

United Nations Capital Development Fund



REQUEST FOR PROPOSAL

RFP No.: 78448

Project: Mid-Term Evaluation of UNCDF's support to the Development Initiative for Northern Uganda (DINU)

Country: Uganda

Issued on: 11 May 2021

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Section 1. Letter of Invitation

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

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

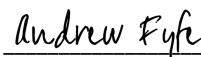
- Section 1: This Letter of Invitation
- Section 2: Instruction to Bidders
- Section 3: Bid Data Sheet (BDS)
- Section 4: Evaluation Criteria
- Section 5: Terms of Reference
- Section 6: Returnable Bidding Forms
 - o Form A: Technical Proposal Submission Form
 - o Form B: Bidder Information Form
 - o Form C: Joint Venture/Consortium/Association Information Form
 - o Form D: Qualification Form
 - o Form E: Format of Technical Proposal
 - o Form F: Financial Proposal Submission Form
 - o Form G: Financial Proposal Form

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

Please acknowledge receipt of this RFP by sending an email to Uncdf.procurement@uncdf.org, indicating whether you intend to submit a Proposal or otherwise. You may also utilize the "Accept Invitation" function in e-Tendering system, where applicable. This will enable you to receive amendments or updates to the RFP. Should you require further clarifications, kindly communicate with the contact person/s identified in the attached Bid Data Sheet as the focal point for queries on this RFP.

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

Issued/Approved by



Andrew Fyfe
Head, Evaluation, UNCDF
Date: 11 May 2021

Section 2. Instruction to Bidders

A. GENERAL PROVISIONS	
1. Introduction	1.1 Bidders shall adhere to all the requirements of this RFP, including any amendments in writing by UNCDF. This RFP is conducted in accordance with the UNCDF Programme and Operations Policies and Procedures (POPP) on Contracts and Procurement which can be accessed at https://popp.UNCDF.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d
	1.2 Any Proposal submitted will be regarded as an offer by the Bidder and does not constitute or imply the acceptance of the Proposal by UNCDF. UNCDF is under no obligation to award a contract to any Bidder as a result of this RFP.
	1.3 As part of the bid, it is desired that the Bidder registers at the United Nations Global Marketplace (UNGM) website (www.ungm.org). The Bidder may still submit a bid even if not registered with the UNGM. However, if the Bidder is selected for contract award, the Bidder must register on the UNGM prior to contract signature.
2. Fraud & Corruption, Gifts and Hospitality	2.1 UNCDF strictly enforces a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical or unprofessional practices, and obstruction of UNCDF vendors and requires all bidders/vendors observe the highest standard of ethics during the procurement process and contract implementation. UNCDF's Anti-Fraud Policy can be found at http://www.UNCDF.org/content/UNCDF/en/home/operations/accountability/audit/office_of_audit_andinvestigation.html#anti
	2.2 Bidders/vendors shall not offer gifts or hospitality of any kind to UNCDF staff members including recreational trips to sporting or cultural events, theme parks or offers of holidays, transportation, or invitations to extravagant lunches or dinners.
	2.3 In pursuance of this policy, UNCDF (a) Shall reject a proposal if it determines that the selected bidder has engaged in any corrupt or fraudulent practices in competing for the contract in question; (b) Shall declare a vendor ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines that the vendor has engaged in any corrupt or fraudulent practices in competing for, or in executing a UNCDF contract.
	2.4 All Bidders must adhere to the UN Supplier Code of Conduct, which may be found at http://www.un.org/depts/ptd/pdf/conduct_english.pdf
3. Eligibility	3.1 A vendor should not be suspended, debarred, or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization. Vendors are therefore required to disclose to UNCDF whether they are subject to any sanction or temporary suspension imposed by these organizations.
	3.2 It is the Bidder's responsibility to ensure that its employees, joint venture members, sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by UNCDF.
4. Conflict of Interests	4.1 Bidders must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. Bidders found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Bidders, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this solicitation process, if they:

	<p>a) Are or have been associated in the past, with a firm or any of its affiliates which have been engaged by UNCDF 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;</p> <p>b) Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or</p> <p>c) Are found to be in conflict for any other reason, as may be established by, or at the discretion of UNCDF.</p> <p>4.2 In the event of any uncertainty in the interpretation of a potential conflict of interest, Bidders must disclose to UNCDF, and seek UNCDF's confirmation on whether or not such a conflict exists.</p> <p>4.3 Similarly, the Bidders must disclose in their proposal their knowledge of the following:</p> <p>a) If the owners, part-owners, officers, directors, controlling shareholders, of the bidding entity or key personnel are family members of UNCDF staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this RFP; and</p> <p>b) All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.</p> <p>Failure to disclose such an information may result in the rejection of the proposal or proposals affected by the non-disclosure.</p> <p>4.4 The eligibility of Bidders that are wholly or partly owned by the Government shall be subject to UNCDF's further evaluation and review of various factors such as being registered, operated and managed as an independent business entity, the extent of Government ownership/share, receipt of subsidies, mandate and access to information in relation to this RFP, among others. Conditions that may lead to undue advantage against other Bidders may result in the eventual rejection of the Proposal.</p>
B. PREPARATION OF PROPOSALS	
5. General Considerations	<p>5.1 In preparing the Proposal, the Bidder is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.</p> <p>5.2 The Bidder will not be permitted to take advantage of any errors or omissions in the RFP. Should such errors or omissions be discovered, the Bidder must notify the UNCDF.</p>
6. Cost of Preparation of Proposal	<p>6.1 The Bidder shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. UNCDF shall not be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.</p>
7. Language	<p>7.1 The Proposal, as well as any and all related correspondence exchanged by the Bidder and UNCDF, shall be written in the language (s) specified in the BDS.</p>
8. Documents Comprising the Proposal	<p>8.1 The Proposal shall comprise of the following documents:</p> <p>a) Documents Establishing the Eligibility and Qualifications of the Bidder;</p> <p>b) Technical Proposal;</p> <p>c) Financial Proposal;</p> <p>d) Proposal Security, if required by BDS;</p> <p>e) Any attachments and/or appendices to the Proposal.</p>
9. Documents	<p>9.1 The Bidder shall furnish documentary evidence of its status as an eligible and</p>

Establishing the Eligibility and Qualifications of the Bidder	qualified vendor, using the Forms provided under Section 6 and providing documents required in those forms. In order to award a contract to a Bidder, its qualifications must be documented to UNCDF's satisfaction.
10. Technical Proposal Format and Content	<p>10.1 The Bidder is required to submit a Technical Proposal using the Standard Forms and templates provided in Section 6 of the RFP.</p> <p>10.2 The Technical Proposal shall not include any price or financial information. A Technical Proposal containing material financial information may be declared non-responsive.</p> <p>10.3 Samples of items, when required as per Section 5, shall be provided within the time specified and unless otherwise specified by UNCDF, and at no expense to UNCDF</p> <p>10.4 When applicable and required as per Section 5, the Bidder shall describe the necessary training programme available for the maintenance and operation of the services and/or equipment offered as well as the cost to the UNCDF. Unless otherwise specified, such training as well as training materials shall be provided in the language of the Bid as specified in the BDS.</p>
11. Financial Proposals	<p>11.1 The Financial Proposal shall be prepared using the Standard Form provided in Section 6 of the RFP. It shall list all major cost components associated with the services, and the detailed breakdown of such costs.</p> <p>11.2 Any output and activities described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, as well as in the final total price.</p> <p>11.3 Prices and other financial information must not be disclosed in any other place except in the financial proposal.</p>
12. Proposal Security	<p>12.1 A Proposal Security, if required by BDS, shall be provided in the amount and form indicated in the BDS. The Proposal Security shall be valid up to thirty (30) days after the final date of validity of the Proposal.</p> <p>12.2 The Proposal Security shall be included along with the Technical Proposal. If Proposal Security is required by the RFP but is not found along with the Technical Proposal, the Proposal shall be rejected.</p> <p>12.3 If the Proposal Security amount or its validity period is found to be less than what is required by UNCDF, UNCDF shall reject the Proposal.</p> <p>12.4 In the event an electronic submission is allowed in the BDS, Bidders shall include a copy of the Bid Security in their proposal and the original of the Proposal Security must be sent via courier or hand delivery as per the instructions in BDS.</p> <p>12.5 The Proposal Security may be forfeited by UNCDF, and the Proposal rejected, in the event of any one or combination, of the following conditions:</p> <p>a) If the Bidder withdraws its offer during the period of the Proposal Validity specified in the BDS, or;</p> <p>b) In the event that the successful Bidder fails:</p> <p>i. to sign the Contract after UNCDF has issued an award; or</p> <p>12.6 to furnish the Performance Security, insurances, or other documents that UNCDF may require as a condition precedent to the effectivity of the contract that may be awarded to the Bidder.</p>
13. Currencies	<p>13.1 All prices shall be quoted in the currency or currencies indicated in the BDS. Where Proposals are quoted in different currencies, for the purposes of comparison of all</p>

	<p>Proposals:</p> <ul style="list-style-type: none"> a) UNCDF will convert the currency quoted in the Proposal into the UNCDF 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 UNCDF selects a proposal for award that is quoted in a currency different from the preferred currency in the BDS, UNCDF shall reserve the right to award the contract in the currency of UNCDF's preference, using the conversion method specified above.
14. Joint Venture, Consortium or Association	<p>14.1 If the Bidder is a group of legal entities that will form or have formed a Joint Venture (JV), Consortium or Association for the Proposal, they shall confirm in their Proposal that : (i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the JV, Consortium or Association jointly and severally, which shall be evidenced by a duly notarized Agreement among the legal entities, and submitted with the Proposal; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNCDF and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.</p> <p>14.2 After the Deadline for Submission of Proposal, the lead entity identified to represent the JV, Consortium or Association shall not be altered without the prior written consent of UNCDF.</p> <p>14.3 The lead entity and the member entities of the JV, Consortium or Association shall abide by the provisions of Clause 9 herein in respect of submitting only one proposal.</p> <p>14.4 The description of the organization of the JV, Consortium or Association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the JV, Consortium or Association Agreement. All entities that comprise the JV, Consortium or Association shall be subject to the eligibility and qualification assessment by UNCDF.</p> <p>14.5 A JV, Consortium or Association in presenting its track record and experience should clearly differentiate between:</p> <ul style="list-style-type: none"> a) Those that were undertaken together by the JV, Consortium or Association; and b) Those that were undertaken by the individual entities of the JV, Consortium or Association. <p>14.6 Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the JV, Consortium or Association or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.</p> <p>14.7 JV, Consortium or Associations are encouraged for high value, multi-sectoral requirements when the spectrum of expertise and resources required may not be available within one firm.</p>
15. Only One Proposal	<p>15.1 The Bidder (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture.</p> <p>15.2 Proposals submitted by two (2) or more Bidders shall all be rejected if they are found to have any of the following:</p> <ul style="list-style-type: none"> a) they have at least one controlling partner, director or shareholder in common; or

	<ul style="list-style-type: none"> b) any one of them receive or have received any direct or indirect subsidy from the other/s; or c) they have the same legal representative for purposes of this RFP; or d) they have a relationship with each other, directly or through common third parties, that puts them in a position to have access to information about, or influence on the Proposal of, another Bidder regarding this RFP process; e) they are subcontractors to each other's Proposal, or a subcontractor to one Proposal also submits another Proposal under its name as lead Bidder; or f) some key personnel proposed to be in the team of one Bidder participates in more than one Proposal received for this RFP process. This condition relating to the personnel, does not apply to subcontractors being included in more than one Proposal.
16. Proposal Validity Period	<p>16.1 Proposals shall remain valid for the period specified in the BDS, commencing on the Deadline for Submission of Proposals. A Proposal valid for a shorter period may be rejected by UNCDF and rendered non-responsive.</p> <p>16.2 During the Proposal validity period, the Bidder shall maintain its original Proposal without any change, including the availability of the Key Personnel, the proposed rates and the total price.</p>
17. Extension of Proposal Validity Period	<p>17.1 In exceptional circumstances, prior to the expiration of the proposal validity period, UNCDF may request Bidders to extend the period of validity of their Proposals. The request and the responses shall be made in writing, and shall be considered integral to the Proposal.</p> <p>17.2 If the Bidder agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal.</p> <p>17.3 The Bidder has the right to refuse to extend the validity of its Proposal, and in which case, such Proposal will not be further evaluated.</p>
18. Clarification of Proposal	<p>18.1 Bidders may request clarifications on any of the RFP documents no later than the date indicated in the BDS. Any request for clarification must be sent in writing in the manner indicated in the BDS. If inquiries are sent other than specified channel, even if they are sent to a UNCDF staff member, UNCDF shall have no obligation to respond or confirm that the query was officially received.</p> <p>18.2 UNCDF will provide the responses to clarifications through the method specified in the BDS.</p> <p>18.3 UNCDF shall endeavor to provide responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of UNCDF to extend the submission date of the Proposals, unless UNCDF deems that such an extension is justified and necessary.</p>
19. Amendment of Proposals	<p>19.1 At any time prior to the deadline of Proposal submission, UNCDF may for any reason, such as in response to a clarification requested by a Bidder, modify the RFP in the form of an amendment to the RFP. Amendments will be made available to all prospective bidders.</p> <p>19.2 If the amendment is substantial, UNCDF may extend the Deadline for submission of proposal to give the Bidders reasonable time to incorporate the amendment into their Proposals.</p>
20. Alternative Proposals	<p>20.1 Unless otherwise specified in the BDS, alternative proposals shall not be considered. If submission of alternative proposal is allowed by BDS, a Bidder may submit an alternative proposal, but only if it also submits a proposal conforming to the RFP requirements. UNCDF shall only consider the alternative proposal offered by the</p>

	<p>Bidder whose conforming proposal ranked the highest as per the specified evaluation method. Where the conditions for its acceptance are met, or justifications are clearly established, UNCDF reserves the right to award a contract based on an alternative proposal.</p> <p>20.2 If multiple/alternative proposals are being submitted, they must be clearly marked as "Main Proposal" and "Alternative Proposal"</p>
21. Pre-Bid Conference	<p>21.1 When appropriate, a Bidder's conference will be conducted at the date, time and location specified in the BDS. All Bidders are encouraged to attend. Non-attendance, however, shall not result in disqualification of an interested Bidder. Minutes of the Bidder's conference will be disseminated on the procurement website and shared by email or on the e-Tendering platform as specified in the BDS. No verbal statement made during the conference shall modify the terms and conditions of the RFP, unless specifically incorporated in the Minutes of the Bidder's Conference or issued/posted as an amendment to RFP.</p>
C. SUBMISSION AND OPENING OF PROPOSALS	
22. Submission	<p>22.1 The Bidder shall submit a duly signed and complete Proposal comprising the documents and forms in accordance with the requirements in the BDS. The submission shall be in the manner specified in the BDS.</p> <p>22.2 The Proposal shall be signed by the Bidder or person(s) duly authorized to commit the Bidder. The authorization shall be communicated through a document evidencing such authorization issued by the legal representative of the bidding entity, or a Power of Attorney, accompanying the Proposal.</p> <p>22.3 Bidders must be aware that the mere act of submission of a Proposal, in and of itself, implies that the Bidder fully accepts the UNCDF General Contract Terms and Conditions.</p>
Hard copy (manual) submission	<p>22.4 Hard copy (manual) submission by courier or hand delivery allowed or specified in the BDS shall be governed as follows:</p> <ul style="list-style-type: none"> a) The signed Proposal shall be marked "Original", and its copies marked "Copy" as appropriate. The number of copies is indicated in the BDS. All copies shall be made from the signed original only. If there are discrepancies between the original and the copies, the original shall prevail. b) The Technical Proposal and the Financial Proposal envelopes MUST BE COMPLETELY SEPARATE and each of them must be submitted sealed individually and clearly marked on the outside as either "TECHNICAL PROPOSAL" or "FINANCIAL PROPOSAL", as appropriate. Each envelope SHALL clearly indicate the name of the Bidder. The outer envelopes shall: <ul style="list-style-type: none"> i. Bear the name and address of the bidder; ii. Be addressed to UNCDF as specified in the BDS iii. Bear a warning that states <i>"Not to be opened before the time and date for proposal opening"</i> as specified in the BDS. <p>If the envelopes and packages with the Proposal are not sealed and marked as required, UNCDF shall assume no responsibility for the misplacement, loss, or premature opening of the Proposal.</p> <p>22.5 Email submission, if allowed or specified in the BDS, shall be governed as follows:</p>
Email Submission	

eTendering submission	<p>a) Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS;</p> <p>b) The Technical Proposal and the Financial Proposal files MUST BE COMPLETELY SEPARATE. The financial proposal shall be encrypted with different passwords and clearly labelled. The files must be sent to the dedicated email address specified in the BDS.</p> <p>c) The password for opening the Financial Proposal should be provided only upon request of UNCDF. UNCDF will request password only from bidders whose Technical Proposal has been found to be technically responsive. Failure to provide correct password may result in the proposal being rejected.</p> <p>22.6 Electronic submission through eTendering, if allowed or specified in the BDS, shall be governed as follows:</p> <p>a) Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS;</p> <p>b) The Technical Proposal and the Financial Proposal files MUST BE COMPLETELY SEPARATE and each of them must be uploaded individually and clearly labelled.</p> <p>d) The Financial Proposal file must be encrypted with a password so that it cannot be opened nor viewed until the password is provided. The password for opening the Financial Proposal should be provided only upon request of UNCDF. UNCDF will request password only from bidders whose technical proposal has been found to be technically responsive. Failure to provide the correct password may result in the proposal being rejected.</p> <p>c) Documents which are required to be in original form (e.g. Bid Security, etc.) must be sent via courier or hand delivery as per the instructions in BDS.</p> <p>d) Detailed instructions on how to submit, modify or cancel a bid in the eTendering system are provided in the eTendering system Bidder User Guide and Instructional videos available on this link: http://www.UNCDF.org/content/UNCDF/en/home/operations/procurement/business/procurement-notice/resources/</p>
23. Deadline for Submission of Proposals and Late Proposals	<p>23.1 Complete Proposals must be received by UNCDF in the manner, and no later than the date and time, specified in the BDS. UNCDF shall only recognize the date and time that the bid was received by UNCDF</p> <p>23.2 UNCDF shall not consider any Proposal that is submitted after the deadline for the submission of Proposals.</p>
24. Withdrawal, Substitution, and Modification of Proposals	<p>24.1 A Bidder may withdraw, substitute or modify its Proposal after it has been submitted at any time prior to the deadline for submission.</p> <p>24.2 Manual and Email submissions: A bidder may withdraw, substitute or modify its Proposal by sending a written notice to UNCDF, duly signed by an authorized representative, and shall include a copy of the authorization (or a Power of Attorney). The corresponding substitution or modification of the Proposal, if any, must accompany the respective written notice. All notices must be submitted in the same manner as specified for submission of proposals, by clearly marking them as "WITHDRAWAL" "SUBSTITUTION," or "MODIFICATION"</p> <p>24.3 eTendering: A Bidder may withdraw, substitute or modify its Proposal by Canceling, Editing, and re-submitting the proposal directly in the system. It is the responsibility of the Bidder to properly follow the system instructions, duly edit and submit a substitution or modification of the Proposal as needed. Detailed instructions on how to cancel or modify a Proposal directly in the system are provided in Bidder User</p>

	<p>Guide and Instructional videos.</p> <p>24.4 Proposals requested to be withdrawn shall be returned unopened to the Bidders (only for manual submissions), except if the bid is withdrawn after the bid has been opened</p>
25. Proposal Opening	<p>25.1 There is no public bid opening for RFPs. UNCDF shall open the Proposals in the presence of an ad-hoc committee formed by UNCDF, consisting of at least two (2) members. In the case of e-Tendering submission, bidders will receive an automatic notification once their proposal is opened.</p>
D. EVALUATION OF PROPOSALS	
26. Confidentiality	<p>26.1 Information relating to the examination, evaluation, and comparison of Proposals, and the recommendation of contract award, shall not be disclosed to Bidders or any other persons not officially concerned with such process, even after publication of the contract award.</p> <p>26.2 Any effort by a Bidder or anyone on behalf of the Bidder to influence UNCDF in the examination, evaluation and comparison of the Proposals or contract award decisions may, at UNCDF's decision, result in the rejection of its Proposal and may be subject to the application of prevailing UNCDF's vendor sanctions procedures.</p>
27. Evaluation of Proposals	<p>27.1 The Bidder is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under Clause 24 of this RFP. UNCDF will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.</p> <p>27.2 Evaluation of proposals is made of the following steps:</p> <ol style="list-style-type: none"> Preliminary Examination Minimum Eligibility and Qualification (if pre-qualification is not done) Evaluation of Technical Proposals Evaluation of Financial Proposals
28. Preliminary Examination	<p>28.1 UNCDF shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, and whether the Proposals are generally in order, among other indicators that may be used at this stage. UNCDF reserves the right to reject any Proposal at this stage.</p>
29. Evaluation of Eligibility and Qualification	<p>29.1 Eligibility and Qualification of the Bidder will be evaluated against the Minimum Eligibility/Qualification requirements specified in the Section 4 (Evaluation Criteria).</p> <p>29.2 In general terms, vendors that meet the following criteria may be considered qualified:</p> <ol style="list-style-type: none"> They are not included in the UN Security Council 1267/1989 Committee's list of terrorists and terrorist financiers, and in UNCDF's ineligible vendors' list; They have a good financial standing and have access to adequate financial resources to perform the contract and all existing commercial commitments, They have the necessary similar experience, technical expertise, production capacity where applicable, quality certifications, quality assurance procedures and other resources applicable to the provision of the services required; They are able to comply fully with UNCDF General Terms and Conditions of Contract; They do not have a consistent history of court/arbitral award decisions against the Bidder; and They have a record of timely and satisfactory performance with their clients.
30. Evaluation of	<p>30.1 The evaluation team shall review and evaluate the Technical Proposals on the basis</p>

<p>Technical and Financial Proposals</p>	<p>of their responsiveness to the Terms of Reference and other RFP documents, applying the evaluation criteria, sub-criteria, and point system specified in the Section 4 (Evaluation Criteria). A Proposal shall be rendered non-responsive at the technical evaluation stage if it fails to achieve the minimum technical score indicated in the BDS. When necessary and if stated in the BDS, UNCDF may invite technically responsive bidders for a presentation related to their technical proposals. The conditions for the presentation shall be provided in the bid document where required.</p> <p>30.2 In the second stage, only the Financial Proposals of those Bidders who achieve the minimum technical score will be opened for evaluation. The Financial Proposals corresponding to Technical Proposals that were rendered non-responsive shall remain unopened, and, in the case of manual submission, be returned to the Bidder unopened. For emailed Proposals and e-tendering submissions, UNCDF will not request for the password of the Financial Proposals of bidders whose Technical Proposal were found not responsive.</p> <p>30.3 The evaluation method that applies for this RFP shall be as indicated in the BDS, which may be either of two (2) possible methods, as follows: (a) the lowest priced method which selects the lowest evaluated financial proposal of the technically responsive Bidders; or (b) the combined scoring method which will be based on a combination of the technical and financial score.</p> <p>30.4 When the BDS specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:</p> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p><u>Rating the Technical Proposal (TP):</u></p> <p>TP Rating = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100</p> <p><u>Rating the Financial Proposal (FP):</u></p> <p>FP Rating = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100</p> <p><u>Total Combined Score:</u></p> <p>Combined Score = (TP Rating) x (Weight of TP, e.g. 70%) + (FP Rating) x (Weight of FP, e.g., 30%)</p> </div>
<p>31. Due Diligence</p>	<p>31.1 UNCDF reserves the right to undertake a due diligence exercise, also called post qualification, aimed at determining to its satisfaction, the validity of the information provided by the Bidder. Such exercise shall be fully documented and may include, but need not be limited to, all or any combination of the following:</p> <ul style="list-style-type: none"> a) Verification of accuracy, correctness and authenticity of information provided by the Bidder; b) Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team; c) Inquiry and reference checking with Government entities with jurisdiction on the Bidder, or with previous clients, or any other entity that may have done business with the Bidder; d) Inquiry and reference checking with previous clients on the performance on on-going or contracts completed, including physical inspections of previous works, as necessary; e) Physical inspection of the Bidder's offices, branches or other places where business transpires, with or without notice to the Bidder; f) Other means that UNCDF may deem appropriate, at any stage within the selection process, prior to awarding the contract.

32. Clarification of Proposals	<p>32.1 To assist in the examination, evaluation and comparison of Proposals, UNCDF may, at its discretion, ask any Bidder for a clarification of its Proposal.</p> <p>32.2 UNCDF's request for clarification and the response shall be in writing and no change in the prices or substance of the Proposal shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNCDF in the evaluation of the Proposals, in accordance with RFP.</p> <p>32.3 Any unsolicited clarification submitted by a Bidder in respect to its Proposal, which is not a response to a request by UNCDF, shall not be considered during the review and evaluation of the Proposals.</p>
33. Responsiveness of Proposal	<p>33.1 UNCDF's determination of a Proposal's responsiveness will be based on the contents of the Proposal itself. A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.</p> <p>33.2 If a Proposal is not substantially responsive, it shall be rejected by UNCDF and may not subsequently be made responsive by the Bidder by correction of the material deviation, reservation, or omission.</p>
34. Nonconformities, Repairable Errors and Omissions	<p>34.1 Provided that a Proposal is substantially responsive, UNCDF may waive any non-conformities or omissions in the Proposal that, in the opinion of UNCDF, do not constitute a material deviation.</p> <p>34.2 UNCDF may request the Bidder to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Bidder to comply with the request may result in the rejection of its Proposal.</p> <p>34.3 For Financial Proposal that has been opened, UNCDF shall check and correct arithmetical errors as follows:</p> <ul style="list-style-type: none"> a) if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total shall be corrected, unless in the opinion of UNCDF there is an obvious misplacement of the decimal point in the unit price; in which case the line item total as quoted shall govern and the unit price shall be corrected; b) if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected; and c) if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail. <p>34.4 If the Bidder does not accept the correction of errors made by UNCDF, its Proposal shall be rejected.</p>
E. AWARD OF CONTRACT	
35. Right to Accept, Reject, Any or All Proposals	<p>35.1 UNCDF reserves the right to accept or reject any Proposal, to render any or all of the Proposals as non-responsive, and to reject all Proposals at any time prior to award of contract, without incurring any liability, or obligation to inform the affected Bidder(s) of the grounds for UNCDF's action. UNCDF shall not be obliged to award the contract to the lowest priced offer.</p>
36. Award Criteria	<p>36.1 Prior to expiration of the proposal validity, UNCDF shall award the contract to the</p>

	qualified Bidder based on the award criteria indicated in the BDS.
37. Debriefing	37.1 In the event that a Bidder is unsuccessful, the Bidder may request a debriefing from UNCDF. The purpose of the debriefing is to discuss the strengths and weaknesses of the Bidder's submission, in order to assist the Bidder in improving its future proposals for UNCDF procurement opportunities. The content of other proposals and how they compare to the Bidder's submission shall not be discussed.
38. Right to Vary Requirements at the Time of Award	38.1 At the time of award of Contract, UNCDF 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.
39. Contract Signature	39.1 Within fifteen (15) days from the date of receipt of the Contract, the successful Bidder shall sign and date the Contract and return it to UNCDF. Failure to do so may constitute sufficient grounds for the annulment of the award, and forfeiture of the Proposal Security, if any, and on which event, UNCDF may award the Contract to the Second Ranked Bidder or call for new Proposals.
40. Contract Type and General Terms and Conditions	40.1 The types of Contract to be signed and the applicable UNCDF Contract General Terms and Conditions, as specified in BDS, can be accessed at http://www.UNCDF.org/content/UNCDF/en/home/procurement/business/how-we-buy.html
41. Performance Security	41.1 40.1 A performance security, if required in BDS, shall be provided in the amount specified in BDS and form available at https://popp.UNCDF.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNCDF_POPP_DOCUMENT_LIBRARY/Public/PSU_Solicitation_Performance%20Guarantee%20Form.docx&action=default within fifteen (15) days of the contract signature by both parties. Where a performance security is required, the receipt of the performance security by UNCDF shall be a condition for rendering the contract effective.
42. Bank Guarantee for Advanced Payment	42.1 Except when the interests of UNCDF so require, it is UNCDF's preference to make no advance payment(s) (i.e., payments without having received any outputs). If an advance payment is allowed as per BDS, and exceeds 20% of the total contract price, or USD 30,000, whichever is less, the Bidder shall submit a Bank Guarantee in the full amount of the advance payment in the form available at https://popp.UNCDF.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNCDF_POPP_DOCUMENT_LIBRARY/Public/PSU_Contract%20Management%20Payment%20and%20Taxes_Advanced%20Payment%20Guarantee%20Form.docx&action=default
43. Liquidated Damages	43.1 If specified in BDS, UNCDF shall apply Liquidated Damages resulting from the Contractor's delays or breach of its obligations as per the Contract.
44. Payment Provisions	44.1 Payment will be made only upon UNCDF's acceptance of the work performed. The terms of payment shall be within thirty (30) days, after receipt of invoice and certification of acceptance of work issued by the proper authority in UNCDF with direct supervision of the Contractor. Payment will be effected by bank transfer in the currency of contract.
45. Vendor Protest	45.1 UNCDF's vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a contract through a competitive procurement process. In the event that a Bidder believes that it was not treated fairly, the following link provides further details regarding UNCDF vendor protest procedures: http://www.UNCDF.org/content/UNCDF/en/home/operations/procurement/business/protest-and-sanctions.html

46. Other Provisions	<p>46.1 In the event that the Bidder offers a lower price to the host Government (e.g. General Services Administration (GSA) of the federal government of the United States of America) for similar services, UNCDF shall be entitled to same lower price. The UNCDF General Terms and Conditions shall have precedence.</p> <p>46.2 UNCDF is entitled to receive the same pricing offered by the same Contractor in contracts with the United Nations and/or its Agencies. The UNCDF General Terms and Conditions shall have precedence.</p> <p>46.3 The United Nations has established restrictions on employment of (former) UN staff who have been involved in the procurement process as per bulletin ST/SGB/2006/15 http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2006/15&referer</p>
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Section 3. Bid Data Sheet

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

BDS No.	Ref. to Section.2	Data	Specific Instructions / Requirements
1	7	Language of the Proposal	English
2		Submitting Proposals for Parts or sub-parts of the TOR (partial bids)	Not Allowed
3	20	Alternative Proposals	Shall not be considered
4	21	Pre-proposal conference	Will not be conducted
5	10	Proposal Validity Period	90 days
6	14	Bid Security	Not Required
7	41	Advanced Payment upon signing of contract	Not Allowed
8	42	Liquidated Damages	Will not be imposed
9	40	Performance Security	Not Required
10	18	Currency of Proposal	United States Dollar
11	31	Deadline for submitting requests for clarifications/ questions	21 May 2021

12	31	Contact Details for submitting clarifications/questions	Focal Person in UNCDF: Pietro Tornese Address: E-mail address: uncdf.procurement@uncdf.org and copy to pietro.tornese@uncdf.org
13	18, 19 and 21	Manner of Disseminating Supplemental Information to the RFP and responses/clarifications to queries	Direct communication to prospective Proposers by email and Posting on the website http://procurement-notice.undp.org/
14	23	Deadline for Submission	2 June, 2021
14	22	Allowable Manner of Submitting Proposals	Submission by email
15	22	Proposal Submission Address	Uncdf.procurement@uncdf.org
16	22	Electronic submission (email or eTendering) requirements	<ul style="list-style-type: none"> ▪ Format: PDF files only ▪ File names must be maximum 60 characters long and must not contain any letter or special character other than from Latin alphabet/keyboard. ▪ All files must be free of viruses and not corrupted. ▪ Password for technical proposal <u>must</u> not be provided to UNCDF until the date as indicated in No. 14 (<i>for email submission only</i>) ▪ Password for financial proposal <u>must</u> not be provided to UNCDF until requested by UNCDF ▪ Max. File Size per transmission: 35 MB <ul style="list-style-type: none"> ▪ Mandatory subject of email: RFP/ UNCDF/ 78448- Mid-Term Evaluation of UNCDF's support to the Development Initiative for Northern Uganda (DINU) ▪ Documents which are required in original (e.g., Proposal Security, only if required) should be sent to the below address with a PDF copy submitted as part of the electronic submission: Two UN Plaza, 26th Floor, Room DC2-2621A New York, NY 10017 (USA)
17	27 36	Evaluation Method for the Award of Contract	Combined Scoring Method, using the 70%-30% distribution for technical and financial proposals respectively The minimum technical score required to pass is 70%.
18		Expected date for commencement of Contract	<i>July 1, 2021</i>

19		Maximum expected duration of contract	9 months of project implementation
20	35	UNCDF will award the contract to:	One Proposer Only
21	39	Type of Contract	Contract for Goods and Services on behalf of UN Entities http://www.UNCDF.org/content/UNCDF/en/home/procurement/business/how-we-buy.html
22	39	UNCDF Contract Terms and Conditions that will apply	UNCDF General Terms and Conditions for Mixed Goods and Services http://www.UNCDF.org/content/UNCDF/en/home/procurement/business/how-we-buy.html
23		Other Information Related to the RFP	

Section 4. Evaluation Criteria

Preliminary Examination Criteria

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

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

Minimum Eligibility and Qualification Criteria

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

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

Subject	Criteria	Document Submission requirement
ELIGIBILITY		
Legal Status	Vendor is a legally registered entity.	Form B: Bidder Information Form
Eligibility	Vendor is not suspended, nor debarred, nor otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization in accordance with ITB clause 3.	Form A: Technical Proposal Submission Form
Conflict of Interest	No conflicts of interest in accordance with ITB clause 4.	Form A: Technical Proposal Submission Form
Bankruptcy	Not declared bankruptcy, not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against the vendor that could impair its operations in the foreseeable future.	Form A: Technical Proposal Submission Form
QUALIFICATION		
History of Non-Performing Contracts¹	Non-performance of a contract did not occur as a result of contractor default for the last 3 years.	Form D: Qualification Form
Litigation History	No consistent history of court/arbitral award decisions against the Bidder for the last 3 years.	Form D: Qualification Form
	Minimum 3 years of relevant experience.	Form D: Qualification Form

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

Previous Experience	Minimum 2 contracts of similar value, nature and complexity implemented over the last 3 years. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
Financial Standing	Minimum average annual turnover of USD 450,000 for the last 3 years. Net income over the past 2 years should be equal or higher than the price proposal submitted and the current ratio should be at least 1.0 or higher. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
	Bidder must demonstrate the current soundness of its financial standing and indicate its prospective long-term profitability. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
	Any additional criteria if required	

Technical Evaluation Criteria

Summary of Technical Proposal Evaluation Forms		Points Obtainable
1.	Bidder's qualification, capacity and experience	150
2.	Proposed Methodology, Approach and Implementation Plan	200
3.	Management Structure and Key Personnel	350
<i>Firms totaling at least 490 points out of 700 points during the technical evaluation will be invited to do a presentation</i>		
4.	Demonstrated Presentation Skills and Quality of Responses to Panel Questions	300
	Total	1000

Section 1. Bidder's qualification, capacity and experience		Points obtainable
1.1	<p>Previous performance of the firm in successfully bidding for, conducting and backstopping formative and summative evaluation of international development policy, programmes and projects in the area of local development finance generally, and support to local government PFM – including in the area of local transport infrastructure as well as MSME and SME finance for food security and agriculture specifically.</p> <p>Previous experience using a variety of evaluation approaches (e.g. theory-of-change based, utilization-focused, participatory, gender- and equity-focused project and</p>	60

	<p>programme evaluation) and methods (including performance, outcome and impact evaluation using both quantitative and qualitative data, provided either in secondary form (by the programme itself) or generated by the team themselves during the evaluation itself.</p> <p>Evidence of the firm being able to deliver high quality evaluation reports through submission of three evaluation reports of comparable scope and approach to the evaluation being tendered here.</p>	
1.2	<p>Experience of the firm in providing technical services/ intervening in a broad range of institutional and programme settings, including stand-alone projects or programmes funded by international donors, multi-partner interventions including those set up or involving the UN, as well as direct support to national and local governments working in the area of local economic development generally and in the areas of MSME financing specifically using a broad range of financial instruments such as grants, loans and guarantees.</p>	60
1.3	<p>Knowledge and experience of embedding key standards around promoting gender equality and the empowerment of women in the work that the firm does (e.g. gender mainstreaming, gender analysis, knowledge of human rights based approach to programming and evaluation and demonstration of understanding of economic empowerment of women. These criteria will be assessed on the basis of how gender has been streamlined in previous evaluation reports (see point 1.1 above).</p>	30
Total Section 1		150

Section 2. Proposed Methodology, Approach and Implementation Plan		Points obtainable
2.1	<p>Appropriateness of evaluation design to the programme being assessed. This includes but is not limited to:</p> <ul style="list-style-type: none"> • Appropriateness of the overall methodological approach to the evaluation and variety of evaluation methods and techniques/lines of evidence being proposed to answer the evaluation questions, bearing in mind the complex nature of the local economic and government systems that UNCDF is seeking to influence and the presence of likely alternative drivers of these changes • Quality and appropriateness of the proposed evaluation matrix including proposed judgement criteria/performance indicators and how the lines of evidence will be deployed to answer the evaluation questions at different levels of the theory of change (at the beneficiary level; at the level of programme execution; at the level of key partners – including local governments, and MSMEs in the areas of food security and agriculture - that the programme is working with; as well as the broader local systems level) • Quality of the data collection strategy to be applied in answering the evaluation questions, including details of the qualitative and quantitative tools that will be used in assessing existing secondary data and generating new primary data to answer the evaluation questions. • Appropriateness of the proposed data analysis strategy, including plans to transform the analysis and aggregation of data into evaluation findings • Appropriateness of the proposed approach to case study analysis that can compare and contrast the results of the different programme instruments being deployed in support of the variety of partners across the portfolio. 	120

2.2	Extent to which the proposal highlights how the evaluation will apply a gender responsive lens at different stages of the evaluation cycle (inception, data collection, draft and final reports) with a view to generating findings that take into account the perspective of women, rural, and vulnerable population segments, as well as make use of UNCDF's Gender Economic Empowerment Framework	40
2.3	A detailed evaluation work plan for conducting the evaluation, showing the overall time commitment for the evaluation, as well as specific activities and time allocated to each individual team member. Note that the evaluation team should have sufficient time to complete: <ul style="list-style-type: none"> i. Review of all relevant programme documentation during the inception phase, including a briefing by the project team on the programme during the inception phase; ii. Country visits to programme country; iii. Write up of the evaluation report presenting the findings, conclusions and recommendations of the evaluation as well as the supplementary country reports. 	40
Total Section 2		200

Section 3. Management Structure and Key Personnel		Points obtainable
For the requirements of the evaluation team, please see further details in the Terms of Reference section “Composition of the evaluation team”		
The evaluation team should present a combination of expertise and experience in both the theory and practice of international development evaluation as well as in the various technical areas of UNCDF’s support to DINU.		
3.1	Team composition and management structure It is requested that the proposed evaluation team be made up of at least the following roles: <ul style="list-style-type: none">• 1 Team Leader with at least 10 years of relevant evaluation experience and relevant technical experience• Team member(s) with at least 10-15 years of relevant thematic experience (local government finance, PFM, SME finance, road rehabilitation and upgrading)• At least 1 regional or national expert The evaluation team should strive for gender balance in its composition and include representatives from Uganda and/or who possess background knowledge/expertise in Uganda.	40
3.2	Evaluation expertise/experience <ul style="list-style-type: none">• Proven experience (at least 10 years for the team leader) with designing and conducting international development evaluations that apply relevant mixed-methods evaluation approaches to a variety of different modalities in international development cooperation, involving inter-governmental organisations and their government and private sector counterparts in the sectors targeted by this programme.• Knowledge of how the UN system functions is highly preferred.• Demonstrated experience in integrating gender equality, human rights and youth in evaluation.• Evidence of formal evaluation and research training, including familiarity with OECD or UN norms and standards for development evaluation, as well as the evaluation of complexity as applied to market development approaches, such as that of DCED.	70

	<ul style="list-style-type: none"> Relevant experience of undertaking/participating in evaluations in the areas covered by this intervention, including experience using a range of qualitative and quantitative evaluation methodologies to assess program results at individual, institutional, sector and policy levels. 	
3.3	<p>Thematic expertise/experience 1: Local Government Finance / Public Financial Management</p> <ul style="list-style-type: none"> Proven international experience in the field of local development, local economic development, local government finance, decentralization, intergovernmental fiscal transfer systems, development planning, public financial management and budgeting; <p>Experience in capacity building of local governments in public financial management</p> <ul style="list-style-type: none"> Experience of capacity development in Local government PFM, compliance with National Rules and Regulations, PFM diagnostics for compliance and performance (customized PEFA Methodology) including Community Based interventions in the areas of LG PFM Compliance and Performance; Experience and strong knowledge in technical support to the LGs in applications of IFMS and ICT system at the local level focusing on strengthening capacities of LGs to analyse and make cash flow forecast, budget performance analysis, carry out integrated planning and budgeting processes, implement modern procurement systems, integrated accounting, revenue and expenditure management systems, oversight bodies and mechanisms, improve public service delivery and management; LG Financial Accounting and Regulations Manuals; Experience and knowledge of asset management and development of asset management strategies; Experience and knowledge of Mobile tax registration and payment systems using mobile money platforms; Experience and knowledge of land governance and registration of certificate of customary ownership, to allow communities to affirm their rights and request government protection, increase tenure security, reduce potential for conflict, efficient land information system for service delivery; land dispute resolution, monitoring system Experience of national Annual performance assessment frameworks for Local Governments; <p>Experience in capacity building of Local Governments Units to efficiently mobilise and equitably allocate and utilise local revenue and resources:</p> <ul style="list-style-type: none"> Experience and strong knowledge of LG Development plans and Budgets that are Gender sensitive and responsive to climate change challenges and local economic conditions; Experience and knowledge of technical and financial support to develop Local Economy Development strategies and experience with the principles of local economic development such as clustering, externalities, linkages and public promotion of economic activity with specific social impacts Experience in technical assistance to the implementation and financing of local economic development strategies through PPPs, SME finance and infrastructure finance; Experience and strong knowledge of capital investment planning in LGs, infrastructure finance and investment, 	80

	<ul style="list-style-type: none"> • Experience in providing of technical assistance, policy support, grants, loans and other forms of development finance instruments to public institutions; • Experience and knowledge of gender sensitive Local Economy Assessment (LEA); • Experience and knowledge of climate vulnerability and risk assessments (CVRA) using participatory methods at community level; • Experience and knowledge in the design, finance and implementation of catalytic economic projects to empower women and youth and improve local climate change adaptation, mitigation and resilience, including empowerment of refugee and host communities; • Experience and knowledge of local government revenue systems, mapping and assessing local revenue sources, management and administration systems, revenue data bases management – update and linkages to financial management systems; • Experience and knowledge of Development of Local Revenue Enhancement Plans and revenue mobilization plans; • Experience and knowledge of incentives performance of local governments and stimulate community involvement, including improving community capacity to participate in LG planning and budgeting process, financial incentives – Local Government excellence Fund – and Discretionary Development Equalisation Grant (DDEG); 	
3.4	<p>Thematic expertise/experience 2:</p> <p>MSME and SME finance for Food Security and Agriculture</p> <ul style="list-style-type: none"> • Knowledge and awareness of issues relating to MSME/SME access to finance in a least developed country context, seed capital (loans, partial credit guarantees and reimbursable grants) to incubation projects, BDS and advisory for start-ups and MSME/ SMEs; • Proven experience in identifying gaps in financial and technical assistance services to capital – intensive value adding agricultural projects in storage and processing; • Proven experience and strong knowledge in access to finance for projects promoted by women and youth and contribute to their economic empowerment as well as projects that aim at reducing environmental risks and ecological scarcities along the identified value chains; • Proven experience in alignment between public sector interventions and private sector economic activities; • Proven experience in leveraging domestic capital for investments in agriculture by attracting farmers' savings, concessional and regular finance and guarantees from financial institutions and private firms; • Proven experience and strong knowledge of working to support financial institutions/ national development finance institutions; • Proven experience and strong knowledge of funding facilities for small and medium agribusinesses; • Comprehensive knowledge of DCED benchmarks and industry best practices; • Experience at the country sector level/understanding of building enabling environments/stakeholder engagement; • Experience of market development approach; low-income market segments; electronic payments; • Skills and experience in value chain analysis; • Prior experience and knowledge in Youth and Women Economic Empowerment; 	70

3.5	Thematic expertise/experience 3: Stock and Quality of district road assets for local service delivery <ul style="list-style-type: none"> • Proven experience and strong knowledge in the provision of technical assistance for implementation of district road rehabilitation and improvement programmes; • Proven experience and strong knowledge in preparation/ review of detailed engineering designs, scope/ prioritisation, cost estimates and implementation timeframe of rehabilitation works, including tender preparation and contracting; • Proven experience and strong knowledge of conditional grant transfer mechanisms to allow LGs to contribute to road assets development and rehabilitation; including management of funds operations to ensure coherence between partners and delivery; • Proven experience and strong knowledge of providing technical support and advisory services in the road sector, support to road assets maintenance, training programmes in road maintenance for LGs, integrating road rehabilitation and maintenance component in the Local Government annual and mid-term planning, budgeting and implementation frameworks; 	60
3.6	<p>In order to meet good practice in ensuring sufficient coverage of gender equality and women's empowerment in the evaluation design and conduct, one team member should gender equality and empowerment expert should be appointed within the evaluation team to ensure that the evaluation reports this accordingly.</p> <p>The expert should focus on gender data disaggregation and gender-related impacts at the client level. The expert will have the responsibility for appraising the substance and effectiveness of approaches, products, outcomes and risks of women's financial inclusion.</p>	30
Total Section 3		350

Section 4. Presentation		Points obtainable
4.1	Clarity of presentation and evidence of clear division of labour within the team	150
4.2	Quality of responses to the questions	150
Total Section 4		300

Section 5. Terms of Reference

Mid-Term Evaluation of UNCDF's support to the Development Initiative for Northern Uganda (DINU)

Countries in which the programme is implemented	Uganda
Executing Agency	United Nations Capital Development Fund (UNCDF)
Partner organisations	Private Sector Foundation of Uganda (PSFU), Uganda Development Bank (UDBL), Ministry of Works and Transport (MoWT), Ministry of Local Government (MoLG), Local Government Finance Commission (LGFC), Uganda Local Government Association (ULGA), Urban Authorities Association of Uganda (UAAU), Ministry of Lands Housing and Urban Development and relevant District Local Governments
Duration	5 years (21 st December 2017 – 20 th June 2022)
Programme budget	<ul style="list-style-type: none"> • Total programme budget: EUR 25,852,174 • European Union (EU) Commitment: EUR 25,500,000 • UNCDF Commitment: EUR 352,174
Disbursed to date	EUR 8,951,225.05 as of September 2020

Evaluation during a crisis: COVID-19

As COVID-19 spreads globally, it is a massive health, humanitarian, and development crisis. UNCDF Evaluation Unit remains operational and is adapting the way it works and manages evaluations. Our priority is the safety of our staff, consultants and stakeholders while trying to ensure that UNCDF continues to benefit from high quality evaluative evidence to support its strategic learning and accountability. The text boxes "Evaluation during a crisis: COVID-19" throughout these TOR provide additional information, including on how the conduct of this evaluation will be affected by COVID-19.

1. The United Nations Capital Development Fund

The **United Nations Capital Development Fund (UNCDF)** is the UN's capital investment agency for the world's Least Developed Countries (LDCs). UNCDF uses its capital mandate to help LDCs pursue inclusive growth through the deployment of Official Development Assistance (ODA) to unlock public and private finance from the public sector and private sectors.

UNCDF works through three channels: (1) inclusive digital economies, which works to connect individuals, households, and small businesses with financial eco-systems that catalyze participation in the local economy, and provide tools to climb out of poverty and manage financial lives; (2) local development finance, which aims to capacitate local governments through fiscal decentralization, innovative municipal finance, and structured project finance to drive local economic expansion and sustainable development; and (3) investment finance, which provides catalytic financial structuring, de-risking, and capital deployment for 'missing middle' micro-, small and medium-sized enterprises to drive SDG impact and domestic resource mobilization.

By strengthening how finance works for poor people at the household, small enterprise, and local infrastructure levels, UNCDF contributes to the Sustainable Development Goals—SDG 1 on eradicating poverty and SDG 17 on the means of implementation. By identifying those market segments where innovative financing models can have transformational impact in helping to reach the last mile and address exclusion and inequalities of access, UNCDF contributes to a broad diversity of SDGs in areas such as clean energy, women's economic empowerment, climate adaptation and inclusive growth.

UNCDF's **Local Development Finance Practice** is a centre of excellence and innovative fund for local government finance and local economic development finance in the world's 47 least developed countries (LDCs). Over half of the population in LDCs live on less than \$1.25 per day and billions of people still do not have the services and employment necessary for the enjoyment of a decent quality of life. Yet many LDCs have made significant progress in economic development as measured by national statistics and indicators.

The Local Development Finance team at UNCDF addresses three problems that prevent the benefits of growth from reaching all sections of the population and all parts of the territory:

1. Fiscal resources and domestic capital markets are not investing in local governments and local economies in a way that promotes sustainable and equitable growth, which is holding back structural transformation and economic resilience;
2. Local governments and local economies are not able to attract development finance and therefore the benefits of growth are bypassing many populations;
3. Finance is not available for local catalytic infrastructure projects with high impact in critical themes such as women's economic empowerment, climate change, clean energy and food security.

The UNCDF Local Development Finance Practice Area adopts a **transformative impact financing** approach to promote service delivery, infrastructure investment and local economic development that retains value within the local territory. This builds local fiscal space and local fixed capital formation. Working with local governments, domestic banks and local businesses, UNCDF designs, pilot and test out financing mechanisms and business models in both public and private sectors that support locally designed public investments and revenue generating capital investment projects. The investment financing toolboxes include Fiscal Decentralization, Local Development Funds for public capital investment programming, Structured Project Finance, Municipal Finance, SME Finance, and Public-Private Partnerships.

2. Programme description

2.1. Uganda country context

Evaluation during a crisis: COVID-19

- *As of 29 April, 2021, Uganda reported 41.766 confirmed cases of COVID-19 with 341 deaths².*
- *The Entebbe International Airport has been open since October 1, 2020. Starting March 1, 2021, the Ugandan government started a phased reintroduction of in-person classes for all school grades.*
- *Restrictions imposed by the Ministry of Health include allowing gatherings of no more than 200 persons provided masks are worn and social distancing of 2 meters is followed. Cinemas, gyms, and massage parlors have been permitted to open while casinos and gaming centers are restricted to operating between the hours of 6:30am to 7:00pm. Bars and dance halls remain closed.*
- *The curfew (2100h-0600h) remains in place. Motorcycle taxi (boda boda) drivers must cease their movements by 1800h. ³*

Northern Uganda has been recovering from a protracted period of political instability that saw the destruction of its social and economic fibre. The national programmes Peace, Recovery and Development Plans (PRDPs) I, II and III have yielded positive progress on the overall security situation allowing for more freedom of movement and the resumption of economic activities⁴. However, the region is still faring poorly against development indicators as it continues to lag behind the rest of the country in terms of most human development indicators, with women being disproportionately affected.

Poverty rates are still high, with 32.5 percent of the population in the Northern region living below the poverty line, including sub-regional peaks at 78 percent.⁵ Poverty is particularly marked for households engaged in crop agriculture, an activity in which women predominate and the north remained the worst affected region.

Despite the high potential of agriculture in the region, the contribution of the sector to poverty reduction and improved nutrition has been disappointing, notably as a result of poor nutrition knowledge, malfunctioning value chains, poor transport infrastructures (despite its proximity to major export markets in the region, the North only accounts for 4.5% of Uganda's exports) and lack of capacities of local governments, who are only to a limited extent capable of fulfilling their mandates (both core mandate and broad general mandate), which hampers their ability to respond to local needs and capacity to deliver quality services to its citizens.

2.2. UNCDF'S WORK ON LOCAL DEVELOPMENT IN UGANDA

The work of UNCDF in Uganda⁶ is grounded in UNCDF's global approach to local development finance in LDCs. This approach recognises the need to unlock the existing sources of capital and attract new

² Uganda_ WHO Coronavirus Disease (COVID-19) Dashboard _ WHO Coronavirus Disease (COVID-19) Dashboard. Available at <https://covid19.who.int/region/afro/country/ug>

³ <https://ug.usembassy.gov/covid-19-information-page/>

⁴ https://www.undp.org/content/uganda/en/home/ourwork/crisispreventionandrecovery/in_depth.html

⁵ Uganda Bureau of Statistics (2019) *Poverty Maps of Uganda*. Available at https://www.ubos.org/wp-content/uploads/publications/02_2020Poverty_Map_report_Oct_2019.pdf

⁶ UNCDF in Uganda - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/uganda>

investment capital to address development challenges at the local level. To this end, UNCDF applies its seed capital and technical assistance (TA) to develop innovative solutions that leverage or mobilize, allocate, and invest resource flows to the local level for local development, thus meeting the capital funding gap (see Annexes).

Since 1985, UNCDF has been providing support to decentralization and local development in Uganda (see Annexes). An approach to financing local economic development (LED) by tapping into existing domestic capital was introduced under the name of the Local Finance Initiative (LFI)⁷. Since 2015, LFI has been implemented in Uganda as part of a Global Programme that has the overall objective of increasing the effectiveness of financial resources for local economic development through mobilisation of primarily domestic private capital and financial markets in developing countries to enable and promote inclusive and sustainable local development. LFI supports infrastructural projects that aim to be catalytic for LED through technical assistance in project development and last mile financing to make the projects bankable.

2.3. THE DEVELOPMENT INITIATIVE FOR NORTHERN UGANDA (DINU)

2.3.1. THE DINU INITIATIVE

In 2017, the Government of Uganda (GoU) launched the Development Initiative for Northern Uganda (DINU) funded under by the European Union (EU) under the 11th European Development Fund (EDF). DINU is designed to support the GoU in achieving national targets for SDG 1 (No Poverty) and SDG 2 (Zero Hunger).

Its general objective is to consolidate stability in Northern Uganda, eradicate poverty and under-nutrition and strengthen the foundations for sustainable and inclusive socio-economic development. Under this general objective, DINU supports interventions in three interlinked sectors:

- **Food Security and Agriculture** (SO 1): to increase food security, improve maternal and child nutrition, and enhance household incomes through support to diversified food production and commercial agriculture and through improving household resilience (notably to climate change) and women empowerment.
- **Transport Infrastructure** (SO 2): to increase trade of commodities within the region, within the country, and with neighbouring countries through the improvement of transport and lo-gistic infrastructures.
- **Good Governance** (SO 3): to strengthen capacity, gender-responsive good governance (core mandate and general broad mandate) and the rule of law at the level of local government authorities and empower communities to participate in improved local service de-livery.

Key implementing partners, including UNCDF, UNICEF, GIZ, and Trademark East Africa, have been identified to undertake these interventions according to their specializations. The DINU results framework can be found in Annexes of these TOR.

2.3.2. DINU'S UNCDF COMPONENT

Since September 2017, UNCDF is implementing selected actions of DINU across all 3 Specific

⁷ Local Finance Initiative (LFI) - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/lfi>

Objectives⁸⁹¹⁰. Under DINU, UNCDF is working with national and local organizations - MDAs, local governments, private sector entities and NGOs - to improve their capacities to identify, develop, finance and implement local investment projects using public and private finance. To do so, it applies TA, training, seed capital and specialized investment vehicles.

The theory of change of DINU's UNCDF component (Annexes) assumes that a key condition for equitable, balanced and sustainable local development is the reduction in transaction costs to improve the effectiveness and efficiency of local investments for service delivery and economic activities. Accordingly, the three outcomes of DINU's UNCDF component are:

1. Improve access to finance for SMEs engaged in agricultural value addition through a dedicated facility for Business Development Services (BDS) and blended finance.
2. Improve the stock and quality of the district-level road assets through a District Road Rehabilitation Fund and dedicated technical assistance (TA) and improve local service delivery for road assets.
3. Increase local fiscal space and improve local service delivery through a discretionary grant mechanism and technical assistance to core local government functions, including customary land tenure systems.

Under **Outcome #1**, the main vehicle for providing seed capital to incubation projects is a funding facility for small and medium agribusinesses in Northern Uganda known as Support to Agricultural Revitalization and Transformation (START)¹¹. The START funding facility aims at providing seed capital to incubation projects along the agricultural value chain as part of its overall objective to increase local production of diversified food. The facility is intended to offer access to affordable medium-term finance for agricultural value adding projects in Northern Uganda through provision of general Business and Development Services, targeted pre-investment and post-investment BDS, and Technical Assistance grants and seed capital in the form of concessional loans, partial credit guarantees and reimbursable grants. Accordingly, START has three lines of business managed by three participating institutions: the Private Sector Foundation of Uganda (PSFU), UNCDF, and Uganda Development Bank (UDB).

Activities under **Outcome #2** provide technical assistance and finance (in the form of a conditional grant transfer mechanism) to district authorities for rehabilitation of district, urban and community access roads (together referred to as DUCAR). These activities are designed to address the key challenges in the DUCAR network, such as inadequate human resource capacity (e.g. engineering) at the district level, the weak local construction industry which lacks the financial and managerial capacity to participate in road rehabilitation, and a restricted fiscal space at the local level for implementation of road rehabilitation projects. Activities also support capacity building of staff responsible for road development and management.

Outcome #3 is designed to support and strengthen the ongoing government reforms to improve Public Financial Management (PFM) to shape the administration and management of public resources. These reforms majorly focus on increasing efficiency in allocation, use and availability of resources, elimination of

⁸ Development Initiative for Northern Uganda (DINU) - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/uganda/dinu>

⁹ UNCDF "Support to the Implementation of Components of the Development Initiative for Northern Uganda - General Factsheet". Available at <https://www.uncdf.org/Download/AdminFileWithFilename?id=10096&cultureId=127&filename=30032020-dinu-uganda-generalfactsheet.pdf>

¹⁰ The Project Document is available at <https://www.uncdf.org/article/3365/development-initiative-for-northern-uganda-dinu>

¹¹ Support to Agricultural Revitalization and Transformation (START) Factsheet. UNCDF. Available at <http://www.uncdf.org/download/file/127/6358/160518-rfp-start-uganda-factsheet.pdf>

corruption, intensifying accountability and strengthening of PFM systems. Activities also focus on: municipal asset management in the target local governments, strengthening the capacity of local authorities to support research and advocacy on policy reforms for decentralization, supporting adherence by LGs to national procurement and accountability standards, and supporting the reform of Uganda's own annual performance assessment framework for local governments.

Outcome #3 activities are implemented by UNCDF together with several national government and non-government partners. Government partners include the Office of Prime Minister (OPM), the Ministry of Local Government (MoLG), the Ministry of Finance, Planning and Economic Development (MoFPED), the Ministry of Lands, Housing and Urban Development (MoLHUD), the Local Government Finance Commission (LGFC), and the Office of the Auditor General (OAG). Non-government partners include the Urban Authorities Association of Uganda (UAAU) and the Uganda Local Government Association (ULGA).

DINU (UNCDF component) Framework

Outcome	Output and activities
Outcome 1: Improved access to finance for SMEs engaged in agricultural value addition Allocated EUR 3,851,250; Disbursed EUR 1,080,457.05 (as of September 2020) Corresponding DINU Objective: Food Security and agriculture	1.1. Providing seed capital to incubation projects <ul style="list-style-type: none"> A 1.1.1: BDS A 1.1.2: Project preparation and development A 1.1.3: Financial services A 1.1.4: START Facility Management
Outcome 2: Improve the stock and quality of the district road assets Allocated: EUR 8,423,750; Disbursed EUR 1,979,560.86 (as of September 2020) Corresponding DINU Objective: Transport infrastructure	2.1. Rehabilitation and upgrading of priority districts and community access roads <ul style="list-style-type: none"> A 2.1.1. Provision of technical assistance for implementation of district road rehabilitation and improvement programmes A 2.1.2. Implementation of district road rehabilitation and improvement programmes in four target districts (District Road Rehabilitation Fund) 2.2. Support districts and communities in road maintenance <ul style="list-style-type: none"> A 2.2.1. Training programme in road maintenance A 2.2.2. Integration of the road rehabilitation and maintenance component in the LG annual and mid-term planning, budgeting and implementation frameworks
Outcome 3: Increase local fiscal space and improve local service delivery Allocated: EUR 6,995,000; Disbursed EUR 3,695,501.24 (as of September 2020) Corresponding DINU Objective: Good governance	3.1. Strengthen capacities of Local Governments in public financial management. <ul style="list-style-type: none"> A 3.1.1. Adequate capacity and compliance with the National Rules and Regulations on PFM A 3.1.2. LGs Development Plans and Budgets are gender sensitive and responsive to the local economy conditions 3.2. Strengthen capacities of mandated local government units to efficiently mobilise and equitably allocate and utilise local revenue and resources <ul style="list-style-type: none"> A 3.2.1. Updated local revenue database on the revenue sources in the target LGs A 3.2.2. Increase in realization of the budgeted LR in the LGs 3.3. Structured partnership with Associations of Local Authorities and key relevant institutions <ul style="list-style-type: none"> A 3.3.1. Improved capacity of Local Governments to identify and formulate key policy issues for advocacy. A 3.3.2. Evidence-based research to improve understanding of the key local government challenges and advocacy for decentralized governance and devolution of powers. A 3.3.3. Strengthened capacity of Associations for quality assurance and review of the LG key implementation issues and support to LG participation in periodic government re-views 3.4. Support and strengthen local governments' upward accountability. <ul style="list-style-type: none"> A 3.4.1. Improved LG compliance with the national accountability and procurement standards

	3.5. Support the reform and pilot implementation of GoU's own annual performance assessment framework for local governments <ul style="list-style-type: none"> A 3.5.1. Government performance assessment framework strengthened A 3.5.2. SDG Localization Diagnostic Tracking Tool
	3.6. Incentivise performance of local governments and to stimulate community involvement <ul style="list-style-type: none"> A 3.6.1. Improved community capacity to participate in the LG planning & budgeting process A 3.6.2. Local Government Excellence Fund
	3.7. Improve land governance and facilitate the registration of Certificate of Customary Ownership <ul style="list-style-type: none"> A 3.7.1. System established and operational in five districts to protect and manage custom-ary rights in accordance with the law thus increasing tenure security A 3.7.2. Mechanism for land disputes resolution designed in accordance with the law and piloted. A 3.7.3. High quality M&E system in place in five districts to monitor implementation of CCOs, evaluate impact of increased tenure security and draw lessons for replication A 3.7.4. Provision of infrastructures and equipment to the relevant authorities to implement and facilitate the registration Certificate of Customary Ownership

2.3.3. IMPLEMENTATION STATUS: OUTCOME 1 (AS OF SEPTEMBER 2020)¹²

To provide seed capital to incubation projects, activities under outcome #1 started by setting up the START Facility¹³ to offer concessional loans, partial credit guarantees and technical assistance grants to SMEs. A total of 12 projects have been fully developed, approved by the START Facility Management Board¹⁴ and submitted to UDB for financing.

The first call for proposals¹⁵ attracted 342 applications of which 49 proposals were longlisted and 17 shortlisted. The START Facility team conducted a due diligence assessment on the 17 companies. As a result, 6 projects with a total value of EUR 730,457 were fully developed with a financing gap of EUR 397,578 provided by START facility to leverage the balance of EUR 332,879 from SMEs and other financial institutions. Six companies from 5 districts (Lira, Omoro, Kitgum, Arua and Zombo) were presented to and approved by the START Facility Management Board and submitted to UDB for financing. Four SMEs¹⁶ have signed loan agreements with UDB¹⁷ thus accessing EUR 293,823 in concessional loans under the START facility while leveraging EUR 310,267. Two other companies are still under review by UDB and addressing identified gaps critical for them to access funding. Another pipeline of 12 projects from the first shortlist

¹² This will be updated with new information to be provided during the inception phase.

¹³ "UNCDF and the EU launch a new finance facility for agriculture in Uganda" - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/3653/uncdf-and-the-eu-launch-a-new-finance-facility-for-agriculture-in-uganda>

¹⁴ "START Facility Inaugurates Management Board" - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/4041/start-facility-inaugurates-management-board>

¹⁵ RfP_ Support to Agricultural Revitalization and Transformation (START) Funding Facility - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/3641/rfp-support-to-agricultural-revitalization-and-transformation-start-funding-facility>

¹⁶ Trained Apiary Farmers (TAF) Assured Mixed Enterprises Limited, Kana Grain Millers Ltd, Honey Pride Arua Limited, and Okoro Coffee Growers Cooperative Union.

¹⁷ START Facility Announces First Applicants for Financial Closure - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/4559/start-facility-announces-first-applicants-for-financial-closure>

received pre-investment BDS in preparation for project structuring and financial modelling. The total project value of the pipeline SMEs is EUR 1,493,601, with a financing gap of EUR 1,037,005, leveraging EUR 456,596.

In addition, the START Facility provided targeted general BDS to 30 companies from the first longlist that did not make it to the shortlist¹⁸. The team also conducted business clinics for 51 prospective companies to prepare them for the second call for proposal issued in July 2019.

From the second call for proposals, the START Facility received 143 proposals of which 100 were longlisted by December 2019, 75 SMEs shortlisted and 26 SMEs selected as part of the pipeline. By August 2020, START Management had fully developed 6 SMEs from 5 districts (Lira, Zombo, Amuria, Alebtong & Gulu) which were presented to and approved by the START Facility Management Board and submitted to UDB for financing. The 6 projects submitted to UDB with a total project value of EUR 2,953,286 were fully developed with a financing gap of EUR 492,177 provided by START facility to leverage the balance of EUR 2,461,109 from SMEs and other financial institutions. The projects were undergoing different levels of appraisal by UDB and were expected to receive funding before end of 2020. UNCDF commissioned 5 individual service providers to provide pre-investment BDS support to 49 SMEs that did not make it to the pipeline, to enable SMEs to address gaps identified during the due diligence conducted earlier in the year.

As part of UNCDF's response to the COVID-19 global pandemic, the START Management Board in consultation with EU approved an initial capital of UGX 830,000,000 (approx. EUR 200,000) towards the Small Business Recovery Fund (SBRF)¹⁹ to help SMEs shortlisted under START secure money to overcome their liquidity problems as a result of COVID-19. Through the facility, SMEs access working capital at zero-interest rate with a flexible repayment plan not exceeding 12 months. Under the recovery fund, Businesses can get up to UGX 40,000,000 (approx. EUR 10,000) based on the assessed individual businesses cash flow challenges. 55 applications were received following the issue of the CFP to the START shortlisted companies and 3 projects had been identified, developed and approved by START Management Board to access funding.

The third Call for Proposals has been launched in December 2020²⁰.

2.3.4. IMPLEMENTATION STATUS: OUTCOME 2 (AS OF SEPTEMBER 2020)

Under Output 2.1 "Rehabilitation and upgrading of selected priority district and community access roads" in the four districts of Abim, Adjumani, Amudat and Moyo (including the new district, Obongi), a memorandum of understanding (MoU) was signed for disbursement of a District Road Rehabilitation Fund (DRRF). The programme with technical support from SPEA Engineering completed the technical designs for the 405 km of roads to be rehabilitated and tender documents. The road works were tendered in 11 Lots of which 10 have been contracted and rehabilitation works are at 11% delivery. All projects were expected to be completed by the end of Q1 2021. UNCDF hired a consulting company to provide supervisory technical support to the 4 districts.

With respect to Output 2.2 and roads maintenance training, the programme delivered four courses namely: Policy Makers' Labour-Based Technology Awareness course, Technical Managers Labour-Based Technology

¹⁸ "START Facility to Increase Business Development Support to SMEs in Agribusiness - UN Capital Development Fund (UNCDF)". Available at <https://www.uncdf.org/article/4503/start-facility-to-increase-business-development-support-to-smes-in-agribusiness>

¹⁹ "START Board Approves Shs 830m Small Business Recovery Fund to Support SMEs During & Post COVID-19" - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/5668/start-board-approves-shs-830m-small-business-recovery-fund-to-support-smes-during-post-covid-19>

²⁰ RfA_ Investment projects focused on agro-processing in Northern Uganda (START Funding Facility for SMEs) - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/6382/support-to-agricultural-revitalization-and-transformation-start-funding-facility-for-small-and-medium-enterprises-smes-in-northern-uganda>

(LBT) Course, Environmental and Social Safeguard [ESSI] Course, and Rehabilitation and Maintenance Planning System (RAMPS). A total of 255 people underwent this training. A training needs assessment on road maintenance was carried in 16 core districts through a consultative process. A total of 55 course modules have been developed and planned to be delivered between 2019-2020 covering 2,186 participants. However, this training programme has been affected by COVID-19 restrictions on learning institutions that have been closed since March 2020.

On the integration of road rehabilitation and maintenance component in the LG annual and mid-term planning, budgeting and implementation frameworks, a consultant was hired to support that process and work is 60% complete.

2.3.5. IMPLEMENTATION STATUS: OUTCOME 3 (AS OF SEPTEMBER 2020)

Regarding Outcome #3 (good governance), UNCDF operationalized the Local Government Excellence Fund (LGEF)²¹ to provide financial incentives for improved performance of the beneficiary local governments as a catalyst to promote effective and efficient public service delivery²²³.

A total of 16 LGs were supported to conduct mock assessments through the Local Government Performance Assessment (LGPA) system to establish their adherence to budgeting and accounting requirements as well as compliance to crosscutting issues, sector systems and processes and supported to prepare Performance Improvement Plans (PIPs). Furthermore, to improve community capacity to participate in the LG planning & budgeting processes, a “Community Regeneration Toolkit” for Community Level Planning Facilitators was developed for Parish Chiefs and Sub County Community Development Officers.

Besides improving PFM of LGs for improved service delivery, the programme also supported the increase of local fiscal space and improved local revenues through a mapping of local revenue sources and the development of Local Revenue Enhancement Plans (LREPs), and the integration of local economy and business assessment tools into the LG Planning Guidelines. Together with support to improve local revenue sources and management and updated administrative systems, it led to a pilot initiative on local revenue digitalization.

As part of the support to improve Public Financial Management, the programme supported the capacity of local governments in PFM to integrate LED in their planning and alignment with national development plans (NDPs). Alongside Local Revenue Enhancement, the LGs received technical support and training on asset management²⁴²⁵ as well as Public Procurement and Disposal of Assets (PPDA) Regulations. The programme has also continued to support LGs improve compliance with the national accountability and procurement standards through hands-on support and training.

²¹ “Government of Uganda and UNCDF Sign MOU for Implementation of Local Government Excellence Fund” - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/3956/government-of-uganda-and-uncdf-sign-memorandum-of-understanding-for-implementation-of-local-government-excellence-fund>

²² “Yumbe District Break Ground for Modern Markets” - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/4485/yumbe-district-break-ground-for-modern-markets>

²³ “Omoro District Completes Phase 1 of LelaObaro Market During Lockdown” - UN Capital Development Fund (UNCDF) <https://www.uncdf.org/article/6121/omoro-district-completes-phase-1-of-lelaobaro-market-during-lockdown>

²⁴ “Time to Leverage our Assets,” Say Ugandan Local Governments - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/4077/time-to-leverage-our-assets-say-ugandan-local-governments>

²⁵ “Uganda Government Looks to Save Billions through Asset Management” - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/5273/uganda-government-looks-to-save-billions-through-asset-management>

Additional support was provided by the programme on SDG localization. Following a mapping of the LG readiness to localize SDGs, a design workshop was held for political and technical leadership of the 18 districts to build their capacity for SDG Localization and Awareness Raising at the Local Government.

The programme has also been working with Uganda Local Government Association (ULGA) and Urban Authorities Association of Uganda (UAAU), producing key policy briefs on the justification for a progressive increment of the portion of the national budget transferred to the local governments to 38% by ULGA, which also conducted a review of the Implications of PFM Reforms on the Performance of LG, as well as research to improve understanding of local government challenges and advocacy for decentralization and devolution.

3. Evaluation objectives

Evaluation during a crisis: COVID-19

Considering the COVID-19 pandemic and resultant restrictions, the proposed evaluation methodology may be subject to change. All work of the evaluation team during the field visit shall be done within the guidelines and protocols set by the local and national government of Uganda.

3.1. Purpose, scope and objectives of the evaluation

This evaluation is being conducted in accordance with UNCDF's Evaluation Plan 2018–2021²⁶ and in line with UNDP's Evaluation Policy²⁷ (to which UNCDF is party) which sets out a number of guiding principles and key norms for evaluation in the organization following the Norms and Standards of the United Nations Evaluation Group (UNEG)²⁸. Amongst the norms that the Policy seeks to uphold, the most important are that the evaluation exercise be independent and provide technically and methodologically credible findings that are useful and relevant to support evidence-based programme management.

The focus of this evaluation is **the UNCDF component of the overall Government of Uganda DINU programme funded by the European Union, managed by Uganda's Office of the Prime Minister (OPM) and guided by the National Steering Committee.**

With this in mind, the evaluation has been designed with the following **overall objectives**:

- to allow UNCDF and the EU to meet their accountability and learning objectives for DINU (UNCDF component);
- to support ongoing efforts to capture good practice and lessons to date;
- to guide and inform the remaining years of implementation as well as inform subsequent UNCDF programming in country and globally; with a particular interest in scaling up part of the intervention and build upon what has been achieved;
- to inform updating of UNCDF global strategies within the framework of its 2018 – 2021 Strategic Framework and beyond;²⁹
- To assess the impact of COVID-19 on the overall implementation framework and provide recommendations for the second part of project implementation.

The mid-term evaluation is expected to assess both project results to date (direct and indirect, whether intended or not) from the first years of implementation as well as the likelihood of DINU (UNCDF component) meeting its expected end goals on the basis of current design, human resource structure, choice of partners, and broad implementation strategy. It is expected that the evaluation will provide useful and actionable recommendations to increase the likelihood of success by the end of the programme including remedial actions where the project might not be on track.

²⁶ Evaluation Plan (SF 2018-21) - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/3206/evaluation-plan-2018-21>

²⁷ United Nations Development Programme – Evaluation. Available at <http://web.undp.org/evaluation/policy.shtml>

²⁸ Detail of Norms and Standards for Evaluation (2016). Available at <http://www.unevaluation.org/document/detail/1914>

²⁹ Strategic Framework 2018-21 - UN Capital Development Fund (UNCDF). Available at <https://www.uncdf.org/article/3207/strategic-framework-2018-21>

Critical to this evaluation is the assessment of the relevance and effectiveness of the DINU (UNCDF component)'s approach and instruments in consolidating stability in Northern Uganda, supporting the alleviation of poverty and under-nutrition and strengthening the foundations for sustainable and inclusive socio-economic development through enhancing the capacity of local government to increase local fiscal space and improve service delivery, as well as improving access to finance for SME's engaged in the agricultural value addition and improving the stock and quality of the district road assets. As part of this, an additional important objective for the evaluation is to assess the extent to which it is already possible to see changes in peoples' lives in the communities supported thanks to the UNCDF intervention, and also whether the programme is appropriately set up to capture and understand these changes.

The **specific objectives** of the evaluation are:

- To assist UNCDF and its partners to understand the relevance, coherence, efficiency, effectiveness, and the likely pathways towards impact and sustainability of DINU's UNCDF component at the community level while understanding the context and challenges in which DINU operates;
- To provide evaluative evidence on the contribution of DINU's UNCDF component to consolidate stability in Northern Uganda, reduce poverty and under-nutrition at the level of the communities targeted, and strengthen the foundations for sustainable and inclusive socio-economic development and lessons learned so far;
- To understand better how UNCDF's component contributes to and works with the overall DINU programme, with UN agencies and other UNCDF programmes as well as with implementation partners, identify synergies and added value, including alignment with existing structures;
- To provide insights into the contribution of DINU's UNCDF component to cross-cutting issues – such as youth, human rights and gender equality;
- Based on the results of the evaluation, and in support of the principles of adaptive management, to validate and/or refine the theories of change and intervention logic of DINU's UNCDF component as necessary to support onward implementation.

3.2. Recommendations

To support the utility of the evaluation, while in no way restricting the scope of the conclusions that the evaluators may come to, UNCDF and the EU are specifically looking for lessons and recommendations along the following lines:

Overall recommendations sought:

- Recommendations should be short-, medium- and long-term;
- Inform UNCDF future programming – what should be taken forward to other potential sectors
- Suggest some specific intervention areas for a successor programme in light of the EU 2021-2027 programming
- Help position UNCDF with a broad range of partners – particularly EU EDF
- What lessons can be drawn to inform UNCDF's theories of change in relevant areas of its mandate;
- What lessons can be drawn from the use of the DINU's UNCDF component Implementation tools;

Specific recommendations sought:

- How to scale up some parts of the intervention and how to build on what has been done so far;
- How could the identified positive or negative external factors be mitigated or exploited further;
- What lessons from the programme management arrangement should be considered for future programmes;

- To what extent does the broader policy environment remain conducive to the replication of the lessons learnt from the programme;
- What lessons can be drawn around the appropriateness of the monitoring and reporting tools to capture changes in the lives of beneficiaries at the community level.

3.3. Evaluation methodology

The evaluation should be transparent, inclusive, participatory and utilization-focused. The overall methodology to be followed should be organized following a theory of change approach, framed by the UN/OECD DAC evaluation criteria³⁰, and drawing upon a number of mixed methods (using quantitative and qualitative data) to capture direct programme results as well as (likely) contributions to consolidate stability in Northern Uganda, reduce poverty and under-nutrition and strengthen the foundations for sustainable and inclusive socio-economic development.

To do so, the methodology should draw where appropriate on established measurement frameworks for capturing these kinds of development outcomes, such as the approaches of the Donor Committee for Enterprise Development to measuring the development of markets for the poor in situations of complexity or established assessment frameworks such as Public Expenditure and Financial Accountability (PEFA) framework.³¹

The approach to the evaluation should also intend to capture progress against UNCDF's 'innovation-to-scale' or maturity model approach whereby UNCDF supported interventions aim to start with piloting/innovation, then move to consolidation before being scaled up by others in markets and country policy systems more broadly.

In line with good practice in evaluating this type of complex-system, change-focused intervention³², the overall methodology should be based on three concrete pillars:

- i) the programme's **theory of change** and the way this has been operationalised into a set of concrete expected results at different levels of the DINU's UNCDF component's results chain;
- ii) the **evaluation matrix** grouping key evaluation questions and sub-questions by broad UN /OECD DAC evaluation criterion allowing analysis of programme results again at different levels of its results chain
- iii) a **data collection toolkit** for the evaluation describing the quantitative and qualitative primary and secondary data collection tools that will be deployed to collect and analyse data to answer the evaluation questions, including impact questions around current or likely changes to the people's lives at the level of the beneficiary communities.

3.3.1. Theory of change

The main analytical framework for the evaluation is provided by the programme's theory of change which helps organize the evaluation questions according to programme's expected results at each level of its results chain.

In doing so, the evaluation should use as far as possible a contribution analysis approach with a view to understanding the influence of relevant contextual factors, and alternative drivers or obstacles to change

³⁰ Revised evaluation Criteria – OECD. Available at <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

³¹ <https://www.enterprise-development.org/measuring-results-the-dced-standard/>

³² See, for example, pages 78 – 79 in the guidance published by CGAP

at the regional, national and local levels that may have influenced the programme's direct and indirect, intended and unintended results including, importantly, at the level of the beneficiary communities.³³

In line with UN evaluation practice, the scope of the evaluation should cover all six standard UN/OECD DAC evaluation criteria: relevance/appropriateness of design, coherence, efficiency, effectiveness, and (likelihood of) impact and sustainability. In doing so, the focus of the evaluation goes beyond assessing whether UNCDF and its partners are currently 'doing things right' in programme execution and management, to a broader assessment of whether, given available evidence, and in comparison with similar approaches implemented by others, the programme looks to be the 'right approach' to achieving the higher-level objectives agreed in the initial phase.

3.3.2. Evaluation Matrix

In proposing how to conduct the evaluation, the evaluators should use an evaluation matrix to operationalize the theory of change and its proposed framework of direct and indirect results into a set of measurable categories of evaluative analysis following the results chain of the intervention. The evaluation matrix should properly address gender equality (GE) and human rights (HR) dimensions, including age, disability, migration, displacement and vulnerability.

The table below presents a set of preliminary questions that the evaluators should address in their proposed approach, following the revised UN/OECD DAC criteria. A final, more detailed evaluation matrix will be developed during the inception phase on the basis of document review and initial consultation with key programme stakeholders.

The evaluation matrix is expected to be updated to take into account where relevant effects of COVID-19 on programme implementation, including but not limited to impact and limitations.

Criteria	Sub-questions
1. Relevance <i>The extent to which DINU (UNCDF component)'s objectives and design respond to beneficiaries', global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change.³⁴</i>	<p>1.1 How relevant and how well designed is DINU (UNCDF component) approach to the priorities of the government of Uganda, and key stakeholders considering the programme's intended support to consolidate stability in Northern Uganda, reduce poverty and under-nutrition and strengthen the foundations for sustainable and inclusive socio-economic development?</p> <p>1.2 How relevant is the support provided by DINU (UNCDF component), including Local Government capacity building for increased fiscal space and improved service delivery; improved access to finance for SMEs engaged in the agricultural value addition and improved stock and quality of district roads assets?</p> <p>1.3 To what extent does the DINU (UNCDF component) design incorporate gender equality (GE), human rights (HR) and other crosscutting issues such as climate change for example? How coherent is it to needs and interests of all stakeholder groups? Does it offer good quality information on the underlying causes of inequality and discrimination to inform the programme?³⁵</p>

³³ For more information, please see: http://www.betterevaluation.org/en/plan/approach/contribution_analysis.

³⁴ 'Respond to' means that the objectives and design of the intervention are sensitive to the economic, environmental, equity, social, political economy and capacity conditions in which it takes place.

³⁵ This includes, but is not limited to, the extent to which the programme is formulated according to international norms and agreements on HR & GE (e.g. The Convention on the Elimination of all Forms of Discrimination Against Women – CEDAW; the Universal Declaration of Human Rights – UDHR; Convention on the Rights of Persons with Disabilities – CRPD) as well as national policies and strategies to advance HR & GE.

<p>2. Coherence <i>The compatibility of DINU with other interventions in a country, sector or institution.³⁶</i></p>	<p>2.1. How distinct/complementary is DINU (UNCDF component) approach to the overall DINU programme as well as other initiatives implemented in Uganda by government and/or key development partners such as UNDAF, with similar objectives?</p> <p>2.2 How well does DINU (UNCDF component) align with the existing structures (National structures and strategies, UN and UNDP Country Programmes, SDGs, etc). What is the added value and what are the synergies of DINU (UNCDF component)?</p>
<p>3. Efficiency <i>The extent to which DINU (UNCDF component) is likely to deliver results in an economic and timely way.</i></p>	<p>3.1 How well has DINU (UNCDF component) delivered its expected results to date, including in terms of budget allocation and cost-effectiveness of activities? How well are the key implementation partnerships functioning (between UNCDF and other implementing partners of DINU, and between UNCDF and the national/ local government and national/ local authorities)?</p> <p>3.2 What is the quality of outputs (deliverables) provided to date? How appropriate is the programme's monitoring system to track direct programme results and its broader contribution to the overall objectives?</p> <p>3.3 How well is the programme being governed, through the involvement and contributions of key partners such as the EU and the government counterpart?</p> <p>3.4 How well are resources (financial, time, people) allocated to integrate Human Rights (HR) & Gender Equality (GE) in the implementation of UNCDF component, and to what extent are HR & GE a priority in the overall intervention budget? To what extent are such resources being used efficiently?</p>
<p>4. Effectiveness <i>The extent to which DINU (UNCDF component) is expected to achieve its objectives, and its results, including any differential results across groups.</i></p>	<p>4.1 To what extent are DINU (UNCDF component) activities under Outcome 1 contributing to Improved capacity and access to finance for SMEs engaged in agricultural value addition?</p> <p>4.2 To what extent are DINU (UNCDF component) activities under Outcome 2 contributing to Improved stock and quality of the district road assets?</p> <p>4.3 To what extent are DINU (UNCDF component) activities under Outcome 3 contributing to increased local fiscal space and improved local service delivery by local governments?</p> <p>4.4 To what extent is DINU (UNCDF component) on track towards progress on HR & GE? To what degree are the results achieved equitably distributed among the targeted stakeholder groups?</p>
<p>5. Likely Impact <i>The extent to which DINU (UNCDF component) is expected to foster inclusive and sustainable growth and employment of youth and women.</i></p>	<p>5.1 As currently designed and implemented, to what extent are DINU (UNCDF component) results under Outcome 1 likely to contribute to increased food security, improve maternal and child nutrition, and enhance household incomes through support to diversified food production and commercial agriculture and through improving household resilience (notably to climate change) and women empowerment.</p> <p>5.2 As currently designed and implemented, to what extent are DINU (UNCDF component) results under Outcome 2 likely to contribute to increased trade of commodities within the region, within the country, and with neighbouring countries through the improvement of transport and logistic infrastructures.</p>

³⁶ The extent to which other interventions (particularly policies) support or undermine the intervention and vice versa. This includes internal coherence which should address the synergies the interlinkages between the intervention and other interventions carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres. External coherence considers the consistency of the intervention with other actors' interventions in the same context, including complementarity, harmonization and coordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort.

	<p>5.3 As currently designed and implemented, to what extent are DINU (UNCDF component) results under Outcome 3 on track to contributing to strengthened capacity, gender-responsive good governance (core mandate and general broad mandate) and the rule of law at the level of local government authorities and empower communities to participate in improved local service delivery.</p> <p>5.4 To what extent are DINU (UNCDF component) results likely to change attitudes and behaviours towards HR & GE on various stakeholder groups, and to reduce the underlying causes of inequality and discrimination?</p>
<p>6. Sustainability <i>The extent to which the net benefits of DINU (UNCDF component) are likely to continue beyond the life of the intervention³⁷</i></p>	<p>6.1 To what extent are any changes in the access to finance for SMEs engaged in agricultural value addition sustainable over time? (Including from a market development perspective)</p> <p>6.2. To what extent are any changes in the stock and quality fo the district road assets and improved local service delivery for road assets sustainable over time?</p> <p>6.3. To what extent are any changes in local fiscal space and improved local service delivery sustainable overtime?</p>

3.3.3. Data collection toolkit

Finally, on the basis of the questions included above and the information present elsewhere in this Terms of Reference and on the UNCDF website, the evaluation team should deploy a data collection toolkit (that includes gender disaggregation and triangulation tools) that will include both existing secondary data as well as new primary data to be gathered during the country visit which together will be able to answer the questions listed above in the matrix organized by different levels of the results chain.

Evaluation during a crisis: COVID-19

The proposal should outline any adjusted evaluative approaches/ methodologies that may be needed to implement the evaluation effectively, including extended desk reviews, primary use of national consultants and virtual stakeholder meetings and interviews. This will be further detailed in the inception report.

If part of the evaluation is to be carried out virtually then remote interviews may be undertaken through telephone or online (skype, zoom etc.). Consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely.

International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNCDF staff should be put in harm's way and safety of all is the key priority.

The combination of primary and secondary tools or separate 'lines of evidence' should number at least five and be designed – as with the rest of the evaluation - with triangulation and complementary assessment of the sub-questions in the matrix in mind. Suggested lines of evidence include:

- Document and literature review;
- Analysis of deliverables and financial reports;

³⁷ Note that this should include as far as possible an examination of the financial, economic, social, environmental and institutional capacities of the systems needed to sustain net benefits over time, including analyses of resilience, risks and potential trade-offs.

- Structured, semi-structured and/or in-depth interviews;
- Quantitative surveys;
- Direct observations;
- Focus groups including implementing partners

Bidders are particularly requested to focus on how they will measure the results of the DINU programme (UNCDF component) to date at the outcome level, using methods built around a contribution analysis approach. Bidders are encouraged to propose additional alternative innovative methods and approaches in line with UNCDF Evaluation Unit's objective to promote innovation in development evaluation in line with international good practice. In proposing the evaluation methodology, bidders are requested to respect the various quality standards for UNCDF evaluation set out in Annex.

3.3.4. Case Studies

Interested bidders are also requested to include in their proposal a proposed approach to 'diving more deeply' into programme relevance performance and (likely) impact to date by way of case studies of investments supported and of technical assistance provided to partners. The choice of case studies will be decided during the inception phase and should be chosen to support the broader evaluation approach and sampling strategy.

3.3.5. Human rights and gender equality

The evaluation must include an assessment of the extent to which the design, implementation, and results of the project have incorporated a gender equality perspective and rights-based approach. The evaluators are requested to review UNEG's *Guidance in Integrating Human Rights and Gender Equality in Evaluation* during the inception phase³⁸ as well as the UN Disability Inclusion Strategy³⁹.

In addition, the methodology used, data collection and analysis methods should be human rights and gender-sensitive to the greatest extent possible, with evaluation data and findings disaggregated. Evaluators should also review the most recent publications by the United Nations on the seven drivers of women's economic empowerment in the context of the SDG focus on leaving no one behind⁴⁰.

The promotion and protection of Human Rights (HR) & Gender Equality (GE) are central principles to the mandate of the UN, and all UN agencies must work to fundamentally enhance and contribute to their realization by addressing underlying causes of human rights violations, including discrimination against women and girls, and utilizing processes that are in line with and support these principles. Those UN interventions that do not consider these principles risk reinforcing patterns of discrimination and exclusion or leaving them unchanged. It is therefore important that evaluations commissioned by UNCDF take these aspects into account.

The 2019 United Nations Disability Inclusion Strategy provides the foundation for sustainable and transformative progress on disability inclusion through all pillars of the work of the United Nations: peace and security, human rights, and development. The Strategy enables the UN system to support the implementation of the Convention on the Rights of Persons with Disabilities⁴¹ and other international

³⁸ http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=980

³⁹ <https://www.un.org/en/content/disabilitystrategy/>

⁴⁰ In addition to the UN Evaluation Group guidance on embedding gender equality and women's empowerment into UN evaluations: <http://www.unevaluation.org/document/download/2107>, please see for information the latest report by the UN Secretary General's High Level Panel on Women's Economic Empowerment: Leave No One Behind – Take Action for Transformational Change on Women's Economic Empowerment <http://hlp-wee.unwomen.org/>

⁴¹ <https://www.un.org/development/desa/disabilities/convention-on-the-rights-of-persons-with-disabilities.html>

human rights instruments, as well as the achievement of the Sustainable Development Goals, the Agenda for Humanity and the Sendai Framework for Disaster Risk Reduction⁴².

UNCDF takes seriously its commitments to GE and women's empowerment throughout its programme cycle, including evaluation. In the latest independent review of the quality of UNCDF evaluation reports under the UN's System-Wide Action Plan, overseen by UNEG, its Evaluation Unit was scored as "exceeding requirements" and the Unit is committed to guarantee that all the evaluations it designs and manages meet the UNEG GE-related norms and standards and apply the UNEG guidance during all phases of the evaluations.

⁴² <https://www.undrr.org/publication/sendai-framework-disaster-risk-reduction-2015-2030>

4. Management roles and responsibilities

To ensure independence and fulfilment of UN evaluation standards, the Evaluation Unit of UNCDF in New York – supported by M&E colleagues in Uganda - is responsible for the design and management of this evaluation and will hire an independent firm (Evaluation Team) to conduct the evaluation.

UNCDF Evaluation Unit: In line with the organisational setup for evaluation at UNCDF, the Evaluation Unit in New York – reporting directly to the Executive Secretary of UNCDF in line with relevant UN Evaluation Group norms on organisational independence of evaluation entities in the UN system - is responsible for the design and management of this evaluation and for the overall quality of the evaluation report .

Evaluation Team: An independent firm will be hired by the Evaluation Unit to conduct the evaluation. The Evaluation Unit will provide substantive support, including joining the Evaluation Team in the data collection mission and supporting the implementation of remote/virtual data collection. The Evaluation Team will work closely with the UNCDF DINU programme team (see below). They will be responsible for arranging all meetings and field visits, with support from the programme team and the Evaluation Unit. The Evaluation Team is expected to organize its own travel, visas, accommodation and local transport. The Evaluation Team shall safeguard the rights and confidentiality of information providers, for example, measures to ensure compliance with legal codes governing areas such as provisions to collect and report data. Furthermore, the Evaluation Team will at all times conduct the evaluation in accordance with the principles outlines in the UNEG 'Ethical Guidelines for Evaluations'⁴³ based on commonly held and internationally recognized professional ideals to conduct themselves in accordance with the highest standards of integrity as enshrined in the Charter of United Nations. The Evaluation Unit takes its responsibilities very seriously in this regard, particularly given the access that will be given to economically vulnerable populations. Finally, the Evaluation Team will need to sign the UNEG Code of Conduct for Evaluation in the UN System⁴⁴ and return a copy to the Evaluation Unit.

UNCDF DINU Programme team: The programme staff will provide administrative and logistical support. This will include: timely access to an extensive range of documentation for the desk review; an updated stakeholder list with contact details, including emails, telephone numbers and preferred method of access (if possible); and assistance in scheduling meetings in Uganda. The programme staff will also be available for initial briefing and final debriefing in Uganda and shall make itself available to answer questions and provide documents. The programme staff may provide office space in Uganda for the evaluation team to work upon request.

Advisory Panel: The Panel will be comprised of key programme stakeholders (including potentially representatives of UNCDF, the Office of the Prime Minister, the EU and others. The role of the Advisory Panel will be to support the Evaluation Unit in managing the evaluation by participating in the following:

- Reviewing and commenting on the inception report
- Reviewing and commenting upon the draft report
- Being available for interviews with the evaluation team

⁴³ <http://www.uneval.org/search/index.jsp?q=ethical+guidelines>

⁴⁴ <http://www.unevaluation.org/document/detail/100>

As appropriate, representatives from the national counterpart and key funders are welcome to observe the conduct of the evaluation – COVID-19 permitting. In doing so, care will be taken to allow access by the evaluators to stakeholders in a confidential manner where necessary.

5. Audience and timing

The primary audience for this evaluation is UNCDF, other DINU implementing partners, and key stakeholders, including the European Union, MDAs, LDGs (18 districts), Uganda's Office of Prime Minister (OPM), NAO, Delegation Agreements and Grantees, UNRAs in Uganda and others.

Evaluation during a crisis: COVID-19

Considering the COVID-19 pandemic and resultant restrictions, the proposed evaluation schedule may be subject to change. All work of the evaluation team during the field visit shall be done within the guidelines and protocols set by the local and national government of Uganda.

The evaluation will have three distinct phases:

Phase 1 - Inception

- Kick-off meeting between the evaluation team and the Evaluation Unit to ensure clear understanding of the evaluation methodology, approach and main deliverables as per TOR;
- Adjustments to any evaluative approaches/methodologies that may be needed to implement the evaluation effectively in response to the COVID-19 restrictions in Uganda, including safety guidance, extended desk reviews, primary use of national consultants and virtual stakeholder meetings and interviews;
- Kick-off meetings with Advisory Panel, the DINU programme staff, as well as the senior management of UNCDF, to familiarize the Evaluation Team with the programme objectives, results to date and expectations for this evaluation;
- Provision of all relevant documents;
- Stakeholder mapping and selection;
- Finalization of the evaluation methodology and tools, including the sampling strategy and the data collection strategy.
- Finalization of data collection tools (questionnaire, checklist, guidelines). The Evaluation team will be responsible for pre-test and finalization of tools and techniques for the survey. The data collection tools will be in English language.
- Finalization of the schedule for field visit;
- Interviews by the team with key stakeholders

Phase 2 – Data collection mission

- Considering the COVID-19 pandemic and resultant restrictions, the schedule and length of field visit may be subject to change and will follow guidelines and protocols set by the local and national government of Uganda. No stakeholders, consultants or UNCDF staff should be put in harm's way and safety is the key priority.
- Primary data collection, including site visits, focus groups discussions, and key informant interviews
- Security briefing with UNCDF country office
- Debriefing sessions with the key in-country stakeholders will be organized to present emerging trends/ preliminary findings and to build ownership of the findings with programme counterparts

- The Team Leader may be asked to debrief the Advisory Panel and Evaluation Unit at the end of the field visit. This with a view to provide a sense of the evaluation team's preliminary findings ahead of the draft reporting phase.
- The evaluators are also expected to conduct interviews with key informants from HQ.

Phase 3 – Reporting

- Analysis and synthesis, including a technical debrief with UNCDF DINU staff on initial findings and final questions
- Drafting of the evaluation report
- HQ debrief of the final evaluation report to UNCDF senior management.

In drawing up the proposed work plan, the evaluation team should be given sufficient time to complete: i) a thorough review of all relevant programme documentation during the inception phase and preparation of the methodological approach to be followed by the evaluation team; ii) one data collection mission (field visit), and iii) a thorough write-up phase of the evaluation report, to include analysis and transparent aggregation of the different 'lines of evidence' collected during the preceding evaluation phases into case studies and a final evaluation report with relevant annexes.

During the country visit, the expected level of effort for the evaluation should include 15 days (minimum) per person in country with a minimum of two members of the evaluation team to visit the country (i.e at least 30 person days). These team members should be experienced evaluators with relevant technical knowledge of the intervention being assessed.

In total, it is expected that the evaluation will take at a minimum between 90 - 100 person days to complete, including all team members' contributions to the inception, field visit and write up phases of the evaluation.

The methodology – including the final sampling strategy - should be further developed by the evaluation team during the inception phase under the supervision of the Evaluation Unit. The below proposed timeframe and expected deliverables will be discussed with the evaluation team and refined during the inception phase. The final schedule of deliverables should be presented in the inception report.

The Evaluation Unit reserves the right to request revisions to the evaluation deliverables until they meet the quality standards set by the UNCDF's Evaluation Unit for evaluation reports (please see Annex for more details).

The Evaluation Team Leader is responsible for preparing and submitting the following deliverables:

Phase	Deliverable	Tentative timeframe
Phase 1: Inception	An inception report presenting a full description of programme implementation to date as well as the final evaluation matrix, methodology, data collection toolkit and detailed work plan with timeline following a template to be provided by the Evaluation Unit. The report must also detail any adjusted evaluative approaches/methodologies that may be needed to implement the evaluation effectively due to COVID-19.	Q2-Q3 2021

Phase 2: Field visit and data collection mission	-	Q3 2021
Phase 3: Reporting	<ul style="list-style-type: none"> • A Draft Evaluation Report⁴⁵ organized by evaluation sub-question, presenting evaluation findings and recommendations for DINU's UNCDF component, aggregated and synthesized on the basis of the results of the different data collection and analysis tools (35-45 pages). • Annexes with summary of findings from each of the 'lines of evidence' used to support the evaluation findings⁴⁶ • An Executive Summary of maximum 5 pages summarizing the main findings and recommendations in English and French • Case studies following the template provided • A PPT slideshow for HQ debriefing (20 minutes' presentation) summarizing the main findings and recommendations. • A Final Evaluation Report that incorporates comments received from all partners and a matrix of recommendations to be used for the Management Response and action, with recommendations for the next phase of the programme. • If all or part of the evaluation was carried out virtually as a result of COVID-19, the report should reflect such limitations. 	Q3-Q4 2021

⁴⁵ Including up to three rounds of revisions.

⁴⁶ All completed tools and datasets making up the different lines of evidence should be made available to the Evaluation Unit upon request (including field notes, transcribed highlights from interviews and focus group discussions, details from quantitative analysis). Bidders are requested to make sure that the Evaluation Team is ready to provide this information upon request.

6. Composition of Evaluation Team

The evaluation team should present a combination of expertise and experience in both the theory and practice of international development evaluation as well as in the various technical areas that UNCDF is working in, including: i) capacity building of Local Governments, including in the area of PFM, gender-responsive good governance and the rule of law and the empowerment of communities to participate in improved local service delivery; ii) funding of small and medium-size agribusinesses, Business Development support and agricultural value chain as it relates to food security and nutrition; and iii) road rehabilitation and upgrading at the district and community level in developing countries).

It is requested that the proposed evaluation team be made up of at least the following roles:

- 1 Team Leader with at least 10 years of relevant evaluation experience and relevant technical experience
- Team member(s) with at least 10 - 15 years of relevant thematic experience (local government finance, PFM, SME finance, road rehabilitation and upgrading)
- At least 1 national expert

The evaluation team should strive for gender-balance in its composition and include representatives from Uganda and/or who possess background knowledge/expertise in Uganda.

Overall expertise/experience

Overall, the team should be offer the following expertise and experience:

- Applied knowledge of theory-based approaches to programme evaluation, using both quantitative and qualitative analysis of existing secondary data and primary data sources;
- Experience in local government finance and local economic development in least developed countries;
- Experience in measuring the performance of public financial management systems at the local level, including planning, efficiency in allocation, use and availability of resources, intergovernmental fiscal transfer systems, local government revenue systems, elimination of corruption, Output Oriented Budgeting, Performance Based Budgeting, financial management, capital investment programming, procurement, Gender sensitive and Climate change responsive LGs Development Plans and Budgets;
- Experience in technical assistance to the implementation and financing of local economic development strategies through PPPs, SME finance and infrastructure finance;
- Experience in providing policy support, grant, loans and other forms of development finance instruments to public institutions;
- Experience in infrastructure finance and investment at the sub-national level and the principles of local economic development such as clustering, externalities, linkages and public promotion of economic activity with social impacts;
- MSME investment financing at the market and policy level in LDCs,
- Understanding of how to assess programme contribution to market development/systemic changes in the area of SMEs and agricultural value chains as they relates to food security and nutrition as well as rehabilitation and upgrading of district and community access roads to ensure all-weather accessibility to services and markets for population and commodities; to increase trade of commodities (region/ country/ cross-country)

Evaluation expertise/experience

- Proven experience (at least 10 years for the team leader) with designing and conducting international development evaluations that apply relevant mixed-methods evaluation approaches to a variety of different modalities in international development cooperation, involving inter-governmental organisations and their government and private sector counterparts.
- Knowledge of how the UN system functions is highly preferred.
- Demonstrated experience in integrating gender equality, human rights and youth in evaluation.
- Evidence of formal evaluation and research training, including familiarity with OECD or UN norms and standards for development evaluation, as well as the evaluation of complexity as applied to market development approaches, such as that of DCED.
- Relevant experience of undertaking/participating in evaluations in the areas covered by this intervention, including experience using a range of qualitative and quantitative evaluation methodologies to assess program results at individual, institutional, market and policy levels.

Thematic expertise/experience

The teams should also demonstrate much of the following thematic expertise/experience:

Local Government Finance / Public Financial Management

- Proven international experience in the field of local development, local economic development, local government finance, decentralization, intergovernmental fiscal transfer systems, development planning, public financial management and budgeting;
- Proven experience in capacity building of Local Governments in PFM, including supporting and strengthening local governments' upward accountability.
 - Proven experience in Local government PFM, compliance with National Rules and Regulations, PFM diagnostics for compliance and performance (customized PEFA Methodology) including Community Based interventions in the areas of LG PFM Compliance and Performance;
 - Proven experience and strong knowledge in technical support to the LGs in applications of IFMS and ICT system at the local level focusing on strengthening capacities of LGs to analyse and make cash flow forecast, budget performance analysis, carry out integrated planning and budgeting processes, implement modern procurement systems, integrated accounting, revenue and expenditure management systems, oversight bodies and mechanisms, improve public service delivery and management; LG Financial Accounting and Regulations Manuals;
 - Proven experience and knowledge of asset management and development of asset management strategies;
 - Proven experience and knowledge of mobile tax registration and payment systems using mobile money platforms;
 - Proven experience and knowledge of land governance and registration of certificate of customary ownership, to allow communities to affirm their rights and request government protection, increase tenure security, reduce potential for conflict, efficient land information system for service delivery; land dispute resolution, monitoring system
 - Proven experience National Annual performance assessment frameworks for Local Governments;
- Proven experience in capacity building of Local Government Units to efficiently mobilise and equitably allocate and utilise local revenue and resources;
 - Proven experience and strong knowledge of LG Development plans and Budgets that are Gender sensitive and responsive to climate change challenges and local economic conditions;

- Proven experience and knowledge of technical and financial support to develop Local Economy Development strategies and experience with the principles of local economic development such as clustering, externalities, linkages and public promotion of economic activity with specific social impacts
- Experience in technical assistance to the implementation and financing of local economic development strategies through PPPs, SME finance and infrastructure finance;
- Proven experience and strong knowledge of capital investment planning in LGs, infrastructure finance and investment,
- Technical expertise as a provider of technical assistance, policy support, grants, loans and other forms of development finance instruments to public institutions;
- Proven experience and knowledge of gender sensitive Local Economy Assessment (LEA);
- Proven experience and knowledge of climate vulnerability and risk assessments (CVRA) using participatory methods at community level;
- Proven experience and knowledge in the design, finance and implementation of catalytic economic projects to empower women and youth and improve local climate change adaptation, mitigation and resilience, including empowerment of refugee and host communities;
- Proven experience and knowledge of local government revenue systems, mapping and assessing local revenue sources, management and administration systems, revenue data bases management – update and linkages to financial management systems;
- Proven experience and knowledge of Development of Local Revenue Enhancement Plans and revenue mobilization plans;
- Proven experience and knowledge of incentives performance of local governments and stimulate community involvement, including improving community capacity to participate in LG planning and budgeting process, financial incentives – Local Government excellence Fund – and Discretionary Development Equalisation Grant (DDEG);

MSME and SME finance for Food Security and Agriculture

- Knowledge and awareness of issues relating to MSME/SME access to finance in a least developed country context, seed capital (loans, partial credit guarantees and reimbursable grants) to incubation projects, BDS and advisory for start-ups and MSME/ SMEs;
- Proven experience in identifying gaps in financial and technical assistance services to capital – intensive value adding agricultural projects in storage and processing;
- Proven experience and strong knowledge in access to finance for projects promoted by women and youth and contribute to their economic empowerment as well as projects that aim at reducing environmental risks and ecological scarcities along the identified value chains;
- Proven experience in alignment between public sector interventions and private sector economic activities;
- Proven experience in leveraging domestic capital for investments in agriculture by attracting farmers' savings, concessional and regular finance and guarantees from financial institutions and private firms;
- Proven experience and strong knowledge of working to support financial institutions/ national development finance institutions;
- Proven experience and strong knowledge of funding facilities for small and medium agribusinesses;
- Comprehensive knowledge of DCED benchmarks and industry best practices;
- Experience at the country sector level/understanding of building enabling environments/stakeholder engagement;
- Experience of market development approach; low-income market segments; electronic payments;

- Skills and experience in value chain analysis;
- Prior experience and knowledge in Youth and Women Economic Empowerment;

Stock and Quality of district road assets for local service delivery

- Proven experience and strong knowledge in the provision of technical assistance for implementation of district road rehabilitation and improvement programmes;
- Proven experience and strong knowledge in preparation/ review of detailed engineering designs, scope/ prioritisation, cost estimates and implementation timeframe of rehabilitation works, including tender preparation and contracting;
- Proven experience and strong knowledge of conditional grant transfer mechanisms to allow LGs to contribute to road assets development and rehabilitation; including management of funds operations to ensure coherence between partners and delivery;
- Proven experience and strong knowledge of providing technical support and advisory services in the road sector, support to road assets maintenance, training programmes in road maintenance for LGs, integrating road rehabilitation and maintenance component in the Local Government annual and mid-term planning, budgeting and implementation frameworks;

In order to meet good practice in ensuring sufficient coverage of gender equality and women's empowerment in the evaluation design and conduct, one gender equality and empowerment expert should be appointed within the evaluation team to ensure that the evaluation reports this accordingly. The expert should focus on gender data disaggregation and gender-related impacts at the client level. The expert will have the responsibility for appraising the substance and effectiveness of approaches, products, outcomes and risks of women's financial inclusion.

COVID permitting, the country visit team should include the Team Leader. The Team Leader should also have demonstrated experience in conducting evaluations and be equipped with the relevant skills and experience to 'apply an evaluative lens' at all points during the conduct of the country visit.

7. Impartiality requirements

We take the opportunity here to remind potential bidders that in line with UN norms and standards for evaluation, the ability of the evaluation team to conduct an independent and impartial evaluation of the intervention being assessed is a pre-requisite. With this in mind, interested firms should ensure specifically that members of the evaluation team that are proposed have not had any previous experience of working with or supporting the programme being evaluated or have any plans to do so for the duration of the programme being implemented.

8. Price and schedule of payments

Evaluation during a crisis: COVID-19

In line with the UNDP's financial regulations, when determined by the UNCDF Evaluation Unit and/or the evaluation team that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the evaluation, that deliverable or service will not be paid.

Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

The technical proposal cannot include any information on costs. The financial proposal should provide a detailed costing for the scope of work and deliverables described for each of the above-mentioned evaluations. The Financial Proposal shall list all major cost components associated with the services and the detailed breakdown of such costs, including fees, travel costs, per diem, etc. All outputs and activities described in the offer must be priced separately on a one-to-one correspondence.

Any output and activities described in the offer 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.

Schedule of payments:

- 25% of contract: upon submission of inception report;
- 35% of contract: upon submission of draft evaluation report;
- 40% of contract: upon approval of final evaluation report.

Annex 1 – UNCDF Presence in Uganda

Since 1985, UNCDF has been providing support to decentralization and local development in Uganda through a series of consecutive programmes – described as **District Development Programmes (DDP)** I, II and III - at the district level. The strategy used has evolved from project-driven infrastructure delivery (for **DDPI 1998/1999**) to institutional development and policy impact as well as a new local development model (for **DDPII 2002/2007**) to LED support (for **DDPIII 2009/2012**). The earlier programmes focused on local public financial management, including introduction of a performance-based discretionary grant mechanism to support local development. Once piloted, the performance-based grant mechanism, was taken to scale by the Government and other development partners, making the backbone of Uganda's modern intergovernmental transfer system. The latter programme, **DDPIII** (2009-2012) was designed to focus on the mobilisation of the strategic role of the LGs as a pivotal actor for stimulating and promoting economic growth at both the local and national levels. This programme built upon the achievements of its predecessors, DDP I and II, and their contribution towards the development and activation of an effective local government system to transform local governments into effective promoters and enablers of LED in close partnership with the private sector.

Two more programmes were implemented in 2010-2015 to apply the UNCDF local governance and development approach to the challenge of post-conflict recovery and women's economic empowerment. The UNCDF – UNDP **joint programme on Building Sustainable Peace in Karamoja** supported the positive recovery trends in Northern Uganda to ensure their sustainability through diversified livelihoods, better market access and income generation activities. The **joint programme on Gender Equality and Women's Empowerment** (FAO, ILO, UNCDF, UNDP, UN Habitat, UNHCR, UNICEF, UNFPA, UN OHCHR,

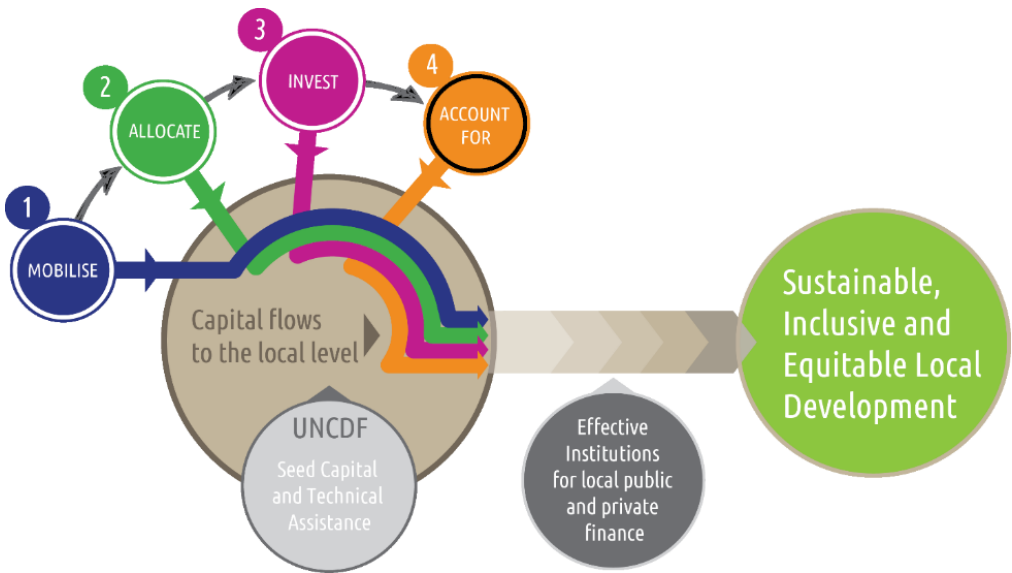
UN Women and WHO) supported central and local governments to develop strategies, systems and staff capabilities to increase women's access to sustainable livelihoods and gainful employment.

A new approach to financing local economic development was introduced in 2010 under the name of the **Local Finance Initiative (LFI)**⁴⁷. This approach puts emphasis on tapping into existing domestic capital for LED financing. Since 2015, LFI has been implemented in Uganda as part of a Global Programme that has the overall objective of increasing the effectiveness of financial resources for local economic development through mobilisation of primarily domestic private capital and financial markets in developing countries to enable and promote inclusive and sustainable local development. LFI supports infrastructural projects that are catalytic for LED through Technical Assistance in project development and last mile financing to make the projects bankable. Similarly, the DINU project will benefit from the presence of another innovative programme, **Mobile Money for the Poor (MM4P)**⁴⁸ that offers digital solutions to sustainable branchless and mobile financial services. MM4P experiences in digitizing agricultural value chains and establishment of mobile payment platforms will allow the DINU project to apply mobile technologies to improve access to finance for agribusiness SMEs and increase local revenue generation. Yet UNCDF programme, Joint Working Programme on Equitable Economic Growth in Cities will allow UNCDF to incorporate in the DINU implementation process local-level solutions that foster inclusive and equitable economic growth.

⁴⁷ <http://lmftf.uncdf.org/what-we-fund/local-finance-initiative-lfi>

⁴⁸ <https://www.uncdf.org/mm4p/home>

Annex 2 - UNCDF approach to Local Development Finance



Annex 3 – DINU Result Framework

General objective of the programme is to consolidate stability in Northern Uganda, eradicate poverty and under-nutrition and strengthen the foundations for sustainable and inclusive socio-economic development.

Specific Objective	Result	Activity
SO 1: to increase food security, improve maternal and child nutrition, and enhance household incomes through support to diversified food production and commercial agriculture and through improving household resilience (notably to climate change) and women empowerment.	R 1.1: increased production of diversified food;	A 1.1.1-facilitate the adoption and production of diverse food crops and animal products A 1.1.2-facilitate access to key inputs and output markets for women and men small-scale farmers A 1.1.3-train farmer groups and other small market operators along the value chain in community saving and credit schemes A 1.1.4-support vocational training institutes, A 1.1.5-Sustainable climate proofed water infrastructure built in Karamoja A 1.1.6 - support the land registration of Communal Land
	R 1.2: increase market accessibility;	A 1.2.1-foster linkages between smallholder farmers, agro-processors and market operators; A 1.2.2-Providing seed capital to incubation projects (UNCDF component) A 1.2.3-support the private sector in developing decentralised rural electrification projects A 1.2.4-assess and identify market opportunities and product niches
	R 1.3: nutrition-specific interventions	A 1.3.1-Developing and promoting community based nutrition initiatives including micro nutrient supplementation & deworming, promotion of maternal and young child feeding practices, hygiene and sanitation and child care. A 1.3.2-Increase the use of effective family planning methods with the aim of decreasing the number of teenage pregnancies and increasing child spacing which address both nutrition and population growth issues.
SO 2: to increase trade of commodities within the region, within the country, and with neighbouring countries through the improvement of transport infrastructures.	R 2.1: transport infrastructures in the regions are improved and climate-resilient;	A 2.1.1-Rehabilitation and construction of selected roads connecting remote and disadvantaged districts to the main road network (connecting roads) A 2.1.2-Rehabilitation and upgrading of selected numbers of priority districts and community access roads within 4 priority districts (Amudat, Adjumani, Abim, Moyo) (UNCDF component)
	R 2.2: Cargo distribution system and storage capacities are improved in Northern Uganda	A 2.2.1-Construction of a logistic hub in Gulu

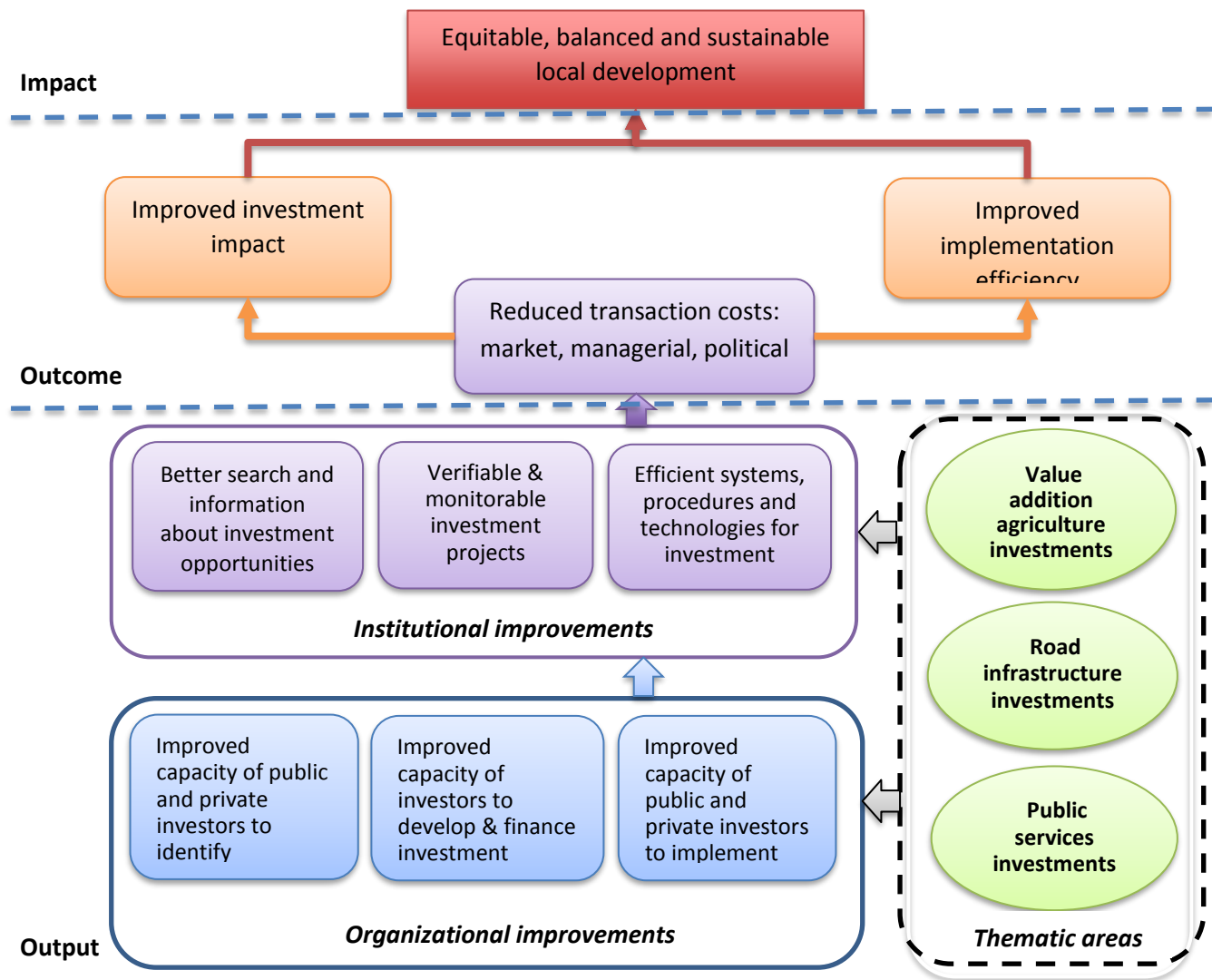
SO 3: to strengthen capacity, gender-responsive good governance (core mandate and general broad mandate) and the rule of law at the level of local government authorities and empower communities to participate in improved local service delivery.	R 3.1: Capacities of Local governments to manage core public financial processes is strengthened to improve service delivery and local development;	<p>A 3.1.1 - Strengthen capacities of Local Government in public financial management; (UNCDF component)</p> <p>A 3.1.2: Strengthen capacities of mandated local government units to efficiently mobilise and equitably allocate and utilise local revenue and resources (UNCDF component)</p> <p>A 3.1.3-Structured partnership with Associations of Local Authorities and key relevant institutions for research and advocacy on institutional and policy reforms relating to core mandates of local governments (UNCDF component)</p>
	R 3.2: Upward accountability of Local Governments increased;	<p>A 3.2.1-support and strengthen local governments' accountability institutions in their interaction with line ministries and national accountability institutions. (UNCDF component)</p> <p>A 3.2.2 – support the reform and pilot implementation of the Government of Uganda's own annual performance assessment framework for local governments (UNCDF component)</p> <p>A 3.2.3-incentivise performance of local governments and to stimulate community involvement (UNCDF component)</p>
	R 3.3: Downward accountability of Local Governments to its constituents is strengthened by empowering citizens, civil society, media, NSAs, private sectors in their interaction with Local Government;	<p>A 3.3.1-Increase downward accountability mechanisms</p> <p>A 3.3.2-Support initiatives Office of Prime Ministers' Baraza60 as complemented by public expenditure tracking and budget transparency initiatives of Ministry of Finance, Planning and Economic Development</p> <p>A 3.3.3-Foster the oversight role of CSOs (and other actors) by strengthening their collaboration with local governments</p>
	Result 3.4: capacities of local government to deliver services to communities strengthened.	<p>A 3.4.1-strengthen the capacities of Uganda Police Forces and other Justice, Law and Order institutions to consolidate peace and security in Karamoja</p> <p>A 3.4.2-support nutrition governance at decentralised level;</p> <p>A 3.4.3-support districts and communities in road maintenance (UNCDF component)</p> <p>A 3.4.4-Strengthen integrated catchment-based planning, management and development of water resources in Karamoja</p>

		A 3.4.5-improve land governance and facilitate the registration of Certificate of Customary Ownership (<i>UNCDF component</i>) A 3.4.6-Build Capacity of Production Departments in Local Government at District and Sub-County levels
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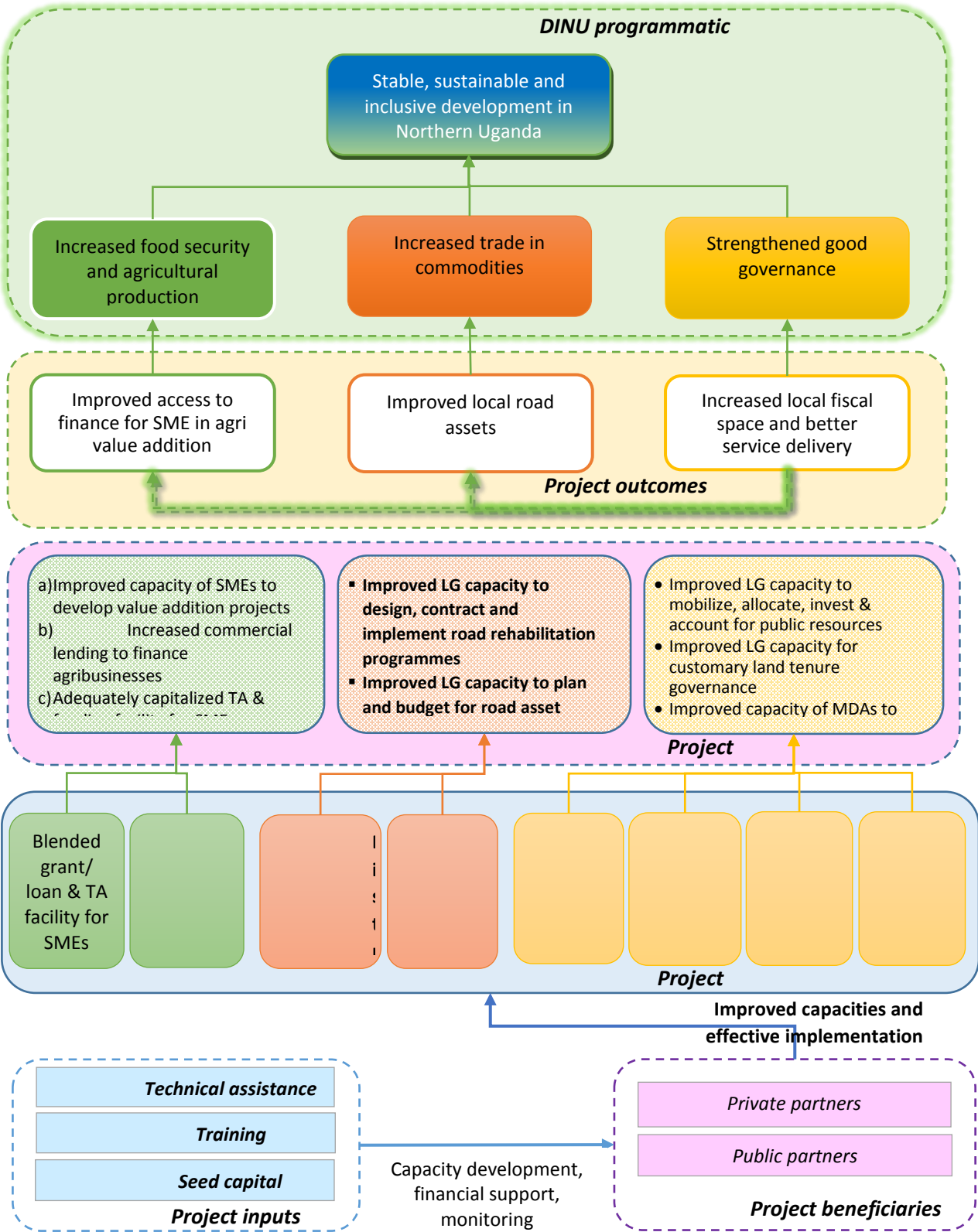
Annex 4 - Activities of UNCDF component under DINU Result Framework

DINU component	DINU Activity
Food Security and Agriculture	<ul style="list-style-type: none"> Activity 1.2.2 - Providing seed capital to incubation projects: design and implement a mechanism for providing BDS and seed capital in the form of loans, grants and reimbursable grants to promising projects.
Transport Infrastructure	<ul style="list-style-type: none"> Activity 2.1.2 - Rehabilitation and upgrading of priority district and community access roads within 4 priority districts (Amudat, Adjumani, Abim, Moyo).
Good Governance	<ul style="list-style-type: none"> Activity 3.1.1 - Strengthen capacities of Local Governments in public financial management.
	<ul style="list-style-type: none"> Activity 3.1.2 – Strengthen capacities of mandated local government units to efficiently mobilise and equitably allocate and utilise local revenue and resources.
	<ul style="list-style-type: none"> Activity 3.1.3 - Structured partnership with Associations of Local Authorities and key relevant institutions for research and advocacy on institutional and policy reforms relating to core mandates of local governments.
	<ul style="list-style-type: none"> Activity 3.2.1 - Support and strengthen local governments' accountability institutions in their interaction with line ministries and national accountability institutions.
	<ul style="list-style-type: none"> Activity 3.2.2 – Support the reform and pilot implementation of Government of Uganda's own annual performance assessment framework for local governments on key indicators such as stakeholders participation in planning and budgeting, local revenue mobilisation and compliance with PFM related rules and regulation.
	<ul style="list-style-type: none"> Activity 3.2.3 - Incentivise performance of local governments and to stimulate community involvement through provision of top-up grants based on a reformed performance assessment and aligned to the intergovernmental transfer and grants system.
	<ul style="list-style-type: none"> Activity 3.4.3 - Support districts and communities in road maintenance.
	<ul style="list-style-type: none"> Activity 3.4.5 - Improve land governance and facilitate the registration of Certificate of Customary Ownership.

Annex 5 – DINU (UNCDF component)’s Theory of Change



Annex 6 – DINU (UNCDF component)’s Logical Framework



Annex 7 : UNCDF Evaluation Quality Standard

Following UNDP's Evaluation Policy, to which UNCDF is party, all external evaluations commissioned by UNCDF's Evaluation Unit are subject to external quality control by UNDP's Independent Evaluation Office. Bidders are requested to respect the elements of this quality assessment tool in coming up with their proposed approach for the evaluation.

TOR and Design (Weight 15%)
1. Do the Terms of Reference clearly outline the focus for the evaluation in a logical and realistic manner?
2. Do the Terms of Reference detail timescales and budgets for the evaluation?
3. Does the TOR clearly outline the evaluation's planned approach?
4. Is the proposed outline of the evaluation approach and methodology clearly detailed in the ToR?
5. Does the ToR request the evaluator to include gender and vulnerable group issues within the evaluation?
Report and Methodology (Weight 30%)
STRUCTURE
1. Is the evaluation report well-balanced and structured?
2. Does the Evaluation report clearly address the objectives of the evaluation as outlined in the ToR?
METHODOLOGY
3. Is the evaluation's methodological approach clearly outlined?
4. Is the nature and extent of the project/ programmes stakeholders or partnerships and their role and involvement in the project/ programme explained adequately?
5. Does the Evaluation clearly assess the projects/ programmes level of RELEVANCE?
6. Does the Evaluation clearly assess the projects/ programmes level of EFFECTIVENESS?
7. Does the Evaluation clearly assess the projects/ programmes level of EFFICIENCY?
8. Does the Evaluation clearly assess the projects/ programmes level of SUSTAINABILITY?
DATA COLLECTION
9. Are data collection methods and analysis clearly outlined?
10. Is the data collection approach and analysis adequate for scope of the evaluation?
11. Are any changes to the evaluation approach or limitations in implementation during the evaluation mission clearly outlined and explained?

REPORT CONTENT
12. Does the evaluation draw linkages to the UNDP country programme strategy and/ or UNDAF?
13. Does the Evaluation draw linkages to related National government strategies and plans in the sector/ area of support?
14. Does the evaluation detail programme/ project funding and provide funding data?
15. Does the evaluation include an assessment of the projects M&E design, implementation and overall quality?
16. Are all indicators in the logical framework assessed individually, with final achievements noted?
Crosscutting (Weight 15%)
1. Are human rights, disabilities, minorities and vulnerable group issues addressed where relevant?
2. Does the report discuss poverty/ environment nexus or sustainable livelihoods issues, as relevant?
3. Does the report discuss disaster risk reduction and climate change mitigation and adaptation issues where relevant?
4. Does the report discuss crisis prevention and recovery issues, as where relevant?
5. Are the principles and policy of gender equality and the empowerment of women (GEEW) integrated in the evaluation scope and indicators, as relevant?
6. Does the Evaluation's Criteria and Evaluation Questions specifically address how GEEW has been integrated into the design, planning, implementation of the intervention and the results achieved, as relevant?
7. Are gender-responsive Evaluation methodology, Methods and tools, and Data Analysis Techniques selected?
8. Do the evaluation findings, conclusions and recommendation take gender equality and the empowerment of women (GEEW) aspects into consideration?
9. Does the evaluation draw linkages to the SDGs and relevant targets and indicators for the area being evaluated?
Evaluation Findings, Conclusions and Recommendations (Weight 40%)
FINDINGS AND CONCLUSIONS
1. Does the evaluation report contain a concise and logically articulated set of findings?
2. Does the evaluation report contain a concise and logically articulated set of conclusions?
3. Does the evaluation report contain a concise and logically articulated set of Lessons learned?
4. Do the findings and conclusions relate?
5. Are the findings and conclusions supported with data and interview sources?
6. Do the conclusions build on the findings of the evaluation?
7. Are risks discussed within the evaluation report?
RECOMMENDATIONS
8. Are the recommendations clear, concise, realistic and actionable?

9. Are recommendations linked to Country Office outcomes and strategies and actionable by the CO?

Section 6: Returnable Bidding Forms / Checklist

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

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

Technical Proposal Envelope:

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

Financial Proposal Envelope

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

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

Form A: Technical Proposal Submission Form

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

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

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

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

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

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

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

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

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

Name: _____

Title: _____

Date: _____

Signature: _____

[Stamp with official stamp of the Bidder]

Form B: Bidder Information Form

Legal name of Bidder	[Complete]
Legal address	[Complete]
Year of registration	[Complete]
Bidder's Authorized Representative Information	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
Are you a UNGM registered vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UGNM vendor number]
Are you a UNCDF vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UNCDF vendor number]
Countries of operation	[Complete]
No. of full-time employees	[Complete]
Quality Assurance Certification (e.g. ISO 9000 or Equivalent) (If yes, provide a Copy of the valid Certificate):	[Complete]
Does your Company hold any accreditation such as ISO 14001 related to the environment? (If yes, provide a Copy of the valid Certificate):	[Complete]
Does your Company have a written Statement of its Environmental Policy? (If yes, provide a Copy)	[Complete]
Contact person UNCDF may contact for requests for clarification during Proposal evaluation	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
Please attach the following documents:	<ul style="list-style-type: none"> ▪ Company Profile, which should <u>not</u> exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured ▪ Certificate of Incorporation/ Business Registration ▪ Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Bidder is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Bidder ▪ Trade name registration papers, if applicable ▪ Local Government permit to locate and operate in assignment location, if applicable ▪ Official Letter of Appointment as local representative, if Bidder is submitting a Bid in behalf of an entity located outside the country ▪ Power of Attorney

Form C: Joint Venture/Consortium/Association Information Form

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

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

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

Name of leading partner (with authority to bind the JV, Consortium, Association during the RFP process and, in the event a Contract is awarded, during contract execution)	[Complete]
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We have attached a copy of the below document signed by every partner, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture:

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

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

Name of partner: _____ Name of partner: _____

Signature: _____ Signature: _____

Date: _____ Date: _____

Name of partner: _____ Name of partner: _____

Signature: _____ Signature: _____

Date: _____ Date: _____

Form D: Qualification Form

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

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

Historical Contract Non-Performance

☐ Contract non-performance did not occur for the last 3 years

☐ Contract(s) not performed for the last 3 years

Year	Non- performed portion of contract	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Reason(s) for non-performance:	

Litigation History (including pending litigation)

☐ No litigation history for the last 3 years

☐ Litigation History as indicated below

Year of dispute	Amount in dispute (in US\$)	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Matter in dispute: Party who initiated the dispute: Status of dispute: Party awarded if resolved:	

Previous Relevant Experience

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

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

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

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

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

Financial Standing

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

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

Current Ratio			
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- ☐ Attached are copies of the audited financial statements (balance sheets, including all related notes, and income statements) for the years required above complying with the following condition:
- a) Must reflect the financial situation of the Bidder or party to a JV, and not sister or parent companies;
 - b) Historic financial statements must be audited by a certified public accountant;
 - c) Historic financial statements must correspond to accounting periods already completed and audited. No statements for partial periods shall be accepted.

Form E: Format of Technical Proposal

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

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

SECTION 1: Bidder's qualification, capacity and expertise

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

SECTION 2: Proposed Methodology, Approach and Implementation Plan

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

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

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

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

SECTION 3: Management Structure and Key Personnel

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

Format for CV of Proposed Key Personnel

Name of Personnel	[Insert]
Position for this assignment	[Insert]
Nationality	[Insert]
Language proficiency	[Insert]
Education/ Qualifications	<i>[Summarize college/university and other specialized education of personnel member, giving names of schools, dates attended, and degrees/qualifications obtained.]</i>
	[Insert]
Professional certifications	<i>[Provide details of professional certifications relevant to the scope of services]</i>
	<ul style="list-style-type: none"> ▪ Name of institution: [Insert] ▪ Date of certification: [Insert]
Employment Record/ Experience	<i>[List all positions held by personnel (starting with present position, list in reverse order), giving dates, names of employing organization, title of position held and location of employment. For experience in last five years, detail the type of activities performed, degree of responsibilities, location of assignments and any other information or professional experience considered pertinent for this assignment.]</i>
	[Insert]
References	<i>[Provide names, addresses, phone and email contact information for two (2) references]</i>
	Reference 1: [Insert] Reference 2: [Insert]

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

Signature of Personnel

Date (Day/Month/Year)

Form F: Financial Proposal Submission Form

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

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

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

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

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

Name: _____
Title: _____
Date: _____
Signature: _____

[Stamp with official stamp of the Bidder]

Form G: Financial Proposal Form

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

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

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

Currency of the proposal: USD

Table 1: Summary of Overall Prices

	Amount(s) in USD
Financial proposal for training providing services	
Professional Fees (from Table 2) Honorarium for team leader	
Professional Fees (from Table 2) Honorarium for team members	
Other Costs (from Table 3)	
Total Amount of Financial Proposal VAT 0%	
Financial proposal for field phase detailed per country/ per region	
Transportation:	
Accommodation	
Interpretation	
Written translation:	
Etc	

Total final and all-inclusive price quotation (VAT 0%)	
--	--

Table 2: Breakdown of Professional Fees

Name	Position	Fee Rate	No. of Days/months/ hours	Total Amount
		A	B	C=A+B
In-Country				
Home Based				
Subtotal Professional Fees:				

Table 3: Breakdown of Other Costs

Description	UOM	Quantity	Unit Price	Total Amount
International flights	Trip			
Subsistence allowance	Day			
Miscellaneous travel expenses	Trip			
Local transportation costs	Lump Sum			
Out-of-Pocket Expenses				
Other Costs: (please specify)				
Subtotal Other Costs:				

Table 4: Breakdown of Price per Deliverable/Activity

Deliverable/ Activity description	Time (person days)	Professional Fees	Other Costs	Total
Deliverable 1				
Deliverable 2				
Deliverable 3				
.....				

Form H: Form of Proposal Security

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

To: UNCDF

[Insert contact information as provided in Data Sheet]

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

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

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

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

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

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

SIGNATURE AND SEAL OF THE GUARANTOR BANK

Signature: _____

Name: _____

Title: _____

Date: _____

Name of Bank _____

Address _____

[Stamp with official stamp of the Bank]