

**United Nations Development Programme**



## **REQUEST FOR PROPOSAL(RFP)**

**CONSULTANCY TO CARRY OUT ANALYTICAL RESEARCH ON SURVIVING MULTIPLE VULNERABILITIES: VOICES OF FARMERS AND PASTORALISTS FROM ETHIOPIA, KENYA, SOUTH SUDAN AND UGANDA.**

**RFP No.: UNDPKEN/006/2021**

**Project: 00125662 – AFRICA BORDERLANDS CENTRE**

**Country: KENYA**

## Section 1. Letter of Invitation

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

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

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

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 [undp.kenya.procurement@undp.org](mailto:undp.kenya.procurement@undp.org), indicating whether you intend to submit a Proposal or otherwise. Should you require further clarifications, kindly communicate with the contact e-mail address identified in the attached Bid Data Sheet as the focal point for queries on this RFP.

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

Issued by:

*Margaret Mbugua*

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Title: Procurement Analyst

Date: 07-Jun-2021

Approved by:

*[Signature]*

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Title: Deputy Resident Representative(Operations)

Date: 07-Jun-2021

## Section 2. Instruction to Bidders

<b>A. GENERAL PROVISIONS</b>	
<b>1. Introduction</b>	<p>1.1 Bidders shall adhere to all the requirements of this RFP, including any amendments in writing by UNDP. This RFP is conducted in accordance with the UNDP Programme and Operations Policies and Procedures (POPP) on Contracts and Procurement which can be accessed at <a href="https://popp.undp.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d">https://popp.undp.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d</a></p> <p>1.2 Any Proposal submitted will be regarded as an offer by the Bidder and does not constitute or imply the acceptance of the Proposal by UNDP. UNDP is under no obligation to award a contract to any Bidder as a result of this RFP.</p> <p>1.3 As part of the bid, it is desired that the Bidder registers at the United Nations Global Marketplace (UNGM) website (<a href="http://www.ungm.org">www.ungm.org</a>). The Bidder may still submit a bid even if not registered with the UNGM. However, if the Bidder is selected for contract award, the Bidder must register on the UNGM prior to contract signature.</p>
<b>2. Fraud &amp; Corruption, Gifts and Hospitality</b>	<p>2.1 UNDP strictly enforces a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical or unprofessional practices, and obstruction of UNDP vendors and requires all bidders/vendors observe the highest standard of ethics during the procurement process and contract implementation. UNDP's Anti-Fraud Policy can be found at <a href="http://www.undp.org/content/undp/en/home/operations/accountability/audit/office_of_audit_andinvestigation.html#anti">http://www.undp.org/content/undp/en/home/operations/accountability/audit/office_of_audit_andinvestigation.html#anti</a></p> <p>2.2 Bidders/vendors shall not offer gifts or hospitality of any kind to UNDP staff members including recreational trips to sporting or cultural events, theme parks or offers of holidays, transportation, or invitations to extravagant lunches or dinners.</p> <p>2.3 In pursuance of this policy, UNDP            (a) Shall reject a proposal if it determines that the selected bidder has engaged in any corrupt or fraudulent practices in competing for the contract in question;            (b) Shall declare a vendor ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines that the vendor has engaged in any corrupt or fraudulent practices in competing for, or in executing a UNDP contract.</p> <p>2.4 All Bidders must adhere to the UN Supplier Code of Conduct, which may be found at <a href="http://www.un.org/depts/ptd/pdf/conduct_english.pdf">http://www.un.org/depts/ptd/pdf/conduct_english.pdf</a></p>
<b>3. Eligibility</b>	<p>3.1 A vendor should not be suspended, debarred, or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization. Vendors are therefore required to disclose to UNDP whether they are subject to any sanction or temporary suspension imposed by these organizations.</p> <p>3.2 It is the Bidder's responsibility to ensure that its employees, joint venture members, sub-contractors, service providers, suppliers and/or their</p>

	employees meet the eligibility requirements as established by UNDP.
<b>4. Conflict of Interests</b>	<p>4.1 Bidders must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. Bidders found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Bidders, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this solicitation process, if they:</p> <ul style="list-style-type: none"> <li>a) Are or have been associated in the past, with a firm or any of its affiliates which have been engaged by UNDP to provide services for the preparation of the design, specifications, Terms of Reference, cost analysis/estimation, and other documents to be used for the procurement of the goods and services in this selection process;</li> <li>b) Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or</li> <li>c) Are found to be in conflict for any other reason, as may be established by, or at the discretion of UNDP.</li> </ul> <p>4.2 In the event of any uncertainty in the interpretation of a potential conflict of interest, Bidders must disclose to UNDP, and seek UNDP's confirmation on whether or not such a conflict exists.</p> <p>4.3 Similarly, the Bidders must disclose in their proposal their knowledge of the following:</p> <ul style="list-style-type: none"> <li>a) If the owners, part-owners, officers, directors, controlling shareholders, of the bidding entity or key personnel are family members of UNDP staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this RFP; and</li> <li>b) All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.</li> </ul> <p>Failure to disclose such an information may result in the rejection of the proposal or proposals affected by the non-disclosure.</p> <p>4.4 The eligibility of Bidders that are wholly or partly owned by the Government shall be subject to UNDP's further evaluation and review of various factors such as being registered, operated and managed as an independent business entity, the extent of Government ownership/share, receipt of subsidies, mandate and access to information in relation to this RFP, among others. Conditions that may lead to undue advantage against other Bidders may result in the eventual rejection of the Proposal.</p>
<b>B. PREPARATION OF PROPOSALS</b>	
<b>5. General Considerations</b>	<p>5.1 In preparing the Proposal, the Bidder is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.</p> <p>5.2 The Bidder will not be permitted to take advantage of any errors or omissions in the RFP. Should such errors or omissions be discovered, the Bidder must notify the UNDP</p>

<b>6. Cost of Preparation of Proposal</b>	6.1 The Bidder shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. UNDP shall not be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.
<b>7. Language</b>	7.1 The Proposal, as well as any and all related correspondence exchanged by the Bidder and UNDP, shall be written in the language (s) specified in the BDS.
<b>8. Documents Comprising the Proposal</b>	8.1 The Proposal shall comprise of the following documents: a) Documents Establishing the Eligibility and Qualifications of the Bidder; b) Technical Proposal; c) Financial Proposal; d) Proposal Security, if required by BDS; e) Any attachments and/or appendices to the Proposal.
<b>9. Documents Establishing the Eligibility and Qualifications of the Bidder</b>	9.1 The Bidder shall furnish documentary evidence of its status as an eligible and qualified vendor, using the Forms provided under Section 6 and providing documents required in those forms. In order to award a contract to a Bidder, its qualifications must be documented to UNDP's satisfaction.
<b>10. Technical Proposal Format and Content</b>	10.1 The Bidder is required to submit a Technical Proposal using the Standard Forms and templates provided in Section 6 of the RFP. 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. 10.3 Samples of items, when required as per Section 5, shall be provided within the time specified and unless otherwise specified by UNDP, and at no expense to UNDP 10.4 When applicable and required as per Section 5, the Bidder shall describe the necessary training programme available for the maintenance and operation of the services and/or equipment offered as well as the cost to the UNDP. Unless otherwise specified, such training as well as training materials shall be provided in the language of the Bid as specified in the BDS.
<b>11. Financial Proposals</b>	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. 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. 11.3 Prices and other financial information must not be disclosed in any other place except in the financial proposal.
<b>12. Proposal Security</b>	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>12.2 The Proposal Security shall be included along with the Technical Proposal. If Proposal Security is required by the RFP but is not found along with the Technical Proposal, the Proposal shall be rejected.</p> <p>12.3 If the Proposal Security amount or its validity period is found to be less than what is required by UNDP, UNDP shall reject the Proposal.</p> <p>12.4 In the event an electronic submission is allowed in the BDS, Bidders shall include a copy of the Bid Security in their proposal and the original of the Proposal Security must be sent via courier or hand delivery as per the instructions in BDS.</p> <p>12.5 The Proposal Security may be forfeited by UNDP, and the Proposal rejected, in the event of any one or combination, of the following conditions:</p> <p style="padding-left: 40px;">a) If the Bidder withdraws its offer during the period of the Proposal Validity specified in the BDS, or;</p> <p style="padding-left: 40px;">b) In the event that the successful Bidder fails:</p> <p style="padding-left: 80px;">i. to sign the Contract after UNDP has issued an award; or</p> <p>12.6 to furnish the Performance Security, insurances, or other documents that UNDP may require as a condition precedent to the effectivity of the contract that may be awarded to the Bidder.</p>
<b>13. Currencies</b>	<p>13.1 All prices shall be quoted in the currency or currencies indicated in the BDS. Where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:</p> <p style="padding-left: 40px;">a) UNDP will convert the currency quoted in the Proposal into the UNDP preferred currency, in accordance with the prevailing UN operational rate of exchange on the last day of submission of Proposals; and</p> <p style="padding-left: 40px;">b) In the event that UNDP selects a proposal for award that is quoted in a currency different from the preferred currency in the BDS, UNDP shall reserve the right to award the contract in the currency of UNDP's preference, using the conversion method specified above.</p>
<b>14. Joint Venture, Consortium or Association</b>	<p>14.1 If the Bidder is a group of legal entities that will form or have formed a Joint Venture (JV), Consortium or Association for the Proposal, they shall confirm in their Proposal that : (i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the JV, Consortium or Association jointly and severally, which shall be evidenced by a duly notarized Agreement among the legal entities, and submitted with the Proposal; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNDP and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.</p> <p>14.2 After the Deadline for Submission of Proposal, the lead entity identified to represent the JV, Consortium or Association shall not be altered without the prior written consent of UNDP.</p> <p>14.3 The lead entity and the member entities of the JV, Consortium or Association shall abide by the provisions of Clause 9 herein in respect of submitting only one proposal.</p> <p>14.4 The description of the organization of the JV, Consortium or Association</p>

	<p>must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the JV, Consortium or Association Agreement. All entities that comprise the JV, Consortium or Association shall be subject to the eligibility and qualification assessment by UNDP.</p> <p>14.5 A JV, Consortium or Association in presenting its track record and experience should clearly differentiate between:</p> <p>a) Those that were undertaken together by the JV, Consortium or Association; and</p> <p>b) Those that were undertaken by the individual entities of the JV, Consortium or Association.</p> <p>14.6 Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the JV, Consortium or Association or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.</p> <p>14.7 JV, Consortium or Associations are encouraged for high value, multi-sectoral requirements when the spectrum of expertise and resources required may not be available within one firm.</p>
<b>15. Only One Proposal</b>	<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> <p>a) they have at least one controlling partner, director or shareholder in common; or</p> <p>b) any one of them receive or have received any direct or indirect subsidy from the other/s; or</p> <p>c) they have the same legal representative for purposes of this RFP; or</p> <p>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;</p> <p>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</p> <p>f) some key personnel proposed to be in the team of one Bidder participates in more than one Proposal received for this RFP process. This condition relating to the personnel, does not apply to subcontractors being included in more than one Proposal.</p>
<b>16. Proposal Validity Period</b>	<p>16.1 Proposals shall remain valid for the period specified in the BDS, commencing on the Deadline for Submission of Proposals. A Proposal valid for a shorter period may be rejected by UNDP and rendered non-responsive.</p> <p>16.2 During the Proposal validity period, the Bidder shall maintain its original</p>

	Proposal without any change, including the availability of the Key Personnel, the proposed rates and the total price.
<b>17.Extension of Proposal Validity Period</b>	<p>17.1 In exceptional circumstances, prior to the expiration of the proposal validity period, UNDP may request Bidders to extend the period of validity of their Proposals. The request and the responses shall be made in writing, and shall be considered integral to the Proposal.</p> <p>17.2 If the Bidder agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal.</p> <p>17.3 The Bidder has the right to refuse to extend the validity of its Proposal, and in which case, such Proposal will not be further evaluated.</p>
<b>18.Clarification of Proposal</b>	<p>18.1 Bidders may request clarifications on any of the RFP documents no later than the date indicated in the BDS. Any request for clarification must be sent in writing in the manner indicated in the BDS. If inquiries are sent other than specified channel, even if they are sent to a UNDP staff member, UNDP shall have no obligation to respond or confirm that the query was officially received.</p> <p>18.2 UNDP will provide the responses to clarifications through the method specified in the BDS.</p> <p>18.3 UNDP shall endeavor to provide responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of UNDP to extend the submission date of the Proposals, unless UNDP deems that such an extension is justified and necessary.</p>
<b>19.Amendment of Proposals</b>	<p>19.1 At any time prior to the deadline of Proposal submission, UNDP may for any reason, such as in response to a clarification requested by a Bidder, modify the RFP in the form of an amendment to the RFP. Amendments will be made available to all prospective bidders.</p> <p>19.2 If the amendment is substantial, UNDP may extend the Deadline for submission of proposal to give the Bidders reasonable time to incorporate the amendment into their Proposals.</p>
<b>20.Alternative Proposals</b>	<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. UNDP shall only consider the alternative proposal offered by the Bidder whose conforming proposal ranked the highest as per the specified evaluation method. Where the conditions for its acceptance are met, or justifications are clearly established, UNDP reserves the right to award a contract based on an alternative proposal.</p> <p>20.2 If multiple/alternative proposals are being submitted, they must be clearly marked as “Main Proposal” and “Alternative Proposal”</p>
<b>21.Pre-Bid Conference</b>	<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</p>



	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.
<b>C. SUBMISSION AND OPENING OF PROPOSALS</b>	
<b>22.Submission</b>	<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 UNDP General Contract Terms and Conditions.</p>
<b>Hard copy (manual) submission</b>	<p>22.4 Hard copy (manual) submission by courier or hand delivery allowed or specified in the BDS shall be governed as follows:</p> <p>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.</p> <p>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:</p> <p>i. Bear the name and address of the bidder;</p> <p>ii. Be addressed to UNDP as specified in the BDS</p> <p>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> <p>If the envelopes and packages with the Proposal are not sealed and marked as required, UNDP shall assume no responsibility for the misplacement, loss, or premature opening of the Proposal.</p>
<b>Email Submission</b>	<p>22.5 Email submission, 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. 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 UNDP. UNDP will request password only from</p>

<b>eTendering submission</b>	<p>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 UNDP. UNDP will request password only from bidders whose technical proposal has been found to be technically responsive. Failure to provide the correct password may result in the proposal being rejected.</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:  <a href="http://www.undp.org/content/undp/en/home/operations/procurement/business/procurement-notice/resources/">http://www.undp.org/content/undp/en/home/operations/procurement/business/procurement-notice/resources/</a></p>
<b>23. Deadline for Submission of Proposals and Late Proposals</b>	<p>23.1 Complete Proposals must be received by UNDP in the manner, and no later than the date and time, specified in the BDS. UNDP shall only recognize the date and time that the bid was received by UNDP</p> <p>23.2 UNDP shall not consider any Proposal that is submitted after the deadline for the submission of Proposals.</p>
<b>24. Withdrawal, Substitution, and Modification of Proposals</b>	<p>24.1 A Bidder may withdraw, substitute or modify its Proposal after it has been submitted at any time prior to the deadline for submission.</p> <p>24.2 Manual and Email submissions: A bidder may withdraw, substitute or modify its Proposal by sending a written notice to UNDP, duly signed by an authorized representative, and shall include a copy of the authorization (or a Power of Attorney). The corresponding substitution or modification of the Proposal, if any, must accompany the respective written notice. All notices must be submitted in the same manner as specified for submission of proposals, by clearly marking them as "WITHDRAWAL" "SUBSTITUTION," or "MODIFICATION"</p> <p>24.3 eTendering: A Bidder may withdraw, substitute or modify its Proposal by Canceling, Editing, and re-submitting the proposal directly in the system. It is the responsibility of the Bidder to properly follow the system instructions, duly edit and submit a substitution or modification of the Proposal as needed.</p> <p>24.4 Detailed instructions on how to cancel or modify a Proposal directly in the</p>

	<p>system are provided in Bidder User Guide and Instructional videos.</p> <p>24.5 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>
<b>25. Proposal Opening</b>	<p>25.1 There is no public bid opening for RFPs. UNDP shall open the Proposals in the presence of an ad-hoc committee formed by UNDP, consisting of at least two (2) members. In the case of e-Tendering submission, bidders will receive an automatic notification once their proposal is opened.</p>
<b>D. EVALUATION OF PROPOSALS</b>	
<b>26. Confidentiality</b>	<p>26.1 Information relating to the examination, evaluation, and comparison of Proposals, and the recommendation of contract award, shall not be disclosed to Bidders or any other persons not officially concerned with such process, even after publication of the contract award.</p> <p>26.2 Any effort by a Bidder or anyone on behalf of the Bidder to influence UNDP in the examination, evaluation and comparison of the Proposals or contract award decisions may, at UNDP's decision, result in the rejection of its Proposal and may be subject to the application of prevailing UNDP's vendor sanctions procedures.</p>
<b>27. Evaluation of Proposals</b>	<p>27.1 The Bidder is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under Clause 24 of this RFP. UNDP will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.</p> <p>27.2 Evaluation of proposals is made of the following steps:</p> <ul style="list-style-type: none"> <li>a) Preliminary Examination</li> <li>b) Minimum Eligibility and Qualification (if pre-qualification is not done)</li> <li>c) Evaluation of Technical Proposals</li> <li>d) Evaluation of Financial Proposals</li> </ul>
<b>28. Preliminary Examination</b>	<p>28.1 UNDP shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, and whether the Proposals are generally in order, among other indicators that may be used at this stage. UNDP reserves the right to reject any Proposal at this stage.</p>
<b>29. Evaluation of Eligibility and Qualification</b>	<p>29.1 Eligibility and Qualification of the Bidder will be evaluated against the Minimum Eligibility/Qualification requirements specified in the Section 4 (Evaluation Criteria).</p> <p>29.2 In general terms, vendors that meet the following criteria may be considered qualified:</p> <ul style="list-style-type: none"> <li>a) They are not included in the UN Security Council 1267/1989 Committee's list of terrorists and terrorist financiers, and in UNDP's ineligible vendors' list;</li> <li>b) They have a good financial standing and have access to adequate financial resources to perform the contract and all existing commercial commitments,</li> <li>c) They have the necessary similar experience, technical expertise,</li> </ul>

	<p>production capacity where applicable, quality certifications, quality assurance procedures and other resources applicable to the provision of the services required;</p> <p>d) They are able to comply fully with UNDP General Terms and Conditions of Contract;</p> <p>e) They do not have a consistent history of court/arbitral award decisions against the Bidder; and</p> <p>f) They have a record of timely and satisfactory performance with their clients.</p>
<b>30. Evaluation of Technical and Financial Proposals</b>	<p>30.1 The evaluation team shall review and evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and other RFP documents, applying the evaluation criteria, sub-criteria, and point system specified in the Section 4 (Evaluation Criteria). A Proposal shall be rendered non-responsive at the technical evaluation stage if it fails to achieve the minimum technical score indicated in the BDS. When necessary and if stated in the BDS, UNDP may invite technically responsive bidders for a presentation related to their technical proposals. The conditions for the presentation shall be provided in the bid document where required.</p> <p>30.2 In the second stage, only the Financial Proposals of those Bidders who achieve the minimum technical score will be opened for evaluation. The Financial Proposals corresponding to Technical Proposals that were rendered non-responsive shall remain unopened, and, in the case of manual submission, be returned to the Bidder unopened. For emailed Proposals and e-tendering submissions, UNDP will not request for the password of the Financial Proposals of bidders whose Technical Proposal were found not responsive.</p> <p>30.3 The evaluation method that applies for this RFP shall be as indicated in the BDS, which may be either of two (2) possible methods, as follows: (a) the lowest priced method which selects the lowest evaluated financial proposal of the technically responsive Bidders; or (b) the combined scoring method which will be based on a combination of the technical and financial score.</p> <p>30.4 When the BDS specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:</p> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p><u>Rating the Technical Proposal (TP):</u></p> <p><b>TP Rating</b> = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100</p> <p><u>Rating the Financial Proposal (FP):</u></p> <p><b>FP Rating</b> = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100</p> <p><u>Total Combined Score:</u></p> <p><b>Combined Score</b> = (TP Rating) x (Weight of TP, e.g. 70%) + (FP Rating) x (Weight of FP, e.g., 30%)</p> </div>

<b>31. Due Diligence</b>	<p>31.1 UNDP reserves the right to undertake a due diligence exercise, also called post qualification, aimed at determining to its satisfaction, the validity of the information provided by the Bidder. Such exercise shall be fully documented and may include, but need not be limited to, all or any combination of the following:</p> <ul style="list-style-type: none"> <li>a) Verification of accuracy, correctness and authenticity of information provided by the Bidder;</li> <li>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;</li> <li>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;</li> <li>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;</li> <li>e) Physical inspection of the Bidder's offices, branches or other places where business transpires, with or without notice to the Bidder;</li> <li>f) Other means that UNDP may deem appropriate, at any stage within the selection process, prior to awarding the contract.</li> </ul>
<b>32. Clarification of Proposals</b>	<p>32.1 To assist in the examination, evaluation and comparison of Proposals, UNDP may, at its discretion, ask any Bidder for a clarification of its Proposal.</p> <p>32.2 UNDP's request for clarification and the response shall be in writing and no change in the prices or substance of the Proposal shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNDP in the evaluation of the Proposals, in accordance with RFP.</p> <p>32.3 Any unsolicited clarification submitted by a Bidder in respect to its Proposal, which is not a response to a request by UNDP, shall not be considered during the review and evaluation of the Proposals.</p>
<b>33. Responsiveness of Proposal</b>	<p>33.1 UNDP's determination of a Proposal's responsiveness will be based on the contents of the Proposal itself. A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.</p> <p>33.2 If a Proposal is not substantially responsive, it shall be rejected by UNDP and may not subsequently be made responsive by the Bidder by correction of the material deviation, reservation, or omission.</p>
<b>34. Nonconformities, Reparable Errors and Omissions</b>	<p>34.1 Provided that a Proposal is substantially responsive, UNDP may waive any non-conformities or omissions in the Proposal that, in the opinion of UNDP, do not constitute a material deviation.</p> <p>34.2 UNDP may request the Bidder to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Bidder to comply with the request may result in the rejection of its Proposal.</p> <p>34.3 For Financial Proposal that has been opened, UNDP shall check and</p>

	<p>correct arithmetical errors as follows:</p> <ul style="list-style-type: none"> <li>a) if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total shall be corrected, unless in the opinion of UNDP there is an obvious misplacement of the decimal point in the unit price; in which case the line item total as quoted shall govern and the unit price shall be corrected;</li> <li>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</li> <li>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.</li> </ul> <p>34.4 If the Bidder does not accept the correction of errors made by UNDP, its Proposal shall be rejected.</p>
<b>E. AWARD OF CONTRACT</b>	
<b>35.Right to Accept, Reject, Any or All Proposals</b>	35.1 UNDP reserves the right to accept or reject any Proposal, to render any or all of the Proposals as non-responsive, and to reject all Proposals at any time prior to award of contract, without incurring any liability, or obligation to inform the affected Bidder(s) of the grounds for UNDP's action. UNDP shall not be obliged to award the contract to the lowest priced offer.
<b>36.Award Criteria</b>	36.1 Prior to expiration of the proposal validity, UNDP shall award the contract to the qualified Bidder based on the award criteria indicated in the BDS.
<b>37.Debriefing</b>	37.1 In the event that a Bidder is unsuccessful, the Bidder may request a debriefing from UNDP. The purpose of the debriefing is to discuss the strengths and weaknesses of the Bidder's submission, in order to assist the Bidder in improving its future proposals for UNDP procurement opportunities. The content of other proposals and how they compare to the Bidder's submission shall not be discussed.
<b>38. 39.Right to Vary Requirements at the Time of Award</b>	39.1 At the time of award of Contract, UNDP reserves the right to vary the quantity of services and/or goods, by up to a maximum twenty-five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.
<b>40.Contract Signature</b>	<p>40.1 Within fifteen (15) days from the date of receipt of the Contract, the successful Bidder shall sign and date the Contract and return it to UNDP.</p> <p>Failure to do so may constitute sufficient grounds for the annulment of the award, and forfeiture of the Proposal Security, if any, and on which event, UNDP may award the Contract to the Second Ranked Bidder or call for new Proposals.</p>
<b>41.Contract Type and General Terms and Conditions</b>	41.1 The types of Contract to be signed and the applicable UNDP Contract General Terms and Conditions, as specified in BDS, can be accessed at <a href="http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html">http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html</a>

<b>42. Performance Security</b>	<p>42.1 40.1 A performance security, if required in BDS, shall be provided in the amount specified in BDS and form available at <a href="https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP%20POPP%20DOCUMENT%20LIBRARY/Public/PSU%20Solicitation%20Performance%20Guarantee%20Form.docx&amp;action=default">https://popp.undp.org/ layouts/15/WopiFrame.aspx?sourcedoc=/UNDP POPP DOCUMENT LIBRARY/Public/PSU Solicitation Performance%20Guarantee%20Form.docx&amp;action=default</a> within fifteen (15) days of the contract signature by both parties. Where a performance security is required, the receipt of the performance security by UNDP shall be a condition for rendering the contract effective.</p>
<b>43. Bank Guarantee for Advanced Payment</b>	<p>43.1 Except when the interests of UNDP so require, it is UNDP's preference to make no advance payment(s) (i.e., payments without having received any outputs). If an advance payment is allowed as per BDS, and exceeds 20% of the total contract price, or USD 30,000, whichever is less, the Bidder shall submit a Bank Guarantee in the full amount of the advance payment in the form available at <a href="https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP%20POPP%20DOCUMENT%20LIBRARY/Public/PSU%20Contract%20Management%20Payment%20and%20Taxes%20Advanced%20Payment%20Guarantee%20Form.docx&amp;action=default">https://popp.undp.org/ layouts/15/WopiFrame.aspx?sourcedoc=/UNDP POPP DOCUMENT LIBRARY/Public/PSU Contract%20Management%20Payment%20and%20Taxes Advanced%20Payment%20Guarantee%20Form.docx&amp;action=default</a></p>
<b>44. Liquidated Damages</b>	<p>44.1 If specified in BDS, UNDP shall apply Liquidated Damages resulting from the Contractor's delays or breach of its obligations as per the Contract.</p>
<b>45. Payment Provisions</b>	<p>45.1 Payment will be made only upon UNDP's acceptance of the work performed. The terms of payment shall be within thirty (30) days, after receipt of invoice and certification of acceptance of work issued by the proper authority in UNDP with direct supervision of the Contractor. Payment will be effected by bank transfer in the currency of contract.</p>
<b>46. Vendor Protest</b>	<p>46.1 UNDP's vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a contract through a competitive procurement process. In the event that a Bidder believes that it was not treated fairly, the following link provides further details regarding UNDP vendor protest procedures: <a href="http://www.undp.org/content/undp/en/home/operations/procurement/business/protest-and-sanctions.html">http://www.undp.org/content/undp/en/home/operations/procurement/business/protest-and-sanctions.html</a></p>
<b>47. Other Provisions</b>	<p>47.1 In the event that the Bidder offers a lower price to the host Government (e.g. General Services Administration (GSA) of the federal government of the United States of America) for similar services, UNDP shall be entitled to same lower price. The UNDP General Terms and Conditions shall have precedence.</p> <p>47.2 UNDP is entitled to receive the same pricing offered by the same Contractor in contracts with the United Nations and/or its Agencies. The UNDP General Terms and Conditions shall have precedence.</p> <p>47.3 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 <a href="http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2006/15&amp;referer">http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2006/15&amp;referer</a></p>



### Section 3. Bid Data Sheet

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

BDS No.	Ref. to Section.2	Data	Specific Instructions / Requirements
1	7	Language of the Proposal	English
2		Submitting Proposals for Parts or sub-parts of the TOR (partial bids)	Not Allowed
3	20	Alternative Proposals	Shall not be considered
4	21	Pre-proposal conference	<p><b>Will be Conducted</b></p> <p>Bidders will be invited to register for a virtual pre-bidding conference to be held on <b>Friday, 11 June 2021 at 14.00 hrs (2.00 PM) East African Time (GMT+3)</b> . Those who wish to attend the virtual conference should register via this link : <a href="https://bit.ly/2T2RVQu">https://bit.ly/2T2RVQu</a> by <b>Thursday, 10 June 2021 at 12 noon East Africa Time (GMT+3)</b>.</p> <p>For any technical challenges in registration, kindly contact; <a href="mailto:ictunit.ke@undp.org">ictunit.ke@undp.org</a></p> <p>UNDP Procurement unit. E-mail: <a href="mailto:undp.kenya.procurement@undp.org">undp.kenya.procurement@undp.org</a></p>
5	10	Proposal Validity Period	120 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	Four (4) working days before the submission deadline (Friday, 18 June 2021)
12	31	Contact Details for submitting clarifications/questions	Focal Point in UNDP: E-mail address: <a href="mailto:undp.kenya.procurement@undp.org">undp.kenya.procurement@undp.org</a> Cc: <a href="mailto:lily.murei@undp.org">lily.murei@undp.org</a>
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:  <a href="https://www.ke.undp.org/content/kenya/en/home/procurement.html">https://www.ke.undp.org/content/kenya/en/home/procurement.html</a>
14	23	Deadline for Submission	<b>As indicated on e-tendering system. Note that system zone time is in EST/EDT (New York) time zone which is: Thursday, 24 June 2021 at 17.00 hrs (5.00 p.m. Kenyan Time)</b>
14	22	Allowable Manner of Submitting Proposals	<b>E-tendering</b>
15	22	Proposal Submission Address	<a href="https://etendering.partneragencies.org">https://etendering.partneragencies.org</a>  <b><u>BU (Business Unit) Code KEN10</u></b>  <b><u>Event ID Number 0000009451</u></b>
16	22	Electronic submission (email or eTendering) requirements	<ul style="list-style-type: none"> <li>- Format: PDF files only</li> <li>-File names must be maximum 60 characters long and must not contain any letter or special character</li> <li>-All files must be free of viruses and not corrupted.</li> <li>-Technical proposal <u>should not be password protected.</u></li> <li>▪ <b>Financial proposal <u>must be password protected</u> but <u>should not be provided to UNDP until requested by UNDP</u></b></li> <li>-If you are uploading a large number of files (eg. 15 or more) please zip the files into a Zip Folder and upload the folder instead of each file individually. You can upload several Zip but if you do this, please note that the total size of each folder uploaded should not exceed 50 MB)</li> </ul>
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	02 August 2021
19		Maximum expected duration of contract	90 working days over a five (5) months period.
20	35	UNDP will award the contract to:	One Proposer Only
21	39	Type of Contract	Purchase Order and Contract for Goods and Services for UNDP <a href="http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html">http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html</a>
22	39	UNDP Contract Terms and Conditions that will apply	<a href="http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html">http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html</a>
23		Other Information Related to the RFP	<input checked="" type="checkbox"/> Company Profile, which should <u>not</u> exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured  <input checked="" type="checkbox"/> Members of the Governing Board and their Designations duly certified by the Corporate Secretary, or CR12 where applicable  <input checked="" type="checkbox"/> Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Bidder is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Bidder  <input checked="" type="checkbox"/> Certificate of Registration/Incorporation of the business, including Articles of Incorporation, or equivalent document if Bidder is not a corporation  <input checked="" type="checkbox"/> Local Government permit (Business Permit) to locate and operate in the current location of office  <input checked="" type="checkbox"/> Quality Certificate (e.g., ISO, etc.) and/or other similar certificates, accreditations, awards and citations received by the Bidder, if any  <input checked="" type="checkbox"/> Latest Audited Financial Statement (Income Statement and Balance Sheet) including Auditor's Report for the past three years, 2018, 2019 and 2020  <input checked="" type="checkbox"/> Statement of satisfactory Performance from top three (3) Clients in terms of contract value during the last 5 years.

## 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

### 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
<b>ELIGIBILITY</b>		
<b>Legal Status</b>	Vendor is a legally registered entity.	Form B: Bidder Information Form
<b>Eligibility</b>	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
<b>Conflict of Interest</b>	No conflicts of interest in accordance with ITB clause 4.	Form A: Technical Proposal Submission Form
<b>Bankruptcy</b>	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
<b>QUALIFICATION</b>		
History of Non-Performing Contracts <sup>1</sup>	Non-performance of a contract did not occur as a result of contractor default for the last 3 years.	Form D: Qualification Form

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

Litigation History	No consistent history of court/arbitral award decisions against the Bidder for the last 3 years.	Form D: Qualification Form
Previous Experience	Minimum 5 years of relevant experience.	Form D: Qualification Form
	Minimum 3 contracts of similar value, nature and complexity implemented over the last 5 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.250,000 for the last 3 years. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
	Bidder must demonstrate the current soundness of its financial standing and indicate its prospective long-term profitability. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
	Any additional criteria if required	

## Technical Evaluation Criteria

### Summary

Summary of Technical Proposal Evaluation Forms		Score Weight	Points Obtainable	Company / Other Entity				
				A	B	C	D	E
1.	Expertise of Firm / Organisation submitting Proposal	20%	200					
2.	Proposed Work Plan and Approach	40%	400					
3.	Personnel -have a team leader and two other experts	40%	400					
	Total		1000					

Technical Proposal Evaluation		Points obtainable	Company / Other Entity				
Form 1			A	B	C	D	E
Expertise of firm / organisation submitting proposal							
1.1	Reputation of Organisation and Staff (Competence / Reliability) i.e Have a reputation for working in farmers and pastoralists livelihood related research in the selected region covering Ethiopia, Kenya, South Sudan and Uganda	30					
1.2	General Organisational Capability which is likely to affect implementation (i.e. loose consortium, holding company or one firm, size of the firm / organisation, strength of project management support e.g. project financing capacity and project management controls)	15					
1.3	Extent to which any work would be subcontracted (subcontracting carries additional risks which may affect project implementation, but properly done it offers a chance to access specialized skills).	10					
1.4	Data quality assurance procedures, and respondent’s protection safeguards including permits for research	10					
1.5	Proven experience in conducting and handling and delivering high quality quantitative and qualitative research studies and demonstrated capacity to conduct research in multiple countries simultaneously, notably Ethiopia, Kenya, South Sudan and Uganda	45					
1.6	Experience and a track record of working with International Organizations in multi-cultural settings and multi-stakeholder processes .Demonstrable capacity to deploy human resources in conflict-affected zones, and within the constraints of COVID-19 pandemic	45					
1.7	Demonstrated experience in engagement with local communities in the specified locations in the region specifically in East Horn (Ethiopia, Kenya, South Sudan and Uganda)	45					
Total part 1		200					

Technical Proposal Evaluation		Points Obtainable	Company / Other Entity				
Form 2			A	B	C	D	E
Proposed Work Plan and Approach							
2.1	To what degree does the Offeror understand the task?	55					
2.2	Have the important aspects of the task been addressed in sufficient detail in response to the TOR?	45					
2.3	Is the scope of task well defined and does it correspond to the TOR?	40					
2.4	Are the different components of the project adequately weighted relative to one another?	50					
2.5	Is the conceptual framework adopted appropriate for the task?	40					
2.7	Is the proposed approach and methodology appropriate to the assignment and practical in the prevailing project circumstances ?	50					
2.8	Is the proposed assignment action plan pragmatic enough to enable finalizing of this task in a timely manner?	60					
2.9	Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	60					
	Total Part 2	400					

Technical Proposal Evaluation Form 3		Points Obtainable	Company / Other Entity				
			A	B	C	D	E
3.1	Evaluation Team leader	200					

Technical Proposal Evaluation Form 3		Points Obtainable	Company / Other Entity				
			A	B	C	D	E
	Advanced university degree (PhD level preferred) in Development Studies, Political Science, Sociology, Development studies, Anthropology, or other related fields. A master’s Degree with at least 9 years of professional experience in Development Studies, Political Science, Sociology, Development studies, Anthropology, or other related fields will be accepted in lieu of a Ph.D.	20					
	At least 7 years of professional experience in action research for development programmes design and management, with a focus in cross border and or borderlands areas. Experience in Monitoring and Evaluating large scale research initiatives	30					
	Experience in working and or managing livelihood programmes or projects and prior professional experience with international organizations in multi-cultural settings and multi-stakeholder processes, preferably in the region.	50					
	Experience working with the United Nations, regional national or sun national government institutions, international non-governmental organizations, bilateral or multilateral development partners.	40					
	Experience in leading and managing teams in research, programme planning and design, results-based management for international development. Proven experience with working in East Horn of Africa notably in Ethiopia, Kenya, south Sudan and Uganda.	60					
	<b>Total for Team Leader</b>	<b>200</b>					
<b>3.2</b>	<b>Data Analyst / Statistician</b>						
	Advanced university degree in Data Analysis, Statistics, or related field.	20					
	At least 5 years of professional experience in data and statistical analysis. Experience in developing research tools, including data collation, questionnaire formation, data analysis and interpretations.	20					

Technical Proposal Evaluation		Points Obtainable	Company / Other Entity				
Form 3			A	B	C	D	E
	Prior professional experience with handling analysis for international organizations in multi-cultural settings and multi-stakeholder processes, preferably in the region. Demonstrated evidence of having completed similar assignments	25					
	Proven knowledge in applying qualitative and quantitative methods. Strong analytical, writing, communication, reporting and presentation skills. Proven knowledge and experience in gender issues and applying a gendered lens to analytical research	25					
	Experience working with United Nations, Bilateral and Multi-lateral partners in the region	10					
	<b>Total for Data Analyst/Statistician</b>	<b>100</b>					
<b>3.3</b>	<b>Qualifications of Communication expert</b>						
	University degree in Communications , Development communications or related field.	20					
	At least 5 years of professional experience in Communications. Prior professional experience with international organizations in multi-cultural settings and multi-stakeholder processes, preferably in the region	20					
	Proven knowledge in gathering and disseminating communications materials. Experience in work involving digital and still photography preferred.	25					
	Strong analytical, writing, communication, reporting and presentation skills. Demonstrated evidence of having completed similar assignments. Proven knowledge and experience in gender issues and applying a gendered lens to research related communication products	25					
	Experience working with the United Nations or any other reputable international NGO, bilateral of multilateral development partners in the region	10					
	<b>Total for Communication Expert</b>	<b>100</b>					
	<b>Total Part 3</b>	<b>400</b>					



## TERMS OF REFERENCE (TOR)

### CONSULTANCY TO CARRY OUT ANALYTICAL RESEARCH ON SURVIVING MULTIPLE VULNERABILITIES: VOICES OF FARMERS AND PASTORALISTS IN FROM ETHIOPIA, KENYA, SOUTH SUDAN AND UGANDA

#### 1. General Background

Africa's borderlands are sites of enormous innovation, creativity, and economic potential, containing both the human and natural resources to support thriving communities and fast-growing local economies. Nevertheless, these areas tend to be underserved by national institutions and too often suffer from conflict and endemic poverty. Given the constant cross-border circulation of people and goods, the challenges and opportunities of borderlands can only be properly understood from a regional perspective involving multiple national territories at once. In response to this, UNDP has established the Africa Borderlands Centre (ABC), intended to act as a thought leader, delivering cutting edge data and analysis that informs borderland policy and programming.

Within the borderland environment, the livelihoods of farmers and pastoralists are subject to particularly high levels of risk, exacerbated by prevailing stressors including the lack of access to basic services such as clean water, adequate health facilities, and electricity. They are especially vulnerable to climatic events such as drought, flash floods, and locust invasions. The scarcity of resources in these regions and the impact of climate change have led to frequent conflicts over water and grazing land. These threats have led to the continual disruption of livelihoods and the increased vulnerability of borderland residents.

The exposure of farmers and pastoralists to adverse environmental, economic, and social conditions has generated a complex web of adverse competitiveness, leading to perennial conflict, and robbing the continent of their full potential. Serious farmer-pastoralist conflicts have been recorded across the Karamoja Region in the Horn of Africa and in the Sahel Region around the Chad Basin. Previous studies indicate that though most borderland inhabitants earn a living through farming, pastoralism or some combination of the two, there is a significant gap in terms of detailed analysis of how farmers and pastoralists in the borderland environment are impacted by conflict dynamics, and cope with the acute shocks and changing circumstances to which they have been exposed.

Against this background, the Borderlands Centre is seeking the services of a research organization to contribute to the research methodology design, conduct research fieldwork, undertake data analysis, conduct interviews, and compile materials for media outreach. The final product will inform programming to build the resilience of farmers and pastoralists in the targeted border regions.

#### 2. Objectives

##### Overall Objective:

To support the Africa Borderlands Centre in examining how pastoralists and farmers respond to multiple vulnerabilities and to propose innovative development solutions aimed at strengthening their resilience.

##### Assignment Overview:

1. **Support methodology design:** Make substantive contributions in refining, updating, and finalizing the research strategy.
2. **Field research:** Coordinate fieldwork in two locations in each country to be selected from the following listed border regions/states/counties; Ethiopia (Omo, Liben, Daawa, Borana), Kenya (Turkana, West Pokot, Marsabit, Mandera, Wajir) South Sudan (Eastern Equatorial, Upper Nile),

Uganda (Kaabong, Moroto). This includes organizing four (4) Focused Group Discussions, sampling participants and administering a five hundred (500) person questionnaire, conducting twenty (20) structured and recorded life history interviews, and fifty(50) key informant interviews.

3. **Data analysis:** Undertake the compilation, collation, and initial analysis of both qualitative and quantitative data generated through the research fieldwork, extracting relevant information for the purpose of creating a comprehensive analytical report.
4. **Collection of media materials:** Collect 20 audio and 20 video footage, 20 still images, and other creative works within each of geographical focus of the research fieldwork, for the purpose of supporting the Africa Borderlands Centre in the development of online content that publicises the research in real time.
5. **Support to the final research report:** Make substantive contributions to the synthetization of the key findings of the research fieldwork, including support in drafting, reviewing, and validating the final research report.

#### **Thematic Focus of Research:**

##### **1. Central Themes:**

- a. To provide a detailed account of how the borderland environment has changed for farmers and pastoralists over the past 10 years – *from their own perspective*.
- b. To explore in detail the ways in which farmers and pastoralists have adapted to change and mitigated the destructive impact of the conflict, particularly through local innovation – *from their own perspective*.
- c. To account for how women, children and youths in borderlands have been affected by the conflict dynamics.
- d. To account for the threats and opportunities that farmers and pastoralists predict they will face over the next 10 years.
- e. To determine the tipping points at which farming and herding activities are no longer viable livelihoods in key border regions.

##### **2. Demographic information:**

- a. To analyse the 'life at work' of farmers and pastoralists in border regions, including their employment profile, key expenses and earnings, and their daily, seasonal, and annual routines.
- b. To analyse the 'life at home' of farmers and pastoralists in border regions, including the family circumstances, living conditions, and educational backgrounds.
- c. This will be drawn from a detailed demographic and geographic profile of the research sample.

##### **3. Information on vulnerabilities:**

- a. To identify the drivers of conflict, insecurity, and vulnerability facing farmers and pastoralists in borderland communities - *from their own perspective*.
- b. To analyse factors that shape complementarity and cooperation between borderlands farmers and pastoralists in resilience building – *from their own perspective*.

##### **4. Policy and Programming:**

- a. To offer developmental solutions towards reducing the vulnerability of farmers and pastoralists in the borderlands – *rooted firmly in their perspective*.
- b. To propose a resilience-building programme model that aims to improve livelihoods for borderland farmers and pastoralists.

This will include key programmatic implications of the study at the local, national, and regional levels, and specific recommendations.

### **3. Scope, Nature of Work and Draft Methodology**

This project has three key branches of equal importance: (1) Primary Research Gathering, (2) Data Analysis and Report Writing, and (3) Communications.

The selected organization will, coordinate all three activities, and be responsible for all the deliverables.

#### **1. Primary Data Gathering**

Research will be conducted in several phases – including:

- (i) An initial consultation process to refine the draft research questionnaire.
- (ii) Initial Focus Group Discussions (FGDs) to fine tune and test the relevance and applicability of the questionnaire.
- (iii) Sampling of 500 participants (farmers and pastoralists) in border regions. This number includes surveys in two locations in each country to be selected from the following listed border regions/states/counties: Ethiopia (Omo, Liben, Daawa, Borana), Kenya (Turkana, West Pokot, Marsabit, Mandera, Wajir) South Sudan (Eastern Equatorial, Upper Nile), Uganda (Kaabong, Moroto).
- (iv) Administering the survey questionnaire to the selected key participants.
- (v) Sampling of 20 key participants 5 per country, drawn from the 500 initial respondents).
- (vi) Recording of long-form interviews (face-to-face) with the selected 20 participants that provide detailed life history accounts of farming and pastoralism over the past 10 years.
- (vii) Sampling of 50 key informants to include policy makers, government officials, development practitioners, local and municipal authorities, heads of farming and pastoralist associations, among others.
- (viii) Interviews (online or face-to-face) with the above key informants.

#### **2. Analysis and Report Writing**

- (i) Provide a brief situation analysis of the research setting at the time of research in Ethiopia, Kenya, South Sudan, Uganda
- (ii) Record, code, analyze, and present the survey findings from the 500 participants.
- (iii) Provide a demographic and geographic profile of the sampled groups in graphical form.
- (iv) Digital and written recordings of interviews with the 20 key participants.
- (v) Identification and analysis of key quotations from the Key informant discussions.
- (vi) Analyze 50 key informant interviews to help map ongoing agro-pastoralism projects, and to help establish the specific programmatic implications of the study's findings.
- (vii) Provide a summary of key programmatic implications of the findings, focused on specific policy and programming advice at the local, national, and regional levels.

#### **3. Communications**

There is an urgent need to advocate on behalf of borderland communities, and it is essential to the overall project that the research process is thoroughly documented and communicated *in real time*.

This will require the selected organization to produce regular communications products in the form of digital interviews, photography, and material for social media awareness raising and outreach.

Specifically, collect 20 audio and 20 video footage, 20 still images, and other creative works within each of geographical focus of the research fieldwork, for the purpose of supporting the Africa Borderlands Centre in the development of online content that publicizes the research in real time

#### **Further methodological details**

This is a mixed-methods approach that will be carried out in line with established UNDP standards and practices.

The research organization will work jointly with the UNDP borderlands team to fine-tune the methodology above.

The research organization will define an appropriate stratification of the sample size using scientifically sound methods in a way that will avoid selection bias and ensure male, female, and youth stakeholders are represented.

The firm/research organization will be responsible for all the costing for the assignment.

#### **4.Expected Deliverables**

**1. Inception report including work-plan:** The research organization is expected to share a detailed work-plan, including a draft template of the final report, as part of the proposal to undertake the assignment. To be submitted 10 working days after signing of contract.

This will include detail on the sampling of individuals, communities, and organizations. The following methods will be used to collect the required information:

- Initial Focus Group Discussions (FGDs) with farmers and pastoralists.
- Detailed Qualitative/Quantitative survey of 500 selected farmers and pastoralists spread across the four sample countries. The survey will be developed initially by the Borderlands Centre and fine-tuned in collaboration with the research organization.
- Qualitative 'life history' interviews of pastoralists and farmers as guided by ABC defined parameters.
- Key informant interviews with development practitioners and farming/pastoralism associations.

**2. Status Report Presentation:** Approximately one third of the way through the data collection phase, the research organization is expected to present a brief status report including emerging trends.

**3. End of Data Collection Presentation:** At the end of the data collection phase, the research organization is expected to present a brief status report including key trends.

**4. Empirical Findings Write-up:** The research organization will provide a draft document containing the following:

- Brief situation analysis of the research setting at the time of research: Ethiopia, Kenya, South Sudan, Uganda.
- Presentation of sample.
- Presentation of analysis of quantitative survey data from the 500 interviews
- Presentation of the qualitative products (key life histories (accompanied by photos, audio and video recordings, and transcriptions).
- Presentation of analysis of Key informant interviews data
- Interpretation of data and summary of key findings.
- Mapping of ongoing agro-pastoralism interventions in the region. Including a database of

actors/stakeholders/potential partners and their specific areas of focus.

- Narrative account of the research process.
- Annex of tools deployed during the research.
- Power point presentation on initial findings.

## 5. Final Report & Key outputs:

Within two weeks of receiving the Borderlands team feedback on the draft, the firm and or research organization will submit a final report including final key outputs.

- Finalisation of all outputs as outlined above in **Section 4(Expected Deliverables)** .
- PowerPoint presentation summary of overall work.
- Present final report to the Borderlands team and key stakeholders.
- Participate in a key stakeholder meeting to validate the report.

### DELIVERABLE SCHEDULE

#	Deliverable	Description	Timing	Responsibilities
1	Inception report and work-plan	Research organization/Firm clarifies objectives, methodology and timing of the research and detail on the sampling of individuals, communities, for the quantitative and qualitative survey and draft report template	10days after signing of contract	Research organization/firm submits Inception Report and workplan to African Borderlands Centre Research Lead
2	Status Report	Presentation of Initial Findings from the data collection phase, the research organization is expected to present a brief status report including emerging trends.	15days	Research organization/firm submits Draft Status Report to African Borderlands Centre Research Lead
3	End of data collection status Report	<b>End of Data Collection Presentation:</b> At the end of the data collection phase, the research organization is expected to present a brief status report including key trends	25 days	Research organization/firm submits Draft end of data collection Report African Borderlands Centre Research Lead
4	Empirical (analytical)Findings report	Presentation of drat empirical/analytical report containing  I. brief situation analysis of the research, research sample.  II. Write up on analysis of quantitative survey data from the 500 interviews.  III. Presentation of the	25days	Research organization/firm submits Empirical(analytical) finding report to African Borderlands Centre research lead

		<p>qualitative products (key life histories (accompanied by 20photos, 20audio and 20video and transcriptions).</p> <p>IV. Presentation of analysis of Key informant interviews data</p> <p>V. Interpretation of data and summary of key findings.</p> <p>VI. Mapped ongoing agro-pastoralism interventions in the region. Including a database of actors/stakeholders/potential partners and their specific areas of focus.</p> <p>VII. Narrative account of the research process</p> <p>VIII. Annex of tools deployed during the research.</p> <p>IX. Power point presentation on initial findings.</p> <p>X. Present Draft report to the Borderlands team and key stakeholders</p>		
5	Final Report & Key outputs	<p>Presentation of analytical report containing</p> <p>I. Section on situation analysis of the research, research sample; analysis of quantitative survey data from the 500 interviews.</p> <p>II. Presentation of the qualitative products (key life histories (accompanied by 20photos, 20audio and 20video and transcriptions).</p> <p>III. Presentation of analysis of Key informant interviews data</p> <p>IV. Interpretation of data and summary of key findings.</p> <p>V. Mapped ongoing agro-pastoralism interventions in</p>	10 days	Research organization/firm lead team submits Final Report & Key outputs to ABC Research lead

		<p>the region. Including a database of actors/stakeholders/potential partners and their specific areas of focus.</p> <p>VI. Narrative account of the research process</p> <p>VII. Annex of tools deployed during the research.</p> <p>VIII. Power point presentation on initial findings</p> <p>IX. Present final report to the Borderlands team and key stakeholders</p> <p>X. Participate in a key stakeholder meeting to validate the final report</p>		
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**The total duration of the research will be 90 working days over a period of 5(five) months starting on 2<sup>nd</sup> August 2021 and ending by 2<sup>nd</sup> Jan 2022. The tentative research timeframe is as follows:**

Proposed Timeframe	Activity
7-24 <sup>th</sup> June 2021	Advertisement
June 25 to 24 <sup>th</sup> July	Evaluation and Selection
2 <sup>nd</sup> Aug 2021	Contract signing
2 <sup>nd</sup> -13 <sup>th</sup> Aug (10working days)	Preparation period for research organization/firm team. Document review and analysis for Inception Report Preparation and workplan
16th Aug to 15 <sup>th</sup> Sept (15 working days )	Presentation of Initial Findings from the data collection phase, the research organization is expected to present a brief status report including emerging trends.
20 <sup>th</sup> Sep to 22 <sup>nd</sup> Oct(25 working days)	At the end of the data collection phase, the research organization is expected to present a brief status report including key trends
1 <sup>st</sup> Nov to 1 <sup>st</sup> Dec 2021 (25 working days)	Presentation of draft empirical/analytical report
2 <sup>nd</sup> Dec 2021 to 2 <sup>nd</sup> Jan 2022(10working days)	Final Report & Key outputs

### Reporting and feedback mechanism

At the start of the assignment, the research organization will present to the ABC Research lead an inception report on how it will execute the assignment based on the review of the available literature and the interpretation of the Terms of Reference.

The research organization will also be required to develop and submit to the Borderlands Research team a draft account of research instruments for comments.

Participate in initial meetings with the Borderland Centre on how the assignment and tasks will be implemented.

Report regularly on progress, including an initial inception report and presentations on emerging trends and the research progresses.

The research organization will work under the direct supervision of the ABC Research lead and supported by the Borderlands Specialist Consultant.

The overall supervision will be overseen by ABC project manager. The research organization team leader will be responsible for all the assignment deliverables.

### Research Organization Eligibility Requirements

Any experienced think tank, research organization, consultancy firm, whether for-profit or non-profit, or academic organization are eligible to apply for this consultancy. The research organization should:

1. At least five(5) years demonstrable experience in conducting complex research and data gathering similar to that detailed in these TORs
2. Experience in handling and delivering high quality quantitative and qualitative research studies within the African region
3. Have the capacity to document the research project and communicate elements of it in real time through photography, video interviews, and social media outreach
4. Experience working in farmer herder livelihood related research in the selected region.
5. Have a track record of working with International Organizations in multi-cultural settings and multi-stakeholder processes.
6. Have a multi-disciplinary team with relevant experience in areas including at least Masters in on of specializations such as agriculture, development studies, political science, development communication, sociology, anthropology, natural resource management, disaster management, climate change.
7. Demonstrable capacity to deploy human resources in conflict-affected zones, and within the constraints of COVID-19 pandemic.
8. Demonstrate gender diversity and gender sensitivity in their proposal.
9. Have the capacity to locally recruit enumerators in each of specified locations in the region

**Technical proposal (8 pages max):** This should detail:

1. The proposed methodology (including timelines) and a technical approach that shows a clear understanding and interpretation of the assignment.
2. A proposed research fieldwork plan.
3. A proposed list of local stakeholders and partners to be consulted during the research.
4. A narrative statement on how the research team would approach the research plan as per these TORs including what aspects might require modification or shift and how they would complete the



research tasks.

5. A description of the organization's prior research experience and work in the region.
6. Demonstrated capacity to conduct research in multiple countries simultaneously, notably Ethiopia, Kenya, South Sudan and Uganda
7. Demonstrable capacity to deploy human resources in conflict-affected zones, and within the constraints of COVID-19 pandemic.
8. Evidence of two previous research publications.
9. Short bios/ CVs of the assignment team.
10. Contact details of previous clients for whom the organization has conducted similar work.

**Financial proposal:** This should be all inclusive with a detailed budget and all other support costs that may be involved to successfully undertake the assignment. UNDP shall not be liable for unanticipated expenditure and/or errors in costing.

#### Qualifications for Team Members

##### Team Leader Education, Experience and technical Competencies

**Education;** Advanced university degree (PhD level preferred) in Development Studies, Political Science, Sociology, Development studies, Anthropology, or other related fields.

**or**

A master's Degree with at least 9 years of professional experience in Development Studies, Political Science, Sociology, Development studies, Anthropology, or other related fields will be accepted in lieu of a Ph.D.

##### **Experience**

- At least 7 years of professional experience in action research for development programmes design and management, with a focus in cross border and or borderlands areas.
- Experience in Monitoring and Evaluating large scale research initiatives.
- Prior professional experience with international organizations in multi-cultural settings and multi-stakeholder processes, preferably in the region.
- Experience in working and or managing livelihood programmes or projects.
- Experience in leading and managing teams in research, programme planning and design, results-based management for international development.
- Proven experience with working in the Horn of Africa region

##### **Technical and Functional Competencies**

- Proven knowledge in applying qualitative and quantitative methods.
- Strong expertise in developing case studies, life history accounts, writing survey analytical reports, and innovative research-oriented products.
- Strong analytical, writing, communication, reporting and presentation skills.
- Proven knowledge of the regional dynamics in the areas of peace security, ideally in border regions.
- Excellent technical knowledge on agro-pastoralism, disaster risk reduction and resilience issues in the targeted borderlands
- Proven knowledge and experience in gender issues and applying a gendered lens to research.
- Demonstrated experience of having completed similar assignments.
- Experience working with the United Nations or any other reputable international NGO, bilateral or multilateral development partners especially in the region

##### **Language**

Proficiency in English and computer literacy.

<b>Data Analyst / Statistician</b>	<p><b>Education</b> Advanced university degree in Data Analysis, Statistics, or related field.</p> <p><b>Experience</b></p> <ul style="list-style-type: none"> <li>At least 5 years of professional experience in data and statistical analysis.</li> <li>Prior professional experience with international organizations in multi-cultural settings and multi-stakeholder processes, preferably in the region.</li> </ul> <p><b>Technical and Functional Competencies</b></p> <ul style="list-style-type: none"> <li>Proven knowledge in applying qualitative and quantitative methods.</li> <li>Experience in developing research tools, including data collation, questionnaire formation, data analysis and interpretations.</li> <li>Strong analytical, writing, communication, reporting and presentation skills.</li> <li>Demonstrated evidence of having completed similar assignments.</li> <li>Proven knowledge and experience in gender issues and applying a gendered lens to analytical research</li> <li>Experience working with the United Nations or any other reputable international NGO, bilateral or multilateral development partners especially in the region</li> </ul> <p><b>Language</b></p> <p>Proficiency in English and computer literacy.</p>
<b>Communications Specialist</b>	<p><b>Education</b> University degree in Communications , Development communications or related field.</p> <p><b>Experience</b></p> <ul style="list-style-type: none"> <li>At least 5 years of professional experience in Communications.</li> <li>Prior professional experience with international organizations in multi-cultural settings and multi-stakeholder processes, preferably in the region.</li> </ul> <p><b>Technical and Functional Competencies</b></p> <ul style="list-style-type: none"> <li>Proven knowledge in gathering and disseminating communications materials. Experience and technical knowledge in work involving digital and still photography preferred.</li> <li>Strong analytical, writing, communication, reporting and presentation skills.</li> <li>Demonstrated evidence of having completed similar assignments.</li> <li>Proven knowledge and experience in gender issues and applying a gendered lens to research related communication products</li> <li>Experience working with the United Nations or any other reputable international NGO, bilateral or multilateral development partners especially in the region</li> </ul> <p><b>Language</b></p> <p>Proficiency in English and computer literacy.</p>
<b>All team members</b>	<p><b>PROFESSIONALISM:</b> Sound knowledge of and exposure to a range of development assistance issues, including on action research to that informs development programmes design and management for borderland areas; is conscientious and efficient in meeting commitments, observing deadlines and achieving results; demonstrates professional competence and mastery of subject matter; is motivated by professional rather than personal concerns; shows persistence when faced with difficult problems or challenges; remains calm in stressful situations; takes responsibility for incorporating gender</p>

	<p>perspectives and ensuring the equal participation of women and men in all areas of work.</p> <p><b>COMMUNICATION:</b> Speaks and writes clearly and effectively; listens to others, correctly interprets messages from others and responds appropriately; asks questions to clarify and exhibits interest in having two-way communication; tailors' language, tone, style and format to match audience; demonstrates openness in sharing information and keeping people informed.</p> <p><b>TEAMWORK:</b> Works collaboratively with colleagues to achieve organizational goals; solicits input by genuinely valuing others' ideas and expertise; is willing to learn from others; places team agenda before personal agenda; supports and acts in accordance with final group decision, even when such decisions may not entirely reflect own position; shares credit for team accomplishments and accepts joint responsibility for team shortcomings.</p> <p><b>KNOWLEDGE MANAGEMENT &amp; INNOVATION:</b> the ability to capture, develop, share, and effectively use information and knowledge. Ability to propose new and useful ideas that are practical and work.</p> <p><b>INTEGRITY AND ETHICS:</b> Demonstrates integrity by modelling the UN's values and ethical standards in carrying out the assignment.</p>
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#### 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:

<b>Have you duly completed all the Returnable Bidding Forms?</b>	
▪ 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"/>
	<input type="checkbox"/>
<b>Have you provided the required documents to establish compliance with the evaluation criteria in Section 4?</b>	<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 **Analytical Research on Surviving Multiple Vulnerabilities: Voices of farmers and pastoralists in Ethiopia, Kenya, South Sudan and Uganda** in accordance with your Request for Proposal No. **UNDPKEN/006/2021** and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

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

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

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

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

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

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

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

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

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

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

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

*[Stamp with official stamp of the Bidder]*

#### Form B: Bidder Information Form

<b>Legal name of Bidder</b>	[Complete]
<b>Legal address</b>	[Complete]
<b>Year of registration</b>	[Complete]
<b>Bidder's Authorized Representative Information</b>	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
<b>Are you a UNGM registered vendor?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UGNM vendor number]
<b>Are you a UNDP vendor?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UNDP vendor number]
<b>Countries of operation</b>	[Complete]
<b>No. of full-time employees</b>	[Complete]
<b>Quality Assurance Certification (e.g. ISO 9000 or Equivalent) (If yes, provide a Copy of the valid Certificate):</b>	[Complete]
<b>Does your Company hold any accreditation such as ISO 14001 related to the environment? (If yes, provide a Copy of the valid Certificate):</b>	[Complete]
<b>Does your Company have a written Statement of its Environmental Policy? (If yes, provide a Copy)</b>	[Complete]
<b>Contact person UNDP may contact for requests for clarification during Proposal evaluation</b>	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
<b>Please attach the following documents:</b>	<ul style="list-style-type: none"> <li>▪ Company Profile, which should <u>not</u> exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured</li> <li>▪ Certificate of Incorporation/ Business Registration</li> <li>▪ Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Bidder is updated</li> </ul>

	with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Bidder <ul style="list-style-type: none"> <li>▪ Trade name registration papers, if applicable</li> <li>▪ Local Government permit to locate and operate in assignment location, if applicable</li> <li>▪ Official Letter of Appointment as local representative, if Bidder is submitting a Bid in behalf of an entity located outside the country</li> <li>▪ Power of Attorney</li> </ul>
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### 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 ( <i>address, telephone numbers, fax numbers, e-mail address</i> )	Proposed proportion of responsibilities (in %) and type of services to be performed
1	[Complete]	[Complete]
2	[Complete]	[Complete]
3	[Complete]	[Complete]

<b>Name of leading partner</b>  (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 UNDP for the fulfillment of the provisions of the Contract.

Name of partner:	Name of partner:
Signature:	Signature:
Date:	Date:
Name of partner:	Name of partner:
Signature:	Signature:
Date:	Date:

Form D: Qualification Form

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

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

Historical Contract Non-Performance

<input type="checkbox"/> Contract non-performance did not occur for the last 3 years			
<input type="checkbox"/> Contract(s) not performed for the last 3 years			
Year	Non- performed portion of contract	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Reason(s) for non-performance:	

**Litigation History** (including pending litigation)

☐ No litigation history for the last 3 years

☐ Litigation History as indicated below

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

**Previous Relevant Experience**

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

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

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

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

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



**Financial Standing**

<b>Annual Turnover for the last 2 years</b>	Year	USD
	Year	USD
	Year	USD
<b>Latest Credit Rating (if any), indicate the source</b>		

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

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

- Must reflect the financial situation of the Bidder or party to a JV, and not sister or parent companies;
- Historic financial statements must be audited by a certified public accountant;
- 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**

<b>Name of Bidder:</b>	[Insert Name of Bidder]	<b>Date:</b>	Select date
<b>RFP reference:</b>			

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**

<b>Name of Personnel</b>	[Insert]
<b>Position for this assignment</b>	[Insert]
<b>Nationality</b>	[Insert]
<b>Language proficiency</b>	[Insert]
<b>Education/Qualifications</b>	<i>[Summarize college/university and other specialized education of personnel member, giving names of schools, dates attended, and degrees/qualifications obtained.]</i>
	[Insert]
<b>Professional certifications</b>	<i>[Provide details of professional certifications relevant to the scope of services]</i>
	<ul style="list-style-type: none"> <li>■ ame of institution: [Insert]</li> <li>■ ate of certification: [Insert]</li> </ul>
<b>Employment Record/Experience</b>	<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]
<b>References</b>	<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:			

We, the undersigned, offer to provide the services for **Analytical Research on Surviving Multiple Vulnerabilities: Voices of farmers and pastoralists in Ethiopia, Kenya, South Sudan and Uganda** in accordance with your Request for Proposal No. **UNDPKEN/006/2021**. 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]	
RFP reference:		

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

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

**Currency of the proposal:** [Insert Currency]

**Table 1: Summary of Overall Prices**

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

**Table 2: Breakdown of Professional Fees**

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)				
<b>Subtotal Other Costs:</b>				

**Table 4: Breakdown of Price per Deliverable/Activity**

SN	Deliverables	Target dates	Payments Milestones	Total
01	Inception report including work-plan	20 August 2021	20%	
02	Presentation of Initial Findings from the data collection phase, the research organization is expected to present a brief status report including emerging trends.	22 <sup>nd</sup> September 2021	25%	
03	Empirical (analytical) Findings report	10 December 2021	20%	
04	Final Report & Key Outputs	10 January 2022	35%	