDP shall examine the Proposal to confirm that all terms and conditions under the UNDP General Terms and Conditions and Special Conditions have been accepted by the Proposer without any deviation or reservation.

29.2 The evaluation team shall review and evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and other documentation provided, applying the evaluation criteria, sub-criteria, and point system specified in the **Data Sheet** (DS no. 32). Each responsive Proposal will be given a technical score. A Proposal shall be rendered non-responsive at this stage if it does not substantially respond to the RFP particularly the demands of the Terms of Reference, which also means that it fails to achieve the minimum technical score indicated in the **Data Sheet** (DS no. 25). Absolutely no changes may be made by UNDP in the criteria, sub-criteria and point system indicated in the **Data Sheet** (DS no. 32) after all Proposals have been received.

29.3 In the second stage, only the Financial Proposals of those Proposers who achieve the minimum technical score will be opened for evaluation for comparison and review. The Financial Proposal Envelopes corresponding to Proposals that did not meet the minimum passing technical score shall be returned to the Proposer unopened. The overall evaluation score will be based either on a combination of the technical score and the financial offer, or the lowest evaluated financial proposal of the technically qualified Proposers. The evaluation method that applies for this RFP shall be as indicated in the **Data Sheet** (DS No. 25).

When the Data Sheet specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:

Rating the Technical Proposal (TP):

**TP Rating** = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100

Rating the Financial Proposal (FP):

**FP Rating** = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100

Total Combined Score:

$$\frac{(\text{TP Rating}) \times (\text{Weight of TP, e.g. 70\%}) + (\text{FP Rating}) \times (\text{Weight of FP, e.g., 30\%})}{\text{Total Combined and Final Rating of the Proposal}}$$

29.4 UNDP reserves the right to undertake a post-qualification exercise aimed at determining, to its satisfaction the validity of the information provided by the Proposer. Such post-qualification shall be fully documented and, among those that may be listed in the **Data Sheet** (DS No.33), may include, but need not be limited to, all or any combination of the following :

- a) Verification of accuracy, correctness and authenticity of information provided by the Proposer on the legal, technical and financial documents submitted;
- 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 Proposer, or any other entity that may have done business with the Proposer;
- d) Inquiry and reference checking with other previous clients on the quality of performance on ongoing or previous contracts completed;
- e) Physical inspection of the Proposer's offices, branches or other places where business transpires, with or without notice to the Proposer;
- f) Quality assessment of ongoing and completed outputs, works and activities similar to the requirements of UNDP, where available; and
- g) Other means that UNDP may deem appropriate, at any stage within the selection process, prior to awarding the contract.

### 30. Clarification of Proposals

To assist in the examination, evaluation and comparison of Proposals, UNDP may, at its discretion, ask any Proposer for a clarification of its Proposal.

UNDP's request for clarification and the response shall be in writing. Notwithstanding the written communication, 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 Clause 32.

Any unsolicited clarification submitted by a Proposer 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.

### **31. Responsiveness of Proposal**

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.

If a Proposal is not substantially responsive, it shall be rejected by UNDP and may not subsequently be made responsive by the Proposer by correction of the material deviation, reservation, or omission.

### **32. Nonconformities, Reparable Errors and Omissions**

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.

Provided that a Proposal is substantially responsive, UNDP may request the Proposer 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 Proposer to comply with the request may result in the rejection of its Proposal.

Provided that the Proposal is substantially responsive, UNDP shall correct arithmetical errors as follows:

- 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 subject to the above.

If the Proposer does not accept the correction of errors made by UNDP, its Proposal shall be rejected.

## **F. AWARD OF CONTRACT**

### **33. Right to Accept, Reject, or Render Non-Responsive Any or All Proposals**

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 Proposer(s) of the grounds for UNDP's action. Furthermore, UNDP shall not be obliged to award the contract to the lowest price offer.

UNDP shall also verify, and immediately reject their respective Proposal, if the Proposers are found to appear in the UN's Consolidated List of Individuals and Entities with Association to Terrorist Organizations, in the List of Vendors Suspended or Removed from the UN Secretariat Procurement Division Vendor Roster, the UN Ineligibility List, and other such lists that as may be established or recognized by UNDP policy on Vendor Sanctions. (See [http://www.undp.org/content/undp/en/home/operations/procurement/procurement\\_protest/](http://www.undp.org/content/undp/en/home/operations/procurement/procurement_protest/) for details)

#### **34. Award Criteria**

Prior to expiration of the period of proposal validity, UNDP shall award the contract to the qualified Proposer with the highest total score based on the evaluation method indicated in the **Data Sheet** (DS nos. 25 and 32).

#### **35. Right to Vary Requirements at the Time of Award**

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.

#### **36. Contract Signature**

Within fifteen (15) days from the date of receipt of the Contract, the successful Proposer shall sign and date the Contract and return it to UNDP.

Failure of the successful Proposer to comply with the requirement of RFP Clause 35 and this provision shall 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 Proposer with the second highest rated Proposal, or call for new Proposals.

#### **37. Performance Security**

A performance security, if required, shall be provided in the amount and form provided in Section 9 and by the deadline indicated in the **Data Sheet** (DS no. 14), as applicable. Where a Performance Security will be required, the submission of the said document, and the confirmation of its acceptance by UNDP, shall be a condition for the effectivity of the Contract that will be signed by and between the successful Proposer and UNDP.

#### **38. Bank Guarantee for Advanced Payment**

Except when the interests of UNDP so require, it is the UNDP's preference to make no advanced payment(s) on contracts (i.e., payments without having received any outputs). In the event that the Proposer requires an advanced payment upon contract signature, and if such request is duly accepted by UNDP, and the said advanced payment exceeds 20% of the total proposal price, or exceed the amount of USD 30,000, UNDP shall require the Proposer to submit a Bank Guarantee in the same amount as the advanced payment. A bank guarantee for advanced payment shall be furnished in the form provided in Section 10.

#### **39. Vendor Protest**

UNDP's vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a purchase order or contract through a competitive procurement process. In the event that a Proposer believes that it was not treated fairly, the following link provides further details regarding UNDP vendor protest procedures:

<http://www.undp.org/procurement/protest.shtml>

## Instructions to Proposers

### DATA SHEET

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

DS No. <sup>2</sup>	Cross Ref. to Instruc-tions	Data	Specific Instructions / Requirements
1		Project Title :	<b>Comprehensive Disaster Risk Management Programme (CDRMP)</b>
2		Title of Services/Work:	<b>Support to Develop of Risk Sensitive Land Use Plan (RSLUP) and Building Bye-laws of Kathmandu Valley (UNDP/RFP/013/2014)</b>
3		Country / Region of Work Location:	<b>Kathmandu Valley including Five Municipalities and all VDCs</b>
4	C.13	Language of the Proposal:	<input checked="" type="checkbox"/> <b>English</b> <input type="checkbox"/> French <input type="checkbox"/> Spanish <input type="checkbox"/> Others (pls. specify) _____
5	C.20	Conditions for Submitting Proposals for Parts or sub-parts of the TOR	<input type="checkbox"/> Allowed <i>[if yes, describe how, and ensure that requirements properly define the sub-parts]</i> <input checked="" type="checkbox"/> <b>Not allowed</b>
6	C.20	Conditions for Submitting Alternative Proposals	<input checked="" type="checkbox"/> <b>Shall not be considered</b>  <input type="checkbox"/> Shall be considered. A proposer may submit an alternative proposal, but only if it also submits a proposal that meets the base case. UNDP shall only consider the alternative proposals offered by the Proposer whose proposal for the base case was determined to be the proposal with the highest evaluated score.

<sup>2</sup> All DS number entries in the Data Sheet are cited as reference in the Instructions to Proposers. All DS nos. corresponding to a Data must not be modified. Only information on the 3<sup>rd</sup> column may be modified by the user. If the information does not apply, the 3<sup>rd</sup> column must state "N/A" but must not be deleted.

7	C.22	A pre-proposal conference will be held on:	<b>Time: 1500 Hrs National Standard Time (NST)</b> <b>Date: 12 August 2014</b> <b>Venue: UN House, Pulchowk, Lalitpur</b>  <b>The UNDP focal point for the arrangement is:</b> <b>Rajendra Lakhe</b> <b>Procurement Associate, UNDP Nepal</b>
8	C.21	Period of Proposal Validity commencing on the submission date	<input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input checked="" type="checkbox"/> <b>120 days</b>
9	B.9.5 C.15.4 b)	Proposal Security	<input type="checkbox"/> Required Amount: Click here to enter text. Form: Click here to enter text. <input checked="" type="checkbox"/> <b>Not Required</b>
10	B.9.5	Acceptable forms of Proposal Security <sup>3</sup>	<input type="checkbox"/> Bank Guarantee (See Section 8 for template) <input type="checkbox"/> Any Bank-issued Check / Cashier's Check / Certified Check <input type="checkbox"/> Other negotiable instrument <input type="checkbox"/> Cash (exceptionally, if none of the other forms are feasible) <input type="checkbox"/> Others [pls. specify]
11	B.9.5 C.15.4 a)	Validity of Proposal Security	<b>120 days from the last day of Proposal submission.</b>  <b>Proposal Security of unsuccessful Proposers shall be returned.</b>
12		Advanced Payment upon signing of contract	<input type="checkbox"/> Allowed up to a maximum of ____% of contract <sup>4</sup> <input checked="" type="checkbox"/> <b>Not allowed</b>
13		Liquidated Damages	<input type="checkbox"/> Will not be imposed <input type="checkbox"/> Will be imposed under the following conditions : Percentage of contract price per day of delay : _____ Max. no. of days of delay : _____ After which UNDP may terminate the contract.
14	F.37	Performance Security	<input type="checkbox"/> Required Amount : _____ Form: _____

<sup>3</sup> Surety bonds or other instruments issued by non-bank Financial Institutions are least preferred by UNDP. Unless stated otherwise, they shall be considered unacceptable to UNDP.

<sup>4</sup> If the advanced payment that the Bidder will submit will exceed 20% of the Price Offer, or will exceed the amount of USD 30,000, the Bidder must submit an Advanced Payment Security in the same amount as the advanced payment, using the form and contents of the document in Section 10

			<input checked="" type="checkbox"/> <b>Not Required</b>
15	C.17, C.17 b)	Preferred Currency of Proposal and Method for Currency conversion	<input checked="" type="checkbox"/> <b>United States Dollars (US\$)</b> <input type="checkbox"/> Euro <input checked="" type="checkbox"/> <b>Local Currency</b>  <b>Reference date for determining UN Operational Exchange Rate : UN Exchange rate USD1=NPR95.65 - August 2014</b>
16	B.10.1	Deadline for submitting requests for clarifications/ questions	<b>1100 hours (Nepal Standard Time) on 12 August 2014</b>
17	B.10.1	Contact Details for submitting clarifications/questions <sup>5</sup>	<b>Focal Person in UNDP: UNDP/RFP/013/2014</b> <b>Procurement Unit (RKL/UG)</b> Address: <b>UN House, Pulchowk, Lalitpur, Nepal</b>  <b>Facsimile:</b> <b>Fax No. :977-01-5523986</b> <b>E-mail address dedicated for this purpose:</b> <b>registry.np@undp.org</b>
18	B.11.1	Manner of Disseminating Supplemental Information to the RFP and responses/clarifications to queries	<input type="checkbox"/> Direct communication to prospective Proposers by email or fax <input checked="" type="checkbox"/> <b>Direct communication to prospective Proposers by email or fax, and Posting on the website<sup>6</sup></b> <b>www.np.undp.org</b>
19	D.23.3	No. of copies of Proposal that must be submitted [if transmitted by courier]	<b>Original : 1</b> <b>Copies : 1</b>
20	D.23.1 D.23.2 D.24	Proposal Submission Address	<b>UNDP/RFP/013/2014</b> <b>UNDP Registry</b> <b>United Nations Development Programme</b> <b>UN House, Pulchowk</b> <b>Lalitpur, Nepal</b>
21	C.21 D.24	Deadline of Submission	<b>Date and Time : 27 August 2014 1500 Hrs. (Nepal Standard Time)</b> Click here to enter date and time. <i>[Pls. use COB of chosen date]</i>

<sup>5</sup> This contact person and address is officially designated by UNDP. If inquiries are sent to other person/s or address/es, even if they are UNDP staff, UNDP shall have no obligation to respond nor can UNDP confirm that the query was officially received.

<sup>6</sup> Posting on the website shall be supplemented by directly transmitting the communication to the prospective offerors.



22	D.23.2	Allowable Manner of Submitting Proposals	<input checked="" type="checkbox"/> <b>Courier/Hand Delivery</b> <input type="checkbox"/> Electronic submission of Bid <sup>7</sup>
23	D.23.2 D.26	Conditions and Procedures for electronic submission and opening, if allowed	<input type="checkbox"/> Official Address for e-submission: <i>[specify]</i> <input type="checkbox"/> Free from virus and corrupted files <input type="checkbox"/> Format : PDF files only, password protected <input type="checkbox"/> Password <u>must</u> not be provided to UNDP until the date and time of Bid Opening as indicated in No. 24 <input type="checkbox"/> Max. File Size per transmission: <i>[specify]</i> <input type="checkbox"/> Max. No. of transmission : <i>[specify]</i> <input type="checkbox"/> No. of copies to be transmitted : <i>[specify]</i> <input type="checkbox"/> Mandatory subject of email : <i>[specify]</i> <input type="checkbox"/> Virus Scanning Software to be Used prior to transmission: <i>[specify]</i> <input type="checkbox"/> Digital Certification/Signature: <i>[specify]</i> <input type="checkbox"/> Time Zone to be Recognized: <i>[specify]</i> <input type="checkbox"/> Other conditions: <i>[pls. specify]</i>
24	D.23.1	Date, time and venue for opening of Proposals	Date and Time: Venue :
25	E.29.2 E.29.3 F.34	Evaluation method to be used in selecting the most responsive Proposal	<input type="checkbox"/> Lowest financial offer of technically qualified Proposals <input checked="" type="checkbox"/> <b>Combined Scoring Method, using the 70%-30% distribution for technical and financial proposals, respectively</b> <input type="checkbox"/> Combined Scoring Method, using 60%-40% distribution for technical and financial proposals, respectively
26	C.15.1	Required Documents that must be Submitted to Establish Qualification of Proposers (In "Certified True Copy" form only)	<input checked="" type="checkbox"/> <b>Company Profile, which should <u>not</u> exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured</b> <input type="checkbox"/> Members of the Governing Board and their Designations duly certified by the Corporate Secretary, or its equivalent document if Bidder is not a corporation <input type="checkbox"/> List of Shareholders and Other Entities Financially Interested in the Firm owning 5% or more of the stocks and other interests, or its equivalent if Bidder is not a corporation <input checked="" type="checkbox"/> <b>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</b>

<sup>7</sup> If this will be allowed, security features (e.g., encryption, authentication, digital signatures, etc.) are strictly required and must be enforced to ensure confidentiality and integrity of contents.

			<input type="checkbox"/> Certificate of Registration of the business, including Articles of Incorporation, or equivalent document if Bidder is not a corporation <input type="checkbox"/> Trade name registration papers, if applicable <input type="checkbox"/> Local Government permit to locate and operate in the current location of office or factory <input checked="" type="checkbox"/> <b>Official Letter of Appointment as local representative, if Bidder is submitting a Bid in behalf of an entity located outside the country</b> <input type="checkbox"/> Quality Certificate (e.g., ISO, etc.) and/or other similar certificates, accreditations, awards and citations received by the Bidder, if any <input type="checkbox"/> Environmental Compliance Certificates, Accreditations, Markings/Labels, and other evidences of the Bidder's practices which contributes to the ecological sustainability and reduction of adverse environmental impact (e.g., use of non-toxic substances, recycled raw materials, energy-efficient equipment, reduced carbon emission, etc.), either in its business practices or in the goods it manufactures <input type="checkbox"/> Patent Registration Certificates, if any of technologies submitted in the Bid is patented by the Bidder <input type="checkbox"/> Plan and details of manufacturing capacity, if Bidder is a manufacturer of the goods to be supplied <input type="checkbox"/> Certification or authorization to act as Agent in behalf of the Manufacturer, or Power of Attorney, if bidder is not a manufacturer <input checked="" type="checkbox"/> <b>Latest Audited Financial Statement (Income Statement and Balance Sheet) including Auditor's Report for the past 2 years.</b> <input checked="" type="checkbox"/> <b>Statement of Satisfactory Performance from the Top 3 (Three) Clients in terms of Contract Value the past 3 (three) years</b> <input type="checkbox"/> List of Bank References (Name of Bank, Location, Contact Person and Contact Details) <input checked="" type="checkbox"/> <b>All information regarding any past and current litigation during the last five (5) years, in which the bidder is involved, indicating the parties concerned, the subject of the litigation, the amounts involved, and the final resolution if already concluded.</b>
27		Other documents that may be Submitted to Establish Eligibility	<b>CVs of Original Signature as per the ToR:</b> <ul style="list-style-type: none"> <li>• <b>Team Leader</b></li> <li>• <b>Senior Urban Planner</b></li> <li>• <b>Senior Structural Engineer</b></li> <li>• <b>Senior GIS Expert</b></li> <li>• <b>Senior Urban Environment expert</b></li> <li>• <b>Senior Infrastructure Engineer</b></li> <li>• <b>Senior Socio economist</b></li> <li>• <b>Junior Experts</b></li> </ul>

28	C.15	Structure of the Technical Proposal (only if different from the provision of Section 12)	
29	C.15.2	Latest Expected date for commencement of Contract	<b>Last week of September 2014</b>
30	C.15.2	Expected duration of contract (Target Commencement Date and Completion Date)	<b>1 year</b>
31		UNDP will award the contract to:	<input checked="" type="checkbox"/> <b>One Proposer only</b> <input type="checkbox"/> One or more Proposers, depending on the following factors : <i>[clarify fully how and why will this be achieved. Please do not choose this option without indicating the parameters for awarding to multiple Proposers]</i>
32	E.29.2 F.34	Criteria for the Award of Contract and Evaluation of Proposals	<b>(See Tables below)</b> <b><i>Important Note: The points indicated below are only suggested distribution, but may be modified based on the nature and demands of the TOR. However, ABSOLUTELY NO CHANGES on this table may be made by UNDP after Proposal Envelopes have been received, most specially after the envelopes have been opened.</i></b>
33	E.29.4	Post-Qualification Actions	<input type="checkbox"/> Verification of accuracy, correctness and authenticity of the information provided by the bidder on the legal, technical and financial documents submitted; <input type="checkbox"/> Validation of extent of compliance to the ITB requirements and evaluation criteria based on what has so far been found by the evaluation team; <input type="checkbox"/> Inquiry and reference checking with Government entities with jurisdiction on the bidder, or any other entity that may have done business with the bidder; <input type="checkbox"/> Inquiry and reference checking with other previous clients on the quality of performance on ongoing or previous contracts completed; <input type="checkbox"/> Physical inspection of the bidder's plant, factory, branches or other places where business transpires, with or without notice to the bidder; <input type="checkbox"/> Testing and sampling of completed goods similar to the requirements of UNDP, where available; and

			<input type="checkbox"/> Others
34		Conditions for Determining Contract Effectivity	<input type="checkbox"/> UNDP's receipt of Performance Bond <input type="checkbox"/> UNDP's receipt of Professional Indemnity Insurance <input checked="" type="checkbox"/> <b>Others upon signing the contract</b>
35		Other Information Related to the RFP <sup>8</sup>	<b><i>Documents listed in DS 26 above are "Mandatory Documents" to be submitted in the technical proposal for preliminary evaluation. Proposals received without these mandatory documents will not be considered for further evaluation.</i></b>

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<sup>8</sup> Where the information is available in the web, a URL for the information may simply be provided.

Summary of Technical Proposal Evaluation Forms		Score Weight	Points Obtainable
1.	Expertise of Firm / Organization	20%	200
2.	Proposed Methodology, Approach and Implementation Plan	55%	550
3.	Management Structure and Key Personnel	25%	250
<b>Total</b>			<b>1000</b>

<b>I. Expertise of firm / organisation submitting proposal (Points obtainable 200 Points)</b>	
1.1 Reputation of Organisation and Staff (Competence / Reliability)	30
1.2 Litigation and Arbitration history	10
1.3 General Organisational Capability which is likely to affect implementation (i.e. loose consortium, holding company or one firm, size of the firm / organisation, strength of project management support e.g. project financing capacity and project management controls)	25
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.	10
1.5 Quality assurance procedures, warranty	25
<b>Subtotal (1.1 to 1.5)</b>	<b>100</b>
1.6 Relevance of: <b>(Points - 100)</b>	
- Specialised Knowledge	
- Experience on Similar Programme / Projects	
- Experience on Projects in the Region	
- Work for UNDP/ major multilateral/ or bilateral programmes	
<b>Sub Total for 1.6</b>	<b>100</b>
<b>Total for Expertise of firm / organisation submitting proposal (I)</b>	<b>200</b>
<b>II. Proposed Work Plan and Approach (Points obtainable 550 Points)</b>	
2.1 To what degree does the Offeror understand the task?	80
2.2 Have the important aspects of the task been addressed in sufficient detail?	50
2.3 Are the different components of the project adequately weighted relative to one another?	40
2.4 Is there evidence that the proposal been prepared based on an in-depth understanding and prior knowledge of the project environment?	50
2.5 Is the conceptual framework adopted appropriate for the task?	80
2.6 Is the scope of task well defined and does it correspond to the TOR?	144

2.7 Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	106
<b>Total for Proposed Work Plan and Approach (II)</b>	<b>550</b>
<b>III. Personnel (Points obtainable 250 Points)</b>	
3.1 Team Leader	
Academic Qualification	10
Professional Experience in the area of specialisation	20
Knowledge of the region	10
Language Qualifications	10
<b>Sub Total for Team Leader</b>	<b>50</b>
3.2 Senior Urban Planner	
Academic Qualification	10
Professional experience in the area of specialisation	20
Knowledge of the region	10
Language Qualifications	5
<b>Sub Total for Senior Urban Planner</b>	<b>45</b>
3.3 Senior Structural /Earthquake Engineer	
Academic Qualification	10
Professional Experience in the area of specialisation	10
Knowledge of the region	7
Language Qualifications	3
<b>Sub Total for Senior Structural / earthquake engineer</b>	<b>30</b>
3.4 Senior GIS Expert	
Academic Qualification	10
Professional Experience in the area of specialisation	10
Knowledge of the region	7
Language Qualifications	3
<b>Sub Total for Senior GIS Expert</b>	<b>30</b>
3.5 Senior Urban Environment Expert	
Academic Qualification	7
Professional Experience in the area of specialisation	10
Knowledge of the region	5
Language Qualifications	3
<b>Sub Total for Senior Urban Environment Expert</b>	<b>25</b>
3.6 Senior Urban Infrastructure Engineer	
Academic Qualification	7
Professional Experience in the area of specialisation	10
Knowledge of the region	5
Language Qualifications	3
<b>Sub Total for Senior urban Infrastructure Experts</b>	<b>25</b>

3.7 Senior Socio-economist	
Academic Qualification	7
Professional Experience in the area of specialisation	10
Knowledge of the region	5
Language Qualifications	3
<b>Sub Total for Senior Socio - Economist</b>	<b>25</b>
3.8 Junior Experts	
General Qualification	
Academic Qualification	5
Professional Experience in the area of specialisation	10
Knowledge of the region	3
Language Qualification	2
<b>Sub Total for Researchers</b>	<b>20</b>
<b>Total for Personnel (III)</b>	<b>250</b>
<b>Grand Total (A+B+C)</b>	<b>1000</b>

## Section 3: Terms of Reference (TOR)<sup>9</sup>

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**United Nations Development Programme  
Comprehensive Disaster Risk Management Programme  
Terms of Reference (TOR)  
For**

**Support to develop Risk Sensitive Land Use Plan and Building Bye Laws of Kathmandu Valley**

**Duty Station :** Kathmandu  
**Duration :** Twelve (12) Months  
**Contract Modality:** Contractual Services, Companies;

### **1. Background:**

The Comprehensive Disaster Risk Management Programme (CDRMP) has been formulated as part of the Strategic Partnership Framework signed between the BCPR and UNDP and to support Nepal Risk Reduction Consortium. The programme is being implemented under the guidance of Ministry of Home Affairs and has collaborated with other ministries such as Ministry of Urban Development, Ministry of Federal Affairs and Local Development, and National Planning Commission of Nepal to support strengthening institutional and legislative aspects of DRM, mainstreaming DRR into development, climate risk management (CRM), community-based disaster risk management, emergency preparedness and response (EPR) and addressing seismic vulnerabilities and risk sensitive land use planning. The programme has given emphasis on gender and social inclusion issues while implementing the programme and promoting DRM-based knowledge. The programme has built partnerships with several agencies, for example, the government, NGOs, international agencies, and academic and research institutions to learn lessons from experiences and promote institutional knowledge base on DRM.

In order to provide required substantive technical support to partner agencies to help achieve the desired results, the CDRMP has envisaged recruiting institutional professional services in number of areas of DRM work in Nepal.

One key broad area of support includes:

**Support to Develop Risk Sensitive Land Use Plan and Building Bye Laws of Kathmandu Valley**

### **2. Context:**

Kathmandu Valley comprises three districts: Kathmandu, Lalitpur, and Bhaktapur, together which covers an area of 899 square kilometers, whereas the area of the Valley itself is 722 square kilometers. The Valley encloses the entire area of Bhaktapur district, 85% of Kathmandu district and 50% of Lalitpur district.

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<sup>9</sup> This document serves as a guide to Requestor on how to write the TOR for the RFP, by suggesting contents. This document is not to be shared with Proposers in this current state and form. The TOR actually written by the Requestor shall be the TOR that will be attached to this part of the RFP.



Kathmandu Valley (KV) includes five municipalities: Kathmandu, Lalitpur, Bhaktapur, Kirtipur, and Thimi and 99 Village Development Committees (VDCs). Kathmandu Metropolitan City (KMC) is the largest city in Nepal and the cosmopolitan heart of the Himalayan region. With a history and culture dating back 2,000 years, the city along with the other towns in the Valley ranks among one of the oldest human settlements in central Himalaya. Kathmandu is characterized by a very rich diversity of physical and intangible heritage. The seven monument zones<sup>10</sup>, designated as World Heritage Sites, are located in Kathmandu valley. Kathmandu - the largest urban settlement in the valley, comprising 40 percent of the valley's population - has recorded a population growth rate of over 4 percent since the late 1970s<sup>11</sup>. Two relatively newly designated towns Kirtipur and Madhyapur Thimi Municipalities have experienced even higher population growth than Kathmandu during 2001-11. Furthermore, the population in the neighboring VDCs that have been termed as Urbanizing VDCs, had the growth over 5% which has contributed to the massive change of land use from agriculture to residential or commercial. On one hand, the old Kathmandu<sup>12</sup> corresponds to the current city core, encompassing a compact settlement having a number of temple squares and narrow streets, on the other hand, the urban extensions continue to become urban sprawl with the development of Trail Cities<sup>13</sup>. In the past 12 years, the agricultural land in the valley depleted at the rate of 434 ha each year and the total stock of agricultural land reduced to 47% from 58% in 1990. If the same rate continues, the agricultural land in the valley will become extinct by the year 2050<sup>14</sup>.

In the past several years, there has been a growing concern over the increased vulnerability of Kathmandu valley to multi – hazard risks, particularly earthquakes whereby Kathmandu is cited as the most at-risk city in the world. The impacts of hazard event are escalating not only due to the increased incidence and intensity of events, but also because of changes in the underlying factors that influence exposure and vulnerability. Urban vulnerability is largely a consequence of improper urban management, inadequate land use planning, ill-regulated population density, poor construction practices, ecological imbalance, infrastructure dependency and inadequate provision for open spaces<sup>15</sup>. The number of buildings, including high rise apartments, housing and institutional buildings based on the mapping in 2012 is estimated to be 353,630 with the ground coverage of 36 sq. km<sup>16</sup>. Of which, about 45% of the buildings are located within five municipalities of the valley, followed by the urbanizing VDCs with 34%. An earlier study in 2002 by JICA has shown that the probabilistic risk scenarios of valley with respect to earthquake risks are quite alarming. The study finds that in case of a scenario earthquake in valley about 40 % of building stocks will be destroyed and 80% of deaths will result due to collapse of buildings.

The situation has further been exacerbated by the fact that no risk reduction and remedial measure

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<sup>10</sup> *The Durbar squares of Kathmandu, Patan and Bhaktapur, the hindu temples of Pashupati and Changu Narayan, the Buddhist stupa complexes of Swoyambhu and Baudhhanath*

<sup>11</sup> *Urban Growth and Spatial Transition in Nepal, Elisa Muzzini and Gabriela Aparicio, The World Bank, 2013*

<sup>12</sup> *Including the other four contiguous cities; Lalitpur, Bhaktapur, Madhyapur Thimi and Kirtipur*

<sup>13</sup> *Trail Cities refer to the evolution of the city having the road networks developed from the traditional agricultural trail; resulting several consequences to the infrastructural provisions, urban mobility, utilization of land and open spaces, urban management and overall economy.*

<sup>14</sup> *Urban Growth and Multi Hazard Assessment in Kathmandu Valley, UNDP CDRMP, 2013*

<sup>15</sup> *Urban Growth and Multi Hazard Assessment in Kathmandu Valley, UNDP CDRMP, 2013*

<sup>16</sup> *Urban Growth and Multi Hazard Assessment in Kathmandu Valley 2013, UNDP CDRMP, 2013*

have been taken up so far. Therefore, the risk is on the rise. The trend of increasing vulnerability is occurring at a rapid pace. The past study shows that 90% of the buildings in Kathmandu valley are owner built without stringent quality control; contributing to increased vulnerability. The building by-laws are being enforced in the municipalities and urbanizing VDCs, but its effectiveness has always been questioned taking in view of the uncontrolled building construction and urban sprawl. The recent trend of constructing high rise buildings, apartment complexes and commercial multiplexes is throwing new challenges to the authorities. They may have been designed and built according to the National Building Code or International Codes, but locations of these buildings, especially those in the river side, are vulnerable to liquefaction in case of seismicity or sub-surface changes. Despite an adequate knowledge about the vulnerability situation of KV, there has been no significant progress in planning and implementation of risk reduction measures in order to address the issues.

Risk Sensitive Land Use Planning (RSLUP) is a strategic approach with essential risk reduction strategies inbuilt into tools such as spatial planning, infrastructure planning, education, preparedness and response to come up with sustainable and resilient land use plan. RSLUP, in general, addresses the concerns of spatial planning pertaining to the disaster and its consequences and its implementation largely contributes to mitigating urban risks and reducing vulnerabilities. However, only identifying RSLUP as a key tool to urban risk reduction of KV is not sufficient as it has to undergo a continuous methodological and legitimate process of adopting the tool into actual planning and implementation of KV's urban development plan. For this it has to be integrated with the on-going urban planning process while engaging with the wider stakeholders of the KV.

### **3. Rationale/ Justification:**

In 2011, UNDP /CDRMP supported Kathmandu Metropolitan City (KMC) to validate KMC RSLUP which was prepared in 2008. During the process of validation, it was realized that the plan of KMC in isolation would not be of much worth considering cohesiveness and interdependence of other cities and VDCs in the KV which requires treating the entire valley as one geographical area. Further, the KMC RSLUP was based on the risk assessment study prepared by JICA in 2002. The stakeholders suggested to have the risk assessment database updated and to carry out a comprehensive RSLUP of the entire valley. Accordingly, in 2012/ 13, UNDP/ CDRMP supported Kathmandu Valley Development Authority (KVDA) in conducting a study on urban growth trend and land use pattern in Kathmandu valley. It has produced a set of comprehensive information on existing urbanization and land use trends; multi-hazard risk; future projections for 2020 and 2030 under existing scenario (BAU<sup>17</sup> model) and changed scenario based on Long Term Development Concept Plan (LTDCP - 2002) and revised LTDCP considering multi-hazard scenarios and planned major infrastructure interventions. As such, the study has also reviewed the existing building bye-laws and provided comprehensive strategic recommendations for implementing Kathmandu Valley Risk Sensitive Land Use Plan through revision of the bye-laws. With this preparatory work and development of comprehensive information base, need for a valley wide RSLUP is envisaged.

The comprehensive knowledge and information on urban growth trend and forecast analysis of the valley can provide key inputs to development of KV-RSLUP, followed by amendments in building bye-laws to ensure enforcement of RSLUP. Despite a couple of revisions done in the past, the

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<sup>17</sup> *Business As Usual*

existing bye laws appear to have failed to address the issues of recent urban development and in contrary are considered to be responsible for haphazard urban growth in KV owing to irrational zoning provisions.

The Risk Sensitive Land Use Planning (RSLUP), though relatively a new concept for Nepal, may prove to be an effective tool in responding to multiple urban risks that KV is facing. Hence UNDP/CDRMP aims to support the government's efforts to reduce increasing urban risks in KV through introducing RSLUP in close partnership with the government institutions, particularly, with KVDA. The programme targets Kathmandu Valley municipalities and VDCs as the pilot implementation areas in Nepal. While the concept of RSLUP widely focuses on making entire KV level urban development risk responsive, it takes a practical approach in making local municipal RSLUP by incorporating risk sensitive approaches into local level municipal plans and programmes. This requires building capacities of KVDA to work with the municipalities in a harmonized and coordinated manner for implementation of RSLUP in the valley, and at the same time, developing individual municipality' capacities to implement individual municipal RSLUP. Further, KVDA is also expected to ensure that all those VDCs under the KV that face same level of risks, also prepare RSLUP and puts efforts to implement them.

#### **4. Overall Objective:**

##### **4.1 The overall objective:**

The overall objective of the initiative is to contribute to risk resilience development of Kathmandu valley through development and enforcement of Risk Sensitive Land Use Plan and Building Byelaws.

##### **4.2 Specific Objectives:** The specific objectives are as below:

- Develop a comprehensive RSLUP of Kathmandu Valley
- Develop separate municipal level RSLUP for each of the municipalities and VDC level RSLUP for each of the VDCs in all three districts of Kathmandu valley.
- Revise/update existing Building Byelaws in line with RSLUP
- Develop training course curricula for planners/ engineers on RSLUP
- Enhance capacity development of stakeholders (planners/ engineers) on RSLUP and bylaws.

#### **5. Scope of work:**

##### **5.1 Development of RSLUP;**

The scope under this work encompasses preparation of RSLUP and policies/regulations regarding implementation of RSLUP. The RSLUP will cover two levels of planning:

##### **Two Levels of Planning:**

- Macro level of planning; and
- Micro level of planning.

##### **5.1.1 Macro level of planning:**

At the macro level, KVDA will be the key responsible agency for formulation and implementation of comprehensive RSLUP for entire Kathmandu Valley considering the valley as a single planning unit under regional planning approach. The valley level RSLUP will be strategic in nature and will be connected to national level plan on one hand and local level plan (district/ municipal/ village level plans) on the other. Guided by the current land use pattern of Kathmandu Valley under four main categories of land, such as urbanized areas (existing 5 municipalities), urbanizing areas (urbanizing VDCs), rural areas (remaining VDCs) and areas needing special protection (such as forests, rivers, wetlands, watershed etc.) RSLUP will prescribe potential land use zones in order to:

- protect areas deemed not suitable for urban development (at this point in time, or in perpetuity) and
- control/ restrict development within certain categories or classes in designated area.
- guide infrastructure growth to happen in the area potential for economic urban development

The strategic RSLUP will also provide a strategic framework to guide construction of:

- major infrastructure projects, water supply, sanitation, sewerage, electricity , transportation in particular, and
- major building projects, such as commercial complexes, large apartment blocks, industrial areas etc.

The strategic plan will consist of applicable planning tools that will guide densification and de-densification of the proposed area, which will be incorporated into building byelaws of the Kathmandu Valley. Further, in case of the digital cadastral map of the valley provided to the technical service provider by KVDA, it shall be used and overlaid with developed RSLUP and properly analysed for implementation.

### **5.1.2 Micro level planning:**

Based on the strategic level RSULP, KVDA will be responsible for formulation of the municipal and VDC level RSLUP in collaboration with the municipalities and the VDCs that will be implemented by respective municipalities and the VDCs. These plans will be more detailed and prepared at ward level with the help of satellite imageries and/or cadastral maps. Development of municipal and VDC level RSLUP will be based on the inputs received by municipal and VDCs staff and other stakeholders.

Implementation of micro level plans will be the responsibilities of the local bodies such as municipalities and VDCs. Each local body will be supported to develop urban growth regulation plan. Likewise, a local risk sensitive zoning plan will be developed for each unit of planning that will include sub – divisions, urban growth boundary, rural – urban delineation, density – height zoning, areas of infrastructure growth, criteria and regulations for making sub-divisions, incentives for zoning, land taxations etc.

### **5.2 Zoning Plans:**

In Kathmandu valley, the municipalities have adopted different land use zone classifications

according to their predominant use such as Cultural Heritage Conservation Zone, Residential Zone, Institutional Zone, Industrial Zone, Preserved Zone, Surface Vehicle Zone, Airport Zone, and Sports Zone. Many of these zones have similar land uses. Hence, a broader criteria need to be set up to harmonize the existing land use categories into zoning process. Essentially, the zoning will be based on the existing constraints and guided by risk sensitivity level as outlined below:

- i. Level of resilience of critical infrastructures: (highways, bridges, hospital, water supply, reservoirs and trunk lines, airports, industrial estates, oil reserves, bus terminals, etc).
- ii. Exposure to Multi Hazards: Earthquake, landslides, flood, fire
- iii. Conservation priorities: Historical, Religious, Cultural and Social Assets
- iv. Environmental values: Forests, river/ ponds, wetlands, watershed, open space,

### **5.3 Development of bye laws:**

For effective implementation of both macro and micro level RSULP byelaws will be prepared, which will entail the tools of zoning plan implementation. Based on the risk sensitive zoning plan, tools for prescribing residential and non-residential densities will be introduced. The tools like allowable FAR, ground coverage, FSI, development rights, large lot zoning etc. will be used as per the requirement of densification and de-densification of the area. The land use taxation policies will be introduced to regulate the desired land use in the area. The policies like vacant land taxation, developer's exaction, impact fee shall be analyzed and introduced.

### **5.4 Development of Training Course Curricula for planners/ engineers on RSLUP:**

RSLUP is a very new concept of planning in Nepal and hence it is important to develop training course curricula for planners and engineers on development and implementation of RSLUP in Nepal. The training course curricula will include both theories and practical sessions on the process of population growth trend and projection analysis, multiple risk assessment and RSLUP / Bye laws preparation. The training course will also include planning tools like GIS, quantitative risk assessment methods and other mapping tools.

### **5.5 Capacity Development training:**

Based on the developed draft curricula, the following test -training activities will be conducted;

#### **Training of Trainers:**

In consultation with MoUD, and KVDA, a minimum of 30 trainers will be trained on RSLUP as per the prescribed training course curricula. The participants of the ToT will primarily be the staff of KVDA, KV municipalities and selected professionals from outside. The selected trained instructors will be included in remaining test training of the course.

#### **Training of planners/ engineers:**

A minimum of 90 planners/ engineers will be trained on RSLUP curricula. After the training the curricula will be finalized and recommended to endorse from KVDA. Each training event shall

include the instructors participated from the ToT event.

## **6. Methodology:**

A general methodology for conducting this initiative will include:

### **6.1 Literature Review:**

In-depth analysis of available documents related to KV development and planning such as;

- National Land Use Policy - 2012
- Urban Growth Trend and Forecasting of Land Use of Kathmandu Valley – 2013
- Long Term development Concept Plan of Kathmandu Valley -2002
- Existing building bye laws of Kathmandu Valley
- Kathmandu Metropolitan City – Risk Sensitive Land Use Planning – 2011
- JICA study on Earthquake Risk Assessment of Kathmandu Valley -2002
- Relevant case studies and best practices of RSLUP in sub-continent and elsewhere

#### **6.1.1 Institutional Framework:**

KVDA will be the lead partner agency for implementation of the entire activity related to RSLUP preparation under this ToR and will provide necessary support, inputs and guidance to the team to be deployed under this ToR in organizing consultations, meetings, workshops, literature reviews, analysis and formulation of plans.

#### **Introduction of KVDA and Mandate:**

KVDA is the main authority for metropolitan planning and regulation, management and coordination, and land development in the Kathmandu Valley. It was established in 13/4/2012 (01.01.2069) B.S via Kathmandu Valley Development Authority Act 2088 B.S. Kathmandu Valley Development Authority -KVDA is a sole Government of Nepal's agency mandated to undertake integrated development of Kathmandu Valley. KVDA is set to prepare and implement Physical Development Plan (PDP) of Kathmandu Valley for which formulation of RSLUP is a key input document. The PDP is considered fundamental to:

- Planned Development including the preparation of Land use Plan, Transit Oriented Development Plan, Risk Sensitive Land Use Zoning etc.
  - Ensure public safety, security and overall welfare including necessary regulatory frameworks.
  - Enhance aggregated socio-economic development through better management of its resources.
- KVDA is therefore supposed to play triple role as planning agency, developing agency and monitoring, regulating agency.

### **6.2 Participatory approach of planning:**

Formulation of RSULP will follow the approach of participatory planning from the beginning to the end. This may include Identification of stakeholders, Problem and Objective analysis with distinct

plan formulation with the use of tools such as Logical Framework Approach (LFA), and develop a plan for engaging with the stakeholders at different stages of plan formulation.

## **6.2. Core group stakeholders' consultation/ interaction meetings:**

With consultation from KVDA, a core group of experts will be formed to provide inputs to the process at different stages of KV RSLUP formulation process..

### **6.2.2 Wider stakeholders' consultation / interaction meetings:**

In the process of achieving each and every milestone of deliveries under this TOR a plan for involving wider stakeholders will be developed and implemented. A list of participants to represent wider stakeholders will be finalized in consultations with MoUD and KVDA. However, all the local bodies of KV shall be consulted at the field level by the team members of technical service provider.

## **6.3 Working mechanism:**

The entire work will be carried out under the guidance of a steering committee and working committees. The formation of steering committee and working committees as below;

### **6.3.1 Steering committee:**

A high level steering committee will be formulated under the leadership/ chairmanship of KVDA Development Commissioner. The members will include representatives from MoUD, MoFALD, DoR, Department of Survey, KUKL, KMC and LSMC, RUPSON, IOE. The steering committee will essentially guide the study team in developing Kathmandu Valley RSLUP and strategies.

### **6.3.2 Working Committees:**

Eight (8) working committees will be formed in each 5 KV municipalities and 3 KV district VDCs. The working committee will be structured under the leadership of each local body (DDCs/ Municipalities) with members from KVDA – district representative, DUDBC division office, related line agencies, Private organizations. Each working committee will guide the study team in formulation of Municipal / VDCs RSLUPs in effective manner.

### **6.3.2 Support to KVDA :**

For internalization of the RSLUP development process within the KVDA, a support technical staff shall be deputed to the office of KVDA by the technical service provider. The staff will be in communication with KVDA and the technical service providers/ UNDP on day to day calendar of activities. The staff will impart the advisory role to the KVDA staff on the issues of RSLUP formulation and shall work as a linkage to dissemination of periodic study findings and further way forwards.

## **7. Expected Outputs:**

The expected outputs of the project under this ToR will be as follows;

- A Report of Kathmandu Valley Risk Sensitive Land Use Planning including 3 sets of hardcopies and softcopies in English – Synopsis of report translated in Nepali
- A Report of Municipal / VDCs RSLUP each for KV municipalities and VDCs at district level.
- An updated building by – laws based on the developed RSLUP – 3 sets of Hard and soft copies – 3 sets ( hard and soft copies) of report translated in Nepali
- A report of training course curricula for planners and engineers on RSLUP
- A training report of ToTs for 30 planners/engineers and trainings for 90 planners and engineers on KV RSLUP

#### 8. Deliverables and schedule:

Area/Activity	Delivery date				Payment Schedule
	Q4 2014	Q1 2015	Q2 2015	Q3 2015	
<ul style="list-style-type: none"> <li>• Submission of Inception Report</li> </ul>					20%
<ul style="list-style-type: none"> <li>• A draft report Kathmandu valley RSLUP</li> <li>• A draft report of Municipal / VDCs RSLUP each for KV municipalities and VDCs at district level</li> </ul>					20%
<ul style="list-style-type: none"> <li>• A draft of Kathmandu valley Building bye laws</li> <li>• A draft of training course curricula for planners and engineers on RSLUP/ byelaws</li> </ul>					40%
<ul style="list-style-type: none"> <li>• Final training report</li> <li>• Final reports of all the deliverables</li> </ul>					20%

#### 9. Qualifications:

- Technical, research, educational and training institutes, academia, NGOs, private consultancy firms that are legally registered at national levels are eligible to submit offers
- At least 5 years of past experience of Urban Land Use Planning work /procedure/ programme in the fast growing cities like Kathmandu.
- Excellent and proven track record of previous partnership preferably with Government of Nepal (and its affiliated organizations and agencies) or elsewhere in Urban mapping, Hazard- Risk assessment and Land Use Planning works
- Experienced in developing training course curricula using urban planning and mapping tools.



- Sufficient human and technical resources with relevant education and experience in developing urban mapping and land use planning assignments.

#### 10. Professional Staff and Qualifications for the work:

Experts and Assistants	Qualification
Team Leader-Land Use Planner (1)	Master's degree in Urban Planning/Land Use Planning with at least 10 years of experience in the related field. Should have experience in preparation of land use plans, transportation plans, land development, digital base maps and urban maps, hazard-risk assessment. Should have significant experience in conducting planning workshops/seminars, participatory planning, development of training curriculum and conducting trainings for government, local bodies and planners/engineers- international experience is an added advantage
Sr. Urban Planner.(1)	Master's degree in urban planning with at least 5 years' experience after master's degree in urban base maps, land use mapping and planning, hazard mapping, vulnerability assessment
Sr.Structural Engineer/Earthquake Engineer- (1)	Master's degree in structure/earthquake engineering and must have five years of relevant experience after master's degree.
Sr.GIS Expert(1)	Master's degree in GIS/Remote sensing with at least 5 years of experience in the related field preferable with vulnerability-risk assessment. Should have significant experience in preparation of digital base maps and GIS based urban maps, GIS based hazard-risk assessment and mapping, land use planning. Should have significant experience in conducting workshops/seminars, development of GIS based training curriculum and conducting trainings for government, local bodies and planners/engineers.
Sr. Urban Environment expert (1)	Master's degree in Environmental Engineering with at least 5 years' experience after master's degree in urban environmental works, solid waste management, sanitation, sewerage and urban ecological planning
Sr. Urban Infrastructure Engineer - (1)	Master's degree in infrastructure engineering with at least 5 years of experience in the field of urban infrastructure engineering ( Transportation, water supply, communications ) after master's degree.
Sr. Socio-economist (1)	Master's degree in sociology/economics with at least 5 years of experience in the related field after master's degree
Junior experts ( 2)	Bachelors degree in Civil Engineering / Architecture with 3 years experience in the related field

#### 11. Minimum time distribution:

The minimum time distribution of the human resources involved in the activity shall be in line of the following. The minimum time distribution shall be spread over the entire period of the work;

S.No.	Description	No.	Minimum person months (Spread Over 12 months and 1 month is

			<b>approximately 21.75 working days)</b>
	Human resources – cost estimate:		
1	<b>Team leader</b>	1	3
2.	<b>Sr. Urban Planner</b>	1	9
3	<b>Sr. Structural Engineer</b>	1	6
4.	<b>Sr. GIS Expert</b>	1	6
5	<b>Sr Urban Environment expert</b>	1	3
6	<b>Sr. Infrastructure Engineer</b>	1	3
7	<b>Sr. Socio economist</b>	1	3
8	<b>Junior Experts</b>	2	12

### 13.Management Arrangements and Reporting Requirements:

- The service provider will work under overall supervision of CDRMP programme manager (PM) and will coordinate Project officer – NBC & RSLUP of the CDRMP.
- It will provide monthly brief updates to the PM on the progress of work/challenges/ risks and will provide technical reports of each activity and areas of activities in three working weeks upon completion date of the activity (ies). It will also submit a compiled report with executive summary (not more than four pages) on all provided services including analysis of lessons learned and recommendations for next courses of the programme in consultation with concerned national stakeholders in Nepal. The required logistics for participants in conducting workshops, consultations and trainings will be supported by UNDP/CDRMP office. However, the logistics for the team of technical service providers shall be borne by themselves.
- The proposed activity will be conducted in consultation with the UNDP/ CDRMP team, which provides details of partners, consultation events, and deliverables. The consultant will organize training, meetings, and workshops, with the active participation of the CDRMP team and stakeholders. The training /meeting logistics for all the participants will be supported by UNDP/ CDRMP office. All the deliverables will be prepared and finalized in a consultative way that allows the team and other counterparts to contribute their own experiences and insights.

## Section 4: Proposal Submission Form<sup>18</sup>

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[insert: Location]

[insert: Date]

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

Dear Sir/Madam:

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

We hereby declare that :

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

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

We agree to abide by this Proposal for [insert: period of validity as indicated in Data Sheet].

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

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

We remain,

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<sup>18</sup> No deletion or modification may be made in this form. Any such deletion or modification may lead to the rejection of the Proposal.

Yours sincerely,

Authorized Signature [*In full and initials*]: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

Name of Firm: \_\_\_\_\_

Contact Details : \_\_\_\_\_

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

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## Section 5: Documents Establishing the Eligibility and Qualifications of the Proposer

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### Proposer Information Form<sup>19</sup>

Date: *[insert date (as day, month and year) of Proposal Submission]*  
RFP No.: *[insert number]*

Page \_\_\_\_\_ of \_\_\_\_\_ pages

1. Proposer's Legal Name <i>[insert Proposer's legal name]</i>		
2. In case of Joint Venture (JV), legal name of each party: <i>[insert legal name of each party in JV]</i>		
3. Actual or intended Country/ies of Registration/Operation: <i>[insert actual or intended Country of Registration]</i>		
4. Year of Registration: <i>[insert Proposer's year of registration]</i>		
5. Countries of Operation	6. No. of staff in each Country	7. Years of Operation in each Country
8. Legal Address/es in Country/ies of Registration/Operation: <i>[insert Proposer's legal address in country of registration]</i>		
9. Value and Description of Top three (3) Biggest Contract for the past five (5) years		
10. Latest Credit Rating (if any)		
11. Brief description of litigation history (disputes, arbitration, claims, etc.), indicating current status and outcomes, if already resolved.		
12. Proposer's Authorized Representative Information  Name: <i>[insert Authorized Representative's name]</i> Address: <i>[insert Authorized Representative's name]</i> Telephone/Fax numbers: <i>[insert Authorized Representative's name]</i> Email Address: <i>[insert Authorized Representative's name]</i>		
13. Are you in the UNPD List 1267.1989 or UN Ineligibility List ? <input type="checkbox"/> YES or <input type="checkbox"/> NO		
14. Attached are copies of original documents of:  <input type="checkbox"/> All eligibility document requirements listed in the Data Sheet <input type="checkbox"/> If Joint Venture/Consortium – copy of the Memorandum of Understanding/Agreement or Letter of Intent to form a JV/Consortium, or Registration of JV/Consortium, if registered <input type="checkbox"/> If case of Government corporation or Government-owned/controlled entity, documents establishing legal and financial autonomy and compliance with commercial law.		

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<sup>19</sup> The Proposer shall fill in this Form in accordance with the instructions. Apart from providing additional information, no alterations to its format shall be permitted and no substitutions shall be accepted.

# Joint Venture Partner Information Form (if Registered)<sup>20</sup>

Date: *[insert date (as day, month and year) of Proposal Submission]*  
RFP No.: *[insert number]*

Page \_\_\_\_\_ of \_\_\_\_\_ pages

1. Proposer's Legal Name: <i>[insert Proposer's legal name]</i>		
2. JV's Party legal name: <i>[insert JV's Party legal name]</i>		
3. JV's Party Country of Registration: <i>[insert JV's Party country of registration]</i>		
4. Year of Registration: <i>[insert Party's year of registration]</i>		
5. Countries of Operation	6. No. of staff in each Country	7. Years of Operation in each Country
8. Legal Address/es in Country/ies of Registration/Operation: <i>[insert Party's legal address in country of registration]</i>		
9. Value and Description of Top three (3) Biggest Contract for the past five (5) years		
10. Latest Credit Rating (if any)		
1. Brief description of litigation history (disputes, arbitration, claims, etc.), indicating current status and outcomes, if already resolved.		
13. JV's Party Authorized Representative Information Name: <i>[insert name of JV's Party authorized representative]</i> Address: <i>[insert address of JV's Party authorized representative]</i> Telephone/Fax numbers: <i>[insert telephone/fax numbers of JV's Party authorized representative]</i> Email Address: <i>[insert email address of JV's Party authorized representative]</i>		
14. Attached are copies of original documents of: <i>[check the box(es) of the attached original documents]</i>  <input type="checkbox"/> All eligibility document requirements listed in the Data Sheet <input type="checkbox"/> Articles of Incorporation or Registration of firm named in 2. <input type="checkbox"/> In case of government owned entity, documents establishing legal and financial autonomy and compliance with commercial law.		

<sup>20</sup> The Proposer shall fill in this Form in accordance with the instructions. Apart from providing additional information, No alterations to its format shall be permitted and no substitutions shall be accepted.

## Section 6: Technical Proposal Form

**TECHNICAL PROPOSAL FORMAT**  
**INSERT TITLE OF THE SERVICES**

**Note: Technical Proposals not submitted in this format may be rejected. The financial proposal should be included in separate envelope.**

<b>Name of Proposing Organization / Firm:</b>	
<b>Country of Registration:</b>	
<b>Name of Contact Person for this Proposal:</b>	
<b>Address:</b>	
<b>Phone / Fax:</b>	
<b>Email:</b>	

### SECTION 1: EXPERTISE OF FIRM/ ORGANISATION

*This section should fully explain the Proposer's resources in terms of personnel and facilities necessary for the performance of this requirement. All contents of this section may be modified or expanded depending on the evaluation criteria stated in the RFP.*

**1.1 Brief Description of Proposer as an Entity:** Provide a brief description of the organization / firm submitting the proposal, its legal mandates/authorized business activities, the year and country of incorporation, types of activities undertaken, and approximate annual budget, etc. Include reference to reputation, or any history of litigation and arbitration in which the organisation / firm has been involved that could adversely affect or impact the performance of services, indicating the status/result of such litigation/arbitration.

**1.2. Financial Capacity:** Provide the latest Audited Financial Statement (Income Statement and Balance Sheet) duly certified by a Public Accountant, and with authentication of receiving by the Government's Internal Revenue Authority. Include any indication of credit rating, industry rating, etc.

**1.3. Track Record and Experiences:** Provide the following information regarding corporate experience within the last five (5) years which are related or relevant to those required for this Contract.

Name of project	Client	Contract Value	Period of activity	Types of activities undertaken	Status or Date Completed	References Contact Details (Name, Phone, Email)

## SECTION 2 - APPROACH AND IMPLEMENTATION PLAN

*This section should demonstrate the Proposer's responsiveness to the TOR by identifying the specific components proposed, addressing the requirements, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; and demonstrating how the proposed methodology meets or exceeds the requirements.*

2.1. Approach to the Service/Work Required: Please provide a detailed description of the methodology for how the organisation/firm will achieve the Terms of Reference of the project, keeping in mind the appropriateness to local conditions and project environment.

2.2. Technical Quality Assurance Review Mechanisms: The methodology shall also include details of the Proposer's internal technical and quality assurance review mechanisms.

2.3 Implementation Timelines: The Proposer shall submit a Gantt Chart or Project Schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing.

2.4. Subcontracting: 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. Special attention should be given to providing a clear picture of the role of each entity and how everyone will function as a team.

2.5. Risks / Mitigation Measures: Please describe the potential risks for the implementation of this project that may impact achievement and timely completion of expected results as well as their quality. Describe measures that will be put in place to mitigate these risks.

2.6. Reporting and Monitoring: Please provide a brief description of the mechanisms proposed for this project for reporting to the UNDP and partners, including a reporting schedule.

2.7. Anti-Corruption Strategy: Define the anti-corruption strategy that will be applied in this project to prevent the misuse of funds. Describe the financial controls that will be put in place.

2.8. Partnerships: Explain any partnerships with local, international or other organizations that are planned for the implementation of the project. Special attention should be given to providing a clear picture of the role of each entity and how everyone will function as a team. Letters of commitment from partners and an indication of whether some or all have successfully worked together on other previous projects is encouraged.

2.9 Statement of Full Disclosure: This is intended to disclose any potential conflict in accordance with the definition of "conflict" under Section 4 of this document, if any.

2.10 Other: Any other comments or information regarding the project approach and methodology that will be adopted.



### SECTION 3: PERSONNEL

**3.1 Management Structure:** Describe the overall management approach toward planning and implementing this activity. Include an organization chart for the management of the project describing the relationship of key positions and designations.

**3.2 Staff Time Allocation:** Provide a spreadsheet will be included to show the activities of each staff member and the time allocated for his/her involvement. (Note :*This spreadsheet is crucial and no substitution of personnel will be tolerated once the contract has been awarded except in extreme circumstances and with the written approval of the UNDP. If substitution is unavoidable it will be with a person who, in the opinion of the UNDP project manager, is at least as experienced as the person being replaced, and subject to the approval of UNDP. No increase in costs will be considered as a result of any substitution.*)

**3.3 Qualifications of Key Personnel.** Provide the CVs for key personnel (Team Leader, Managerial and general staff) that will be provided to support the implementation of this project. CVs should demonstrate qualifications in areas relevant to the Scope of Services. Please use the format below:

<b>Name:</b>		
<b>Position for this Contract:</b>		
<b>Nationality:</b>		
<b>Contact information:</b>		
<b>Countries of Work Experience:</b>		
<b>Language Skills:</b>		
<b>Educational and other Qualifications:</b>		
<b>Summary of Experience:</b> <i>Highlight experience in the region and on similar projects.</i>		
<b>Relevant Experience (From most recent):</b>		
<b>Period: From – To</b>	<b>Name of activity/ Project/ funding organisation, if applicable:</b>	<b>Job Title and Activities undertaken/Description of actual role performed:</b>
<i>e.g. June 2004-January 2005</i>		
<i>Etc.</i>		
<i>Etc.</i>		
<b>References no.1 (minimum of 3):</b>	<i>Name Designation Organization Contact Information – Address; Phone; Email; etc.</i>	
<b>Reference no.2</b>	<i>Name Designation Organization Contact Information – Address; Phone; Email; etc.</i>	
<b>Reference no.3</b>	<i>Name Designation Organization Contact Information – Address; Phone; Email; etc.</i>	
<b>Declaration:</b>		
<p>I confirm my intention to serve in the stated position and present availability to serve for the term of the proposed contract. I also understand that any wilful misstatement described above may lead to my disqualification, before or during my engagement.</p> <p>_____</p>		
Signature of the Nominated Team Leader/Member		Date Signed



## Section 7: Financial Proposal Form<sup>21</sup>

The Proposer is required to prepare the Financial Proposal in an envelope separate from the rest of the RFP as indicated in the Instruction to Proposers.

The Financial Proposal must provide a detailed cost breakdown. Provide separate figures for each functional grouping or category.

Any estimates for cost-reimbursable items, such as travel and out-of-pocket expenses, should be listed separately.

In case of an equipment component to the service provider, the Price Schedule should include figures for both purchase and lease/rent options. UNDP reserves the option to either lease/rent or purchase outright the equipment through the Contractor.

The format shown on the following pages is suggested for use as a guide in preparing the Financial Proposal. The format includes specific expenditures, which may or may not be required or applicable but are indicated to serve as examples.

### A. Cost Breakdown per Deliverables\*

SN	Deliverables <i>[list them as referred to in the TOR]</i>	Percentage of Total Price (Weight for payment)	Price (Lump Sum, All Inclusive)
1	Upon submission of Inception Report	20%	
2	Upon submission of draft report Kathmandu valley RSLUP, draft report of Municipal /VDCs RSLUP each for KV municipalities and VDCs at district level	20%	
3	Submission of draft of Kathmandu valley Building bye laws , draft of training course curricula for planners and engineers on RSLUP/ bye-laws	40%	
4	Submission of the final training report, Final reports of all the deliverables	20%	
3			
	Total	100%	USD .....

*\*Basis for payment tranches*

<sup>21</sup> No deletion or modification may be made in this form. Any such deletion or modification may lead to the rejection of the Proposal.

**B. Cost Breakdown by Cost Component:**

The Proposers are requested to provide the cost breakdown for the above given prices for each deliverable based on the following format. UNDP shall use the cost breakdown for the price reasonability assessment purposes as well as the calculation of price in the event that both parties have agreed to add new deliverables to the scope of Services.

Description of Activity	Remuneration per Unit of Time (person day)	Total Period of Engagement	No. of Personnel (minimum)	Total for the Period
<b>I. Personnel Services *</b>				
<b>Team leader</b>				
<b>Senior Urban Planner</b>				
<b>Senior Structural Engineer</b>				
<b>Senior GIS Expert</b>				
<b>Senior Urban Environment expert</b>				
<b>Senior Infrastructure Engineer</b>				
<b>Senior Socio economist</b>				
<b>Junior Experts</b>				
TOTAL				

Note: \* All administrative and other associated costs, should be built into the professional service charges.

## Section 8: FORM FOR PROPOSAL SECURITY

***(This must be finalized 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 Contractor]* (hereinafter called "the Proposer") has submitted a Proposal to UNDP dated [Click here to enter a date.](#), to execute Services ..... (hereinafter called "the Proposal");

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

- 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 Proposer such this Bank Guarantee:

NOW THEREFORE we hereby affirm that we are the Guarantor and responsible to you, on behalf of the Proposer, 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 until a date 30 days from the date of issue by UNDP of a certificate of satisfactory performance and full completion of services by the Proposer.

### ***SIGNATURE AND SEAL OF THE GUARANTOR BANK***

Date .....

Name of Bank .....

Address .....

## Section 9: FORM FOR PERFORMANCE SECURITY<sup>22</sup>

***(This must be finalized using the official letterhead of the Issuing Bank. Except for indicated fields, no changes may be made on this template)***

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To: UNDP  
[Insert contact information as provided in Data Sheet]

WHEREAS *[name and address of Contractor]* (hereinafter called "the Contractor") has undertaken, in pursuance of Contract No. *Click here to enter text*, dated *Click here to enter a date*, to execute Services ..... (hereinafter called "the Contract"):

AND WHEREAS it has been stipulated by you in the said Contract that the Contractor shall furnish you with a Bank Guarantee by a recognized bank for the sum specified therein as security for compliance with his obligations in accordance with the Contract:

AND WHEREAS we have agreed to give the Contractor such a Bank Guarantee:

NOW THEREFORE we hereby affirm that we are the Guarantor and responsible to you, on behalf of the Contractor, 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 Contract Price 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 until a date 30 days from the date of issue by UNDP of a certificate of satisfactory performance and full completion of services by the Contractor.

### ***SIGNATURE AND SEAL OF THE GUARANTOR BANK***

Date .....

Name of Bank .....

Address .....

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<sup>22</sup> If the RFP requires the submission of a Performance Security, which shall be made a condition to the signing and effectivity of the contract, the Performance Security that the Proposer's Bank will issue shall use the contents of this template

## Section 10: Form for Advanced Payment Guarantee<sup>23</sup>

**(This must be finalized using the official letterhead of the Issuing Bank.  
Except for indicated fields, no changes may be made on this template)**

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\_\_\_\_\_ [Bank's Name, and Address of Issuing Branch or Office]

**Beneficiary:** \_\_\_\_\_ [Name and Address of UNDP]

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

**ADVANCE PAYMENT GUARANTEE No.:** \_\_\_\_\_

We have been informed that [name of Company](hereinafter called "the Contractor") has entered into Contract No. [reference number of the contract] dated [insert: date] with you, for the provision of [brief description of Services](hereinafter called "the Contract").

Furthermore, we understand that, according to the conditions of the Contract, an advance payment in the sum of [amount in words] ([amount in figures]) is to be made against an advance payment guarantee.

At the request of the Contractor, we [name of Bank] hereby irrevocably undertake to pay you any sum or sums not exceeding in total an amount of [amount in words] ([amount in figures])<sup>24</sup> upon receipt by us of your first demand in writing accompanied by a written statement stating that the Contractor is in breach of its obligation under the Contract because the Contractor has used the advance payment for purposes other than toward providing the Services under the Contract.

It is a condition for any claim and payment under this guarantee to be made that the advance payment referred to above must have been received by the Contractor on its account number \_\_\_\_\_ at [name and address of Bank].

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Contractor as indicated in copies of certified monthly statements which shall be presented to us. This guarantee shall expire, at the latest, upon our receipt of the monthly payment certificate indicating that the Consultants have made full repayment of the amount of the advance payment, or on the \_\_ day of \_\_\_\_\_, 2\_\_\_\_,<sup>25</sup>

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<sup>23</sup> This Guarantee shall be required if the Contractor will require advanced payment of more than 20% of the contract amount, or if the absolute amount of the advanced payment required will exceed the amount of USD 30,000, or its equivalent if the price offer is not in USD, using the exchange rate stated in the Data Sheet. The Contractor's Bank must issue the Guarantee using the contents of this template.

<sup>24</sup> The Guarantor Bank shall insert an amount representing the amount of the advanced payment and denominated either in the currency/ies of the advanced payment as specified in the Contract.

<sup>25</sup> Insert the expected expiration date. In the event of an extension of time for Completion of the Contract, the Contractor would need to request an extension of this Guarantee from the Guarantor Bank. Such request must be in writing and must be made prior to the expiration date established in the Guarantee. In preparing this Guarantee, the Contractor might consider adding the following text to the form at the end of the penultimate paragraph: "The Guarantor Bank agrees to a one-time extension of this Guarantee for a period not to exceed [six months] [one year], in response to the Contractor's written request for such extension, such request to be presented to the Guarantor Bank before the expiry of the Guarantee."

whichever is earlier. Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees, ICC Publication No. 458.

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*[signature(s)]*

*Note: All italicized text is for indicative purposes only to assist in preparing this form and shall be deleted from the final product.*



## Section 11: Contract for Professional Services

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

Date \_\_\_\_\_

Dear Sir/Madam,

Ref.: \_\_\_\_\_/ \_\_\_\_\_/ \_\_\_\_\_ **[INSERT PROJECT NUMBER AND TITLE OR OTHER REFERENCE]**

The United Nations Development Programme (hereinafter referred to as "UNDP"), wishes to engage your **[company/organization/institution]**, duly incorporated under the Laws of \_\_\_\_\_ **[INSERT NAME OF THE COUNTRY]** (hereinafter referred to as the "Contractor") in order to perform services in respect of \_\_\_\_\_ **[INSERT SUMMARY DESCRIPTION OF THE SERVICES]** (hereinafter referred to as the "Services"), in accordance with the following Contract:

1. Contract Documents

- 1.1 This Contract is subject to the UNDP General Conditions for Professional Services attached hereto as Annex I. The provisions of such Annex shall control the interpretation of this Contract and in no way shall be deemed to have been derogated by the contents of this letter and any other Annexes, unless otherwise expressly stated under section 4 of this letter, entitled "Special Conditions".
- 1.2 The Contractor and UNDP also agree to be bound by the provisions contained in the following documents, which shall take precedence over one another in case of conflict in the following order:
- a) this Letter;
  - b) the Terms of Reference [ref. ....dated.....], attached hereto as Annex II;
  - c) the Contractor's Proposal [ref....., dated .....]
  - d) The UNDP Request for Proposal [ref....., dated.....]
- 1.3 All the above shall form the Contract between the Contractor and UNDP, superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Contract.

2. Obligations of the Contractor

- 2.1 The Contractor shall perform and complete the Services described in Annex II with due diligence and efficiency and in accordance with the Contract.
- 2.2 The Contractor shall provide the services of the following key personnel:
- | <u>Name</u> | <u>Specialization</u> | <u>Nationality</u> | <u>Period of service</u> |
|-------------|-----------------------|--------------------|--------------------------|
| ....        | .....                 | .....              | .....                    |
| ....        | .....                 | .....              | .....                    |
- 2.3 Any changes in the above key personnel shall require prior written approval of \_\_\_\_\_ **[NAME and TITLE]**, UNDP.
- 2.4 The Contractor shall also provide all technical and administrative support needed in order to ensure the timely and satisfactory performance of the Services.
- 2.5 The Contractor shall submit to UNDP the deliverables specified hereunder according to the following schedule:

**[LIST DELIVERABLES]****[INDICATE DELIVERY DATES]**

e.g.

Progress report	..../..
.....	..../..
Final report	..../..

- 2.6 All reports shall be written in the English language, and shall describe in detail the services rendered under the Contract during the period of time covered in such report. All reports shall be transmitted by the Contractor by \_\_\_\_\_ **[MAIL, COURIER AND/OR FAX]** to the address specified in 9.1 below.
- 2.7 The Contractor represents and warrants the accuracy of any information or data provided to UNDP for the purpose of entering into this Contract, as well as the quality of the deliverables and reports foreseen under this Contract in accordance with the highest industry and professional standards.

**OPTION 1 (FIXED PRICE)**3. Price and Payment

- 3.1 In full consideration for the complete and satisfactory performance of the Services under this Contract, UNDP shall pay the Contractor a fixed contract price of \_\_\_\_\_ **[INSERT CURRENCY & AMOUNT IN FIGURES AND WORDS]**.
- 3.2 The price of this Contract is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the Contractor in the performance of the Contract.
- 3.3 Payments effected by UNDP to the Contractor shall be deemed neither to relieve the Contractor of its obligations under this Contract nor as acceptance by UNDP of the Contractor's performance of the Services.
- 3.4 UNDP shall effect payments to the Contractor after acceptance by UNDP of the invoices submitted by the Contractor to the address specified in 9.1 below, upon achievement of the corresponding milestones and for the following amounts:

<u>MILESTONE</u>	<u>AMOUNT</u>	<u>TARGET DATE</u>
Upon.....	.....	../..
.....	.....	../..

Invoices shall indicate the milestones achieved and corresponding amount payable.



## **UNDP GENERAL CONDITIONS OF CONTRACT FOR SERVICES**

### **1.0 LEGAL STATUS:**

The Contractor shall be considered as having the legal status of an independent contractor vis-à-vis the United Nations Development Programme (UNDP). The Contractor's personnel and sub-contractors shall not be considered in any respect as being the employees or agents of UNDP or the United Nations.

### **2.0 SOURCE OF INSTRUCTIONS:**

The Contractor shall neither seek nor accept instructions from any authority external to UNDP in connection with the performance of its services under this Contract. The Contractor shall refrain from any action that may adversely affect UNDP or the United Nations and shall fulfill its commitments with the fullest regard to the interests of UNDP.

### **3.0 CONTRACTOR'S RESPONSIBILITY FOR EMPLOYEES:**

The Contractor shall be responsible for the professional and technical competence of its employees and will select, for work under this Contract, reliable individuals who will perform effectively in the implementation of this Contract, respect the local customs, and conform to a high standard of moral and ethical conduct.

### **4.0 ASSIGNMENT:**

The Contractor shall not assign, transfer, pledge or make other disposition of this Contract or any part thereof, or any of the Contractor's rights, claims or obligations under this Contract except with the prior written consent of UNDP.

### **5.0 SUB-CONTRACTING:**

In the event the Contractor requires the services of sub-contractors, the Contractor shall obtain the prior written approval and clearance of UNDP for all sub-contractors. The approval of UNDP of a sub-contractor shall not relieve the Contractor of any of its obligations under this Contract. The terms of any sub-contract shall be subject to and conform to the provisions of this Contract.

### **6.0 OFFICIALS NOT TO BENEFIT:**

The Contractor warrants that no official of UNDP or the United Nations has received or will be offered by the Contractor any direct or indirect benefit arising from this Contract or the award thereof. The Contractor agrees that breach of this provision is a breach of an essential term of this Contract.

### **7.0 INDEMNIFICATION:**

The Contractor shall indemnify, hold and save harmless, and defend, at its own expense, UNDP, its officials, agents, servants and employees from and against all suits, claims, demands, and liability of any nature or kind, including their costs and expenses, arising out of acts or omissions of the Contractor, or the Contractor's employees, officers,

agents or sub-contractors, in the performance of this Contract. This provision shall extend, inter alia, to claims and liability in the nature of workmen's compensation, products liability and liability arising out of the use of patented inventions or devices, copyrighted material or other intellectual property by the Contractor, its employees, officers, agents, servants or sub-contractors. The obligations under this Article do not lapse upon termination of this Contract.

## **8.0 INSURANCE AND LIABILITIES TO THIRD PARTIES:**

**8.1** The Contractor shall provide and thereafter maintain insurance against all risks in respect of its property and any equipment used for the execution of this Contract.

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

**8.3** The Contractor shall also provide and thereafter maintain liability insurance in an adequate amount to cover third party claims for death or bodily injury, or loss of or damage to property, arising from or in connection with the provision of services under this Contract or the operation of any vehicles, boats, airplanes or other equipment owned or leased by the Contractor or its agents, servants, employees or sub-contractors performing work or services in connection with this Contract.

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

**8.4.1** Name UNDP as additional insured;

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

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

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

## **9.0 ENCUMBRANCES/LIENS:**

The Contractor shall not cause or permit any lien, attachment or other encumbrance by any person to be placed on file or to remain on file in any public office or on file with the UNDP against any monies due or to become due for any work done or materials furnished under this Contract, or by reason of any other claim or demand against the Contractor.

**10.0 TITLE TO EQUIPMENT:** Title to any equipment and supplies that may be furnished by UNDP shall rest with UNDP and any such equipment shall be returned to UNDP at the conclusion of this Contract or when no longer needed by the Contractor. Such equipment, when returned to UNDP, shall be in the same condition as when delivered to the Contractor, subject to normal wear and tear. The Contractor shall be liable to compensate UNDP for equipment determined to be damaged or degraded beyond normal wear and tear.

## **11.0 COPYRIGHT, PATENTS AND OTHER PROPRIETARY RIGHTS:**

**11.1** Except as is otherwise expressly provided in writing in the Contract, the UNDP shall be entitled to all intellectual property and other proprietary rights including, but not limited to, patents, copyrights, and trademarks, with regard to products, processes, inventions, ideas, know-how, or documents and other materials which the Contractor has developed for the UNDP under the Contract and which bear a direct relation to or are produced or prepared or collected in consequence of, or during the course of, the performance of the Contract, and the Contractor acknowledges and agrees that such products, documents and other materials constitute works made for hire for the UNDP.

**11.2** To the extent that any such intellectual property or other proprietary rights consist of any intellectual

property or other proprietary rights of the Contractor: (i) that pre-existed the performance by the Contractor of its obligations under the Contract, or (ii) that the Contractor may develop or acquire, or may have developed or acquired, independently of the performance of its obligations under the Contract, the UNDP does not and shall not claim any ownership interest thereto, and the Contractor grants to the UNDP a perpetual license to use such intellectual property or other proprietary right solely for the purposes of and in accordance with the requirements of the Contract.

**11.3** At the request of the UNDP; the Contractor shall take all necessary steps, execute all necessary documents and generally assist in securing such proprietary rights and transferring or licensing them to the UNDP in compliance with the requirements of the applicable law and of the Contract.

**11.4** Subject to the foregoing provisions, all maps, drawings, photographs, mosaics, plans, reports, estimates, recommendations, documents, and all other data compiled by or received by the Contractor under the Contract shall be the property of the UNDP, shall be made available for use or inspection by the UNDP at reasonable times and in reasonable places, shall be treated as confidential, and shall be delivered only to UNDP authorized officials on completion of work under the Contract.

## **12.0 USE OF NAME, EMBLEM OR OFFICIAL SEAL OF UNDP OR THE UNITED NATIONS:**

The Contractor shall not advertise or otherwise make public the fact that it is a Contractor with UNDP, nor shall the Contractor, in any manner whatsoever use the name, emblem or official seal of UNDP or THE United Nations, or any abbreviation of the name of UNDP or United Nations in connection with its business or otherwise.

## **13.0 CONFIDENTIAL NATURE OF DOCUMENTS AND INFORMATION:**

Information and data that is considered proprietary by either Party, and that is delivered or disclosed by one Party ("Discloser") to the other Party ("Recipient") during the course of performance of the Contract, and that is designated as confidential ("Information"), shall be held in confidence by that Party and shall be handled as follows:

**13.1** The recipient ("Recipient") of such information shall:

**13.1.1** use the same care and discretion to avoid disclosure, publication or dissemination of the Discloser's Information as it uses with its own similar information that it does not wish to disclose, publish or disseminate; and,

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

**13.2** Provided that the Recipient has a written agreement with the following persons or entities requiring them to treat the Information confidential in accordance with the Contract and this Article 13, the Recipient may disclose Information to:

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

**13.2.2** the Recipient's employees, officials, representatives and agents who have a need to know such Information for purposes of performing obligations under the Contract, and employees officials, representatives and agents of any legal entity that it controls, controls it, or with which it is under common control, who have a need to know such Information for purposes of performing obligations under the Contract, provided that, for these purposes a controlled legal entity means:

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

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

**13.2.2.3** for the UNDP, an affiliated Fund such as UNCDF, UNIFEM and UNV.

**13.3** The Contractor may disclose Information to the extent required by law, provided that, subject to and without any waiver of the privileges and immunities of the United Nations, the Contractor will give the UNDP sufficient prior notice of a request for the disclosure of Information in order to allow the UNDP to have a reasonable opportunity to take protective measures or such other action as may be appropriate before any such disclosure is made.

**13.4** The UNDP may disclose Information to the extent as required pursuant to the Charter of the UN, resolutions or regulations of the General Assembly, or rules promulgated by the Secretary-General.

**13.5** The Recipient shall not be precluded from disclosing Information that is obtained by the Recipient from a third party without restriction, is disclosed by the Discloser to a third party without any obligation of confidentiality, is previously known by the Recipient, or at any time is developed by the Recipient completely independently of any disclosures hereunder.

**13.6** These obligations and restrictions of confidentiality shall be effective during the term of the Contract, including any extension thereof, and, unless otherwise provided in the Contract, shall remain effective following any termination of the Contract.

#### **14.0 FORCE MAJEURE; OTHER CHANGES IN CONDITIONS**

**14.1** In the event of and as soon as possible after the occurrence of any cause constituting force majeure, the Contractor shall give notice and full particulars in writing to the UNDP, of such occurrence or change if the Contractor is thereby rendered unable, wholly or in part, to perform its obligations and meet its responsibilities under this Contract. The Contractor shall also notify the UNDP of any other changes in conditions or the occurrence of any event that interferes or threatens to interfere with its performance of this Contract. On receipt of the notice required under this Article, the UNDP shall take such action as, in its sole discretion; it considers to be appropriate or necessary in the circumstances, including the granting to the Contractor of a reasonable extension of time in which to perform its obligations under this Contract.

**14.2** If the Contractor is rendered permanently unable, wholly, or in part, by reason of force majeure to perform its obligations and meet its responsibilities under this Contract, the UNDP shall have the right to suspend or terminate this Contract on the same terms and conditions as are provided for in Article 15, "Termination", except that the period of notice shall be seven (7) days instead of thirty (30) days.

**14.3** Force majeure as used in this Article means acts of God, war (whether declared or not), invasion, revolution, insurrection, or other acts of a similar nature or force.

**14.4** The Contractor acknowledges and agrees that, with respect to any obligations under the Contract that the Contractor must perform in or for any areas in which the UNDP is engaged in, preparing to engage in, or disengaging from any peacekeeping, humanitarian or similar operations, any delays or failure to perform such obligations arising from or relating to harsh conditions within such areas or to any incidents of civil unrest occurring in such areas shall not, in and of itself, constitute force majeure under the Contract..

#### **15.0 TERMINATION**

**15.1** Either party may terminate this Contract for cause, in whole or in part, upon thirty (30) days notice, in writing, to the other party. The initiation of arbitral proceedings in accordance with Article 16.2 ("Arbitration"), below, shall not be deemed a termination of this Contract.

**15.2** UNDP reserves the right to terminate without cause this Contract at any time upon 15 days prior written notice to the Contractor, in which case UNDP shall reimburse the Contractor for all reasonable costs incurred by the Contractor prior to receipt of the notice of termination.

**15.3** In the event of any termination by UNDP under this Article, no payment shall be due from UNDP to the Contractor except for work and services satisfactorily performed in conformity with the express terms of this Contract.

**15.4** Should the Contractor be adjudged bankrupt, or be liquidated or become insolvent, or should the Contractor make an assignment for the benefit of its creditors, or should a Receiver be appointed on account of the insolvency of the Contractor, the UNDP may, without prejudice to any other right or remedy it may have under the terms of these conditions, terminate this Contract forthwith. The Contractor shall immediately inform the UNDP of the occurrence of any of the above events.

## **16.0 SETTLEMENT OF DISPUTES**

**16.1 Amicable Settlement:** The Parties shall use their best efforts to settle amicably any dispute, controversy or claim arising out of this Contract or the breach, termination or invalidity thereof. Where the parties wish to seek such an amicable settlement through conciliation, the conciliation shall take place in accordance with the UNCITRAL Conciliation Rules then obtaining, or according to such other procedure as may be agreed between the parties.

**16.2 Arbitration:** Any dispute, controversy, or claim between the Parties arising out of the Contract or the breach, termination, or invalidity thereof, unless settled amicably under Article 16.1, above, within sixty (60) days after receipt by one Party of the other Party's written request for such amicable settlement, shall be referred by either Party to arbitration in accordance with the UNCITRAL Arbitration Rules then obtaining. The decisions of the arbitral tribunal shall be based on general principles of international commercial law. For all evidentiary questions, the arbitral tribunal shall be guided by the Supplementary Rules Governing the Presentation and Reception of Evidence in International Commercial Arbitration of the International Bar Association, 28 May 1983 edition. The arbitral tribunal shall be empowered to order the return or destruction of goods or any property, whether tangible or intangible, or of any confidential information provided under the Contract, order the termination of the Contract, or order that any other protective measures be taken with respect to the goods, services or any other property, whether tangible or intangible, or of any confidential information provided under the Contract, as appropriate, all in accordance with the authority of the arbitral tribunal pursuant to Article 26 ("Interim Measures of Protection") and Article 32 ("Form and Effect of the Award") of the UNCITRAL Arbitration Rules. The arbitral tribunal shall have no authority to award punitive damages. In addition, unless otherwise expressly provided in the Contract, the arbitral tribunal shall have no authority to award interest in excess of the London Inter-Bank Offered Rate ("LIBOR") then prevailing, and any such interest shall be simple interest only. The Parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such dispute, controversy, or claim.

## **17.0 PRIVILEGES AND IMMUNITIES:**

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

## **18.0 TAX EXEMPTION**

**18.1** Section 7 of the Convention on the Privileges and Immunities of the United Nations provides, inter-alia that the United Nations, including its subsidiary organs, is exempt from all direct taxes, except charges for public utility services, and is exempt from customs duties and charges of a similar nature in respect of articles imported or exported for its official use. In the event any governmental authority refuses to recognize the United Nations exemption from such taxes, duties or charges, the Contractor shall immediately consult with the UNDP to determine a mutually acceptable procedure.

**18.2** Accordingly, the Contractor authorizes UNDP to deduct from the Contractor's invoice any amount representing such taxes, duties or charges, unless the Contractor has consulted with the UNDP before the payment thereof and the UNDP has, in each instance, specifically authorized the Contractor to pay such taxes, duties or charges under protest. In that event, the Contractor shall provide the UNDP with written evidence that payment of such taxes, duties or charges has been made and appropriately authorized.

## **19.0 CHILD LABOUR**

**19.1** The Contractor represents and warrants that neither it, nor any of its suppliers is engaged in any practice inconsistent with the rights set forth in the Convention on the Rights of the Child, including Article 32 thereof,



which, inter alia, requires that a child shall be protected from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical mental, spiritual, moral or social development.

**19.2** Any breach of this representation and warranty shall entitle UNDP to terminate this Contract immediately upon notice to the Contractor, at no cost to UNDP.

## **20.0 MINES:**

**20.1** The Contractor represents and warrants that neither it nor any of its suppliers is actively and directly engaged in patent activities, development, assembly, production, trade or manufacture of mines or in such activities in respect of components primarily utilized in the manufacture of Mines. The term "Mines" means those devices defined in Article 2, Paragraphs 1, 4 and 5 of Protocol II annexed to the Convention on Prohibitions and Restrictions on the Use of Certain Conventional Weapons Which May Be Deemed to Be Excessively Injurious or to Have Indiscriminate Effects of 1980.

**20.2** Any breach of this representation and warranty shall entitle UNDP to terminate this Contract immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind of UNDP.

## **21.0 OBSERVANCE OF THE LAW:**

The Contractor shall comply with all laws, ordinances, rules, and regulations bearing upon the performance of its obligations under the terms of this Contract.

## **22.0 SEXUAL EXPLOITATION:**

**22.1** The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by it or by any of its employees or any other persons who may be engaged by the Contractor to perform any services under the Contract. For these purposes, sexual activity with any person less than eighteen years of age, regardless of any laws relating to consent, shall constitute the sexual exploitation and abuse of such person. In addition, the Contractor shall refrain from, and shall take all appropriate measures to prohibit its employees or other persons engaged by it from, exchanging any money, goods, services, offers of employment or other things of value, for sexual favors or activities, or from engaging in any sexual activities that are exploitive or degrading to any person. The Contractor acknowledges and agrees that the provisions hereof constitute an essential term of the Contract and that any breach of this representation and warranty shall entitle UNDP to terminate the Contract immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind.

**22.2** The UNDP shall not apply the foregoing standard relating to age in any case in which the Contractor's personnel or any other person who may be engaged by the Contractor to perform any services under the Contract is married to the person less than the age of eighteen years with whom sexual activity has occurred and in which such marriage is recognized as valid under the laws of the country of citizenship of such Contractor's personnel or such other person who may be engaged by the Contractor to perform any services under the Contract.

## **23.0 SECURITY:**

**23.1** The Contractor shall:

- (a) Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the services are being provided;
- (b) Assume all risks and liabilities related to the Contractor's security, and the full implementation of the security plan.

**23.2** UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this contract. Notwithstanding the foregoing, the Contractor shall remain solely responsible for the security of its personnel and for UNDP's property in its custody as set forth in paragraph 4.1 above.

## **24.0 AUDITS AND INVESTIGATIONS:**

**24.1** Each invoice paid by UNDP shall be subject to a post-payment audit by auditors, whether internal or external, of UNDP or the authorized agents of the UNDP at any time during the term of the Contract and for a period of three (3) years following the expiration or prior termination of the Contract. The UNDP shall be entitled to a refund from the Contractor for any amounts shown by such audits to have been paid by the UNDP other than in accordance with the terms and conditions of the Contract. Should the audit determine that any funds paid by UNDP have not been used as per contract clauses, the company shall reimburse such funds forthwith. Where the company fails to reimburse such funds, UNDP reserves the right to seek recovery and/or to take any other action as it deems necessary.

**24.2** The Contractor acknowledges and agrees that, at anytime, UNDP may conduct investigations relating to any aspect of the Contract, the obligations performed under the Contract, and the operations of the Contractor generally. The right of UNDP to conduct an investigation and the Contractor's obligation to comply with such an investigation shall not lapse upon expiration or prior termination of the Contract. The Contractor shall provide its full and timely cooperation with any such inspections, post-payment audits or investigations. Such cooperation shall include, but shall not be limited to, the Contractor's obligation to make available its personnel and any documentation for such purposes and to grant to UNDP access to the Contractor's premises. The Contractor shall require its agents, including, but not limited to, the Contractor's attorneys, accountants or other advisers, to reasonably cooperate with any inspections, post-payment audits or investigations carried out by UNDP hereunder.

## **25.0 ANTI-TERRORISM:**

**25.1** The Contractor agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received under this Contract are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Contract.

## **26.0 AUTHORITY TO MODIFY:**

Pursuant to the Financial Regulations and Rules of UNDP, only the UNDP Authorized Official possesses the authority to agree on behalf of UNDP to any modification of or change in this Agreement, to a waiver of any of its provisions or to any additional contractual relationship of any kind with the Contractor. Accordingly, no modification or change in this Contract shall be valid and enforceable against UNDP unless provided by an amendment to this Agreement signed by the Contractor and jointly by the UNDP Authorized Official.

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