

*United Nations Development Programme*



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# REQUEST FOR PROPOSAL

## For Provision of services

RFP No.: **2022-029 “Improving the tariff policy (introduction of per capita financing of special social services)”**

Project: #00123514 Enhancing Effectiveness of Social Protection Programmes and Improving Access and Participation of Socially Vulnerable Groups

Country: Kazakhstan

Issued on: 13 May 2022

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## 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.

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

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

**Approved by:**

DocuSigned by:  
*Dana Amanova*  
7CE7F1978E6140E...

Name: Dana Amanova

Title: Operations Manager

Date: 13-May-2022

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## Section 2. Instruction to Bidders

A. GENERAL PROVISIONS	
<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 employees meet the eligibility requirements as established by UNDP.</p>

<p><b>4. Conflict of Interests</b></p>	<p>4.1 Bidders must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. Bidders found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Bidders, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this solicitation process, if they:</p> <ul style="list-style-type: none"> <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>
<p><b>B. PREPARATION OF PROPOSALS</b></p>	
<p><b>5. General Considerations</b></p>	<p>5.1 In preparing the Proposal, the Bidder is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.</p> <p>5.2 The Bidder will not be permitted to take advantage of any errors or omissions in the RFP. Should such errors or omissions be discovered, the Bidder must notify the UNDP</p>
<p><b>6. Cost of Preparation of Proposal</b></p>	<p>6.1 The Bidder shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. UNDP shall not be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.</p>
<p><b>7. Language</b></p>	<p>7.1 The Proposal, as well as any and all related correspondence exchanged by the Bidder and UNDP, shall be written in the language (s) specified in the BDS.</p>
<p><b>8. Documents</b></p>	<p>8.1 The Proposal shall comprise of the following documents:</p>

<p><b>Comprising the Proposal</b></p>	<p>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.</p>
<p><b>9. Documents Establishing the Eligibility and Qualifications of the Bidder</b></p>	<p>9.1 The Bidder shall furnish documentary evidence of its status as an eligible and qualified vendor, using the Forms provided under Section 6 and providing documents required in those forms. In order to award a contract to a Bidder, its qualifications must be documented to UNDP's satisfaction.</p>
<p><b>10. Technical Proposal Format and Content</b></p>	<p>10.1 The Bidder is required to submit a Technical Proposal using the Standard Forms and templates provided in Section 6 of the RFP.</p> <p>10.2 The Technical Proposal shall not include any price or financial information. A Technical Proposal containing material financial information may be declared non-responsive.</p> <p>10.3 Samples of items, when required as per Section 5, shall be provided within the time specified and unless otherwise specified by UNDP, and at no expense to UNDP</p> <p>10.4 When applicable and required as per Section 5, the Bidder shall describe the necessary training programme available for the maintenance and operation of the services and/or equipment offered as well as the cost to the UNDP. Unless otherwise specified, such training as well as training materials shall be provided in the language of the Bid as specified in the BDS.</p>
<p><b>11. Financial Proposals</b></p>	<p>11.1 The Financial Proposal shall be prepared using the Standard Form provided in Section 6 of the RFP. It shall list all major cost components associated with the services, and the detailed breakdown of such costs.</p> <p>11.2 Any output and activities described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, as well as in the final total price.</p> <p>11.3 Prices and other financial information must not be disclosed in any other place except in the financial proposal.</p>
<p><b>12. Proposal Security</b></p>	<p>12.1 A Proposal Security, if required by BDS, shall be provided in the amount and form indicated in the BDS. The Proposal Security shall be valid up to thirty (30) days after the final date of validity of the Proposal.</p> <p>12.2 The Proposal Security shall be included along with the Technical Proposal. If Proposal Security is required by the RFP but is not found along with the Technical Proposal, the Proposal shall be rejected.</p> <p>12.3 If the Proposal Security amount or its validity period is found to be less than what is required by UNDP, UNDP shall reject the Proposal.</p> <p>12.4 In the event an electronic submission is allowed in the BDS, Bidders shall include a copy of the Bid Security in their proposal and the original of the Proposal Security must be sent via courier or hand delivery as per the instructions in BDS.</p> <p>12.5 The Proposal Security may be forfeited by UNDP, and the Proposal rejected, in the event of any one or combination, of the following conditions:</p> <p>a) If the Bidder withdraws its offer during the period of the Proposal Validity specified in the BDS, or;</p> <p>b) In the event that the successful Bidder fails:</p>

	<p>i. to sign the Contract after UNDP has issued an award; or</p> <p>12.6 to furnish the Performance Security, insurances, or other documents that UNDP may require as a condition precedent to the effectivity of the contract that may be awarded to the Bidder.</p>
<p><b>13. Currencies</b></p>	<p>13.1 All prices shall be quoted in the currency or currencies indicated in the BDS. Where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:</p> <p>a) UNDP will convert the currency quoted in the Proposal into the UNDP preferred currency, in accordance with the prevailing UN operational rate of exchange on the last day of submission of Proposals; and</p> <p>b) In the event that UNDP selects a proposal for award that is quoted in a currency different from the preferred currency in the BDS, UNDP shall reserve the right to award the contract in the currency of UNDP's preference, using the conversion method specified above.</p>
<p><b>14. Joint Venture, Consortium or Association</b></p>	<p>14.1 If the Bidder is a group of legal entities that will form or have formed a Joint Venture (JV), Consortium or Association for the Proposal, they shall confirm in their Proposal that : (i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the JV, Consortium or Association jointly and severally, which shall be evidenced by a duly notarized Agreement among the legal entities, and submitted with the Proposal; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNDP and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.</p> <p>14.2 After the Deadline for Submission of Proposal, the lead entity identified to represent the JV, Consortium or Association shall not be altered without the prior written consent of UNDP.</p> <p>14.3 The lead entity and the member entities of the JV, Consortium or Association shall abide by the provisions of Clause 9 herein in respect of submitting only one proposal.</p> <p>14.4 The description of the organization of the JV, Consortium or Association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the JV, Consortium or Association Agreement. All entities that comprise the JV, Consortium or Association shall be subject to the eligibility and qualification assessment by UNDP.</p> <p>14.5 A JV, Consortium or Association in presenting its track record and experience should clearly differentiate between:</p> <p>a) Those that were undertaken together by the JV, Consortium or Association; and</p> <p>b) Those that were undertaken by the individual entities of the JV, Consortium or Association.</p> <p>14.6 Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the JV, Consortium or Association or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.</p> <p>14.7 JV, Consortium or Associations are encouraged for high value, multi-sectoral requirements when the spectrum of expertise and resources required may not be available within one firm.</p>



<p><b>15. Only One Proposal</b></p>	<p>15.1 The Bidder (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture.</p> <p>15.2 Proposals submitted by two (2) or more Bidders shall all be rejected if they are found to have any of the following:</p> <ul style="list-style-type: none"> <li>a) they have at least one controlling partner, director or shareholder in common; or</li> <li>b) any one of them receive or have received any direct or indirect subsidy from the other/s; or</li> <li>c) they have the same legal representative for purposes of this RFP; or</li> <li>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;</li> <li>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</li> <li>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.</li> </ul>
<p><b>16. Proposal Validity Period</b></p>	<p>16.1 Proposals shall remain valid for the period specified in the BDS, commencing on the Deadline for Submission of Proposals. A Proposal valid for a shorter period may be rejected by UNDP and rendered non-responsive.</p> <p>16.2 During the Proposal validity period, the Bidder shall maintain its original Proposal without any change, including the availability of the Key Personnel, the proposed rates and the total price.</p>
<p><b>17. Extension of Proposal Validity Period</b></p>	<p>17.1 In exceptional circumstances, prior to the expiration of the proposal validity period, UNDP may request Bidders to extend the period of validity of their Proposals. The request and the responses shall be made in writing, and shall be considered integral to the Proposal.</p> <p>17.2 If the Bidder agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal.</p> <p>17.3 The Bidder has the right to refuse to extend the validity of its Proposal, and in which case, such Proposal will not be further evaluated.</p>
<p><b>18. Clarification of Proposal</b></p>	<p>18.1 Bidders may request clarifications on any of the RFP documents no later than the date indicated in the BDS. Any request for clarification must be sent in writing in the manner indicated in the BDS. If inquiries are sent other than specified channel, even if they are sent to a UNDP staff member, UNDP shall have no obligation to respond or confirm that the query was officially received.</p> <p>18.2 UNDP will provide the responses to clarifications through the method specified in the BDS.</p> <p>18.3 UNDP shall endeavor to provide responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of UNDP to extend the submission date of the Proposals, unless UNDP deems that such an extension is justified and necessary.</p>
<p><b>19. Amendment of Proposals</b></p>	<p>19.1 At any time prior to the deadline of Proposal submission, UNDP may for any reason, such as in response to a clarification requested by a Bidder, modify the RFP in the form of an amendment to the RFP. Amendments will be made available to all prospective bidders.</p> <p>19.2 If the amendment is substantial, UNDP may extend the Deadline for submission</p>

	of proposal to give the Bidders reasonable time to incorporate the amendment into their Proposals.
<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>	21.1 When appropriate, a Bidder's conference will be conducted at the date, time and location specified in the BDS. All Bidders are encouraged to attend. Non-attendance, however, shall not result in disqualification of an interested Bidder. Minutes of the Bidder's conference will be disseminated on the procurement website and shared by email or on the e-Tendering platform as specified in the BDS. No verbal statement made during the conference shall modify the terms and conditions of the RFP, unless specifically incorporated in the Minutes of the Bidder's Conference or issued/posted as an amendment to RFP.
<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><b>Email Submission</b></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> <p>22.5 Email submission, if allowed or specified in the BDS, shall be governed as follows:</p> <ol style="list-style-type: none"> <li>a) Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS;</li> <li>b) The Technical Proposal and the Financial Proposal files <b>MUST BE COMPLETELY SEPARATE</b>. 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.</li> <li>c) 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 correct password may result in the proposal being rejected.</li> </ol> <p>22.6 Electronic submission through eTendering, if allowed or specified in the BDS, shall be governed as follows:</p> <ol style="list-style-type: none"> <li>a) Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS;</li> <li>b) The Technical Proposal and the Financial Proposal files <b>MUST BE COMPLETELY SEPARATE</b> and each of them must be uploaded individually and clearly labelled.</li> <li>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.</li> <li>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.</li> <li>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></li> </ol> <p><b>IMPORTANT! While entering Financial proposal in the e-tendering system, always mention your bid price as "1" in the line item unit price. Please do not mention the value of your Financial Proposal in the e-tendering system. It should only be mentioned in the Password Protected File/Attachment of Financial Proposal (Form F: Financial Proposal Submission Form and Form G: Financial Proposal Form). The proposals of those applicants who would reveal their financial proposal value in the e-tendering system will be considered as disqualified.</b></p>
<p><b>23. Deadline for Submission of Proposals and Late Proposals</b></p>	<p>23.1 Complete Proposals must be received by UNDP in the manner, and no later than the date and time, specified in the BDS. UNDP shall only recognize the date and time that the bid was received by UNDP</p> <p>23.2 UNDP shall not consider any Proposal that is submitted after the deadline for</p>

	the submission of Proposals.
<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. Detailed instructions on how to cancel or modify a Proposal directly in the system are provided in Bidder User Guide and Instructional videos.</p> <p>24.4 Proposals requested to be withdrawn shall be returned unopened to the Bidders (only for manual submissions), except if the bid is withdrawn after the bid has been opened</p>
<b>25. Proposal Opening</b>	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.
<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> <ol 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> </ol>
<b>28. Preliminary Examination</b>	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.
<b>29. Evaluation of</b>	29.1 Eligibility and Qualification of the Bidder will be evaluated against the Minimum Eligibility/Qualification requirements specified in the Section 4 (Evaluation

<p><b>Eligibility and Qualification</b></p>	<p>Criteria).</p> <p>29.2 In general terms, vendors that meet the following criteria may be considered qualified:</p> <ol style="list-style-type: none"> <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, production capacity where applicable, quality certifications, quality assurance procedures and other resources applicable to the provision of the services required;</li> <li>d) They are able to comply fully with UNDP General Terms and Conditions of Contract;</li> <li>e) They do not have a consistent history of court/arbitral award decisions against the Bidder; and</li> <li>f) They have a record of timely and satisfactory performance with their clients.</li> </ol>
<p><b>30.Evaluation of Technical and Financial Proposals</b></p>	<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: 5px; margin-top: 10px;"> <p><u>Rating the Technical Proposal (TP):</u></p> <p style="text-align: center;"><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 style="text-align: center;"><b>FP Rating</b> = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100</p> <p><u>Total Combined Score:</u></p> </div>

	<p><b>Combined Score</b> = (TP Rating) x (Weight of TP, e.g. 70%) + (FP Rating) x (Weight of FP, e.g., 30%)</p>
<p><b>31. Due Diligence</b></p>	<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>
<p><b>32. Clarification of Proposals</b></p>	<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>
<p><b>33. Responsiveness of Proposal</b></p>	<p>33.1 UNDP's determination of a Proposal's responsiveness will be based on the contents of the Proposal itself. A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.</p> <p>33.2 If a Proposal is not substantially responsive, it shall be rejected by UNDP and may not subsequently be made responsive by the Bidder by correction of the material deviation, reservation, or omission.</p>
<p><b>34. Nonconformities, Repairable Errors and Omissions</b></p>	<p>34.1 Provided that a Proposal is substantially responsive, UNDP may waive any non-conformities or omissions in the Proposal that, in the opinion of UNDP, do not constitute a material deviation.</p> <p>34.2 UNDP may request the Bidder to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Bidder to comply with the request may result in the rejection of its Proposal.</p> <p>34.3 For</p>

	<p>34.4 Proposal that has been opened, UNDP shall check and 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>34.5 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.Right to Vary Requirements at the Time of Award</b>	38.1 At the time of award of Contract, UNDP reserves the right to vary the quantity of services and/or goods, by up to a maximum twenty-five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.
<b>39.Contract Signature</b>	39.1 Within fifteen (15) days from the date of receipt of the Contract, the successful Bidder shall sign and date the Contract and return it to UNDP. Failure to do so may constitute sufficient grounds for the annulment of the award, and forfeiture of the Proposal Security, if any, and on which event, UNDP may award the Contract to the Second Ranked Bidder or call for new Proposals.
<b>40.Contract Type and General Terms and Conditions</b>	40.1 The types of Contract to be signed and the applicable UNDP Contract General Terms and Conditions, as specified in BDS, can be accessed at <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>41.Performance Security</b>	41.1 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_POPP_DOCUMENT_LIBRARY/Public/PSU_Solicitation_Performance%20Guarantee%20">https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Solicitation_Performance%20Guarantee%20</a>



	<p><a href="#">Form.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>42. Bank Guarantee for Advanced Payment</b>	<p>42.1 Except when the interests of UNDP so require, it is UNDP's preference to make no advance payment(s) (i.e., payments without having received any outputs). If an advance payment is allowed as per BDS, and exceeds 20% of the total contract price, or USD 30,000, whichever is less, the Bidder shall submit a Bank Guarantee in the full amount of the advance payment in the form available at <a href="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">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>43. Liquidated Damages</b>	<p>43.1 If specified in BDS, UNDP shall apply Liquidated Damages resulting from the Contractor's delays or breach of its obligations as per the Contract.</p>
<b>44. Payment Provisions</b>	<p>44.1 Payment will be made only upon UNDP's acceptance of the work performed. The terms of payment shall be within thirty (30) days, after receipt of invoice and certification of acceptance of work issued by the proper authority in UNDP with direct supervision of the Contractor. Payment will be effected by bank transfer in the currency of contract.</p>
<b>45. Vendor Protest</b>	<p>45.1 UNDP's vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a contract through a competitive procurement process. In the event that a Bidder believes that it was not treated fairly, the following link provides further details regarding UNDP vendor protest procedures: <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>46. Other Provisions</b>	<p>46.1 In the event that the Bidder offers a lower price to the host Government (e.g. General Services Administration (GSA) of the federal government of the United States of America) for similar services, UNDP shall be entitled to same lower price. The UNDP General Terms and Conditions shall have precedence.</p> <p>46.2 UNDP is entitled to receive the same pricing offered by the same Contractor in contracts with the United Nations and/or its Agencies. The UNDP General Terms and Conditions shall have precedence.</p> <p>46.3 The United Nations has established restrictions on employment of (former) UN staff who have been involved in the procurement process as per bulletin ST/SGB/2006/15 <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	Russian or Kazakh
2		Submitting Proposals for Parts or sub-parts of the TOR (partial bids)	Not Allowed
3	20	Alternative Proposals	Shall not be considered
4	21	Pre-proposal conference	<p>Will be Conducted</p> <p>Date and time of the pre-proposal conference:            Time: 16:00 (GMT+6)            Date: 24 May 2022            Venue: online by Zoom            Join Zoom Meeting  <a href="https://undp.zoom.us/j/88061324887?pwd=yEQ8qYgWqxtHojl4LP_u5wU8O7k6cY.1">https://undp.zoom.us/j/88061324887?pwd=yEQ8qYgWqxtHojl4LP_u5wU8O7k6cY.1</a>            Meeting ID: 880 6132 4887            Passcode: 757230</p>
5	10	Proposal Validity Period	120 calendar 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 The Contract with Local Company (if it becomes a winner) will be issued in local currency (KZT); The calculation will be based on UNORE <a href="https://treasury.un.org/operationalrates/OperationalRates.php#K">https://treasury.un.org/operationalrates/OperationalRates.php#K</a> at the day of signing the Contract
11	31	Deadline for submitting requests for clarifications/ questions	5 days before the submission deadline
12	31	Contact Details for submitting clarifications/questions	Focal Person in UNDP: E-mail address: <a href="mailto:procurement.kz@undp.org">procurement.kz@undp.org</a> with copy of <a href="mailto:karina.amralina@undp.org">karina.amralina@undp.org</a>
13	18, 19 and 21	Manner of Disseminating Supplemental Information to the RFP and responses/clarifications to queries	Posted directly to eTendering and on the UNDP CO Kazakhstan Procurement Notice website
14	23	Deadline for Submission	<b>03 June 2022</b> as indicated in eTendering system. Note that system time zone is in EST/EDT (New York) time zone.
14	22	Allowable Manner of Submitting Proposals	<input type="checkbox"/> e-Tendering <b>IMPORTANT! While entering Financial proposal in the e-tendering system, always mention your bid price as "1" in the line item unit price. Please do not mention the value of your Financial Proposal in the e-tendering system. It should only be mentioned in the Password Protected File/Attachment of Financial Proposal (Form F: Financial Proposal Submission Form and Form G: Financial Proposal Form). The proposals of those applicants who would reveal their financial proposal value in the e-tendering system will be considered as disqualified.</b>
15	22	Proposal Submission Address	<a href="https://etendering.partneragencies.org">https://etendering.partneragencies.org</a> Insert BU Code: <b>KAZ10</b> Event ID number: <b>0000012467</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 other than from Latin alphabet/keyboard.</li> <li>▪ All files must be free of viruses and not corrupted.</li> <li>▪ Password for financial proposal <b>must not</b> be provided to UNDP until requested by UNDP Procurement Associate</li> <li>▪ Max. File Size per transmission: 19MB</li> </ul>

			<ul style="list-style-type: none"> <li>▪ Mandatory subject of email: <b><i>RFP-2022-029 Improving the tariff policy (introduction of per capita financing of special social services)</i></b></li> </ul>
17	27 36	Evaluation Method for the Award of Contract	<p>Combined Scoring Method, using the 70%-30% distribution for technical and financial proposals respectively</p> <p>The minimum technical score required to pass is 70% (min 490 points).</p>
18		Expected date for commencement of Contract	<i>July 1, 2022</i>
19		Maximum expected duration of contract	18 month
20	35	UNDP will award the contract to:	One Proposer Only
21	39	Type of Contract	<p>Purchase Order and Contract for Goods and Services for UNDP</p> <p><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></p>
22	39	UNDP Contract Terms and Conditions that will apply	<p>UNDP General Terms and Conditions for Professional Services</p> <p><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></p>

## 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
- Minimum documents provided
- Technical and Financial Proposals submitted separately. Financial proposal must be password protected
- Bid Validity at least 120 calendar days

### 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>	The Vendor has civil legal capacity to conclude contracts (registration / re-registration certificate, constituent documents)	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 RFP clause 3.	Form A: Technical Proposal Submission Form
<b>Conflict of Interest</b>	No conflicts of interest in accordance with RFP 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>Absence of debts</b>	Certificates confirming the absence of debts in the tax authorities	
<b>QUALIFICATION</b>		
<b>History of Non-Performing Contracts<sup>1</sup></b>	Non-performance of a contract did not occur as a result of contractor default for the last 3 years.	Form D: Qualification Form
<b>Litigation History</b>	No consistent history of court/arbitral award decisions against the Bidder 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.

<b>Previous Experience</b> <i>(For JV/ Consortium/ Association, all Parties cumulatively should meet requirement)</i>	At least 5 years of work experience in conducting research, preferably in the field of economics, budget financing, labor rationing	Form E: Format of Technical Proposal
	At least 3 positive reviews and recommendations from previous customers over the past 5 years for similar /analogous services (on official letterhead, signed and dated);	Form E: Format of Technical Proposal
<b>Key personnel</b>	Availability of key personnel as detailed in the Terms of Reference. The key personnel must comply to the minimum qualifications requirements on educational background and experience	Form E: Format of Technical Proposal
<b>Financial Standing</b>	The quick liquidity ratio should be higher than 1 for each of the last 2 years (2020-2021) <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form

## Technical Evaluation Criteria

**The scoring method is the Highest Combined Score (based on the 70% technical offer and 30% price weight distribution) where the maximum technical obtainable score is 700 points, minimum passing score of technical proposal is 70% (490 points).**

Summary of Technical Proposal Evaluation Forms		Max Points
1	Bidder's qualification, capacity and experience	200
2	Proposed Methodology, Approach and Implementation Plan	200
3	Management Structure and Key Personnel	300
	<b>Total</b>	<b>700</b>

Section 1. Bidder's qualification, capacity and experience		Max Points
1	<b>At least 5 years of work experience in conducting research, preferably in the field of economics, budget financing, labor rationing:</b> 5 years – 70 points; +10 points for each additional year of experience; Maximum – 100 points	100
2	<b>Research experience on per capita financing is an asset:</b> No experience – 0 points Has experience – 50 points	50
3	<b>At least 3 positive reviews and recommendations from previous customers over the past 5 years for similar /analogous services (on official letterhead, signed and dated):</b>	50

	3 recommendations – 35 points; +5 points for each additional recommendation; Maximum – 50 points	
<b>Total Section 1</b>		<b>200</b>

<b>Section 2. Proposed Methodology, Approach and Implementation Plan</b>		<b>Max Points</b>
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.	100
2	Compliance of the volume of services offered with the requirements of the Terms of Reference	50
3	Implementation plan including a Gantt Chart or Project Schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing	50
<b>Total Section 2</b>		<b>200</b>

<b>Section 3. Management Structure and Key Personnel</b>		<b>Max Points</b>
<b>3.1</b>	<b>Project manager (1 position)</b>	
	<b>Higher education in economics, public administration or related field:</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points.	5
	<b>Work experience in the field of research for at least 5 years:</b> 5 years – 7 points, +1 point for each additional year; Maximum – 10 points	10
	<b>Knowledge of Russian and Kazakh languages is required, English would be an asset:</b> Knowledge of Russian and Kazakh only – 3,5 points; + Knowledge of English language – 5 points	5
<b>Total for Project manager</b>		<b>20</b>
<b>3.2-3.4</b>	<b>Heads of project directions (3 positions, maximum 20 points for each)</b>	
	<b>Higher education in the field of economics or relevant field:</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points	5
	<b>At least 3 years of experience in project management:</b> 3 years – 7 points, +1 point for each additional year, Maximum – 10 points	10

	<b>Knowledge of the Russian language is required, English and Kazakh languages would be an asset:</b> Knowledge of Russian language only – 3,5 points; + Knowledge of English and/or Kazakh language – 5 points	5
<b>Total for Heads of project directions (3 positions)</b>		<b>60</b>
<b>3.5 – 3.6</b>	<b>Specialist in timekeeping work (2 positions, maximum 25 points for each)</b>	
<b>3.6</b>	<b>Higher higher technical or economic education:</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points	5
	<b>Work experience in the field of organization and regulation of labor for at least 5 years:</b> 5 years – 7 points, +1 point for each additional year; Maximum – 10 points	10
	<b>At least 3 years of experience in conducting / participating in timekeeping work and processing data obtained in the course of their implementation:</b> 3 years – 7 points, +1 point for each additional year; Maximum – 10 points	10
<b>Total for Specialists in timekeeping work (2 positions)</b>		<b>50</b>
<b>3.7- 3.8</b>	<b>Business analysts (2 positions, maximum 15 points for each)</b>	
<b>3.8</b>	<b>Higher technical or economic education:</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points	5
	<b>Work experience of at least 3 years in the field of business process management, management, project management and quality management:</b> 3 year – 7 points, +1 point for each additional year, Maximum – 10 points.	10
<b>Total for Business analysts (2 positions)</b>		<b>30</b>
<b>3.9</b>	<b>Business process reengineering specialist (1 position)</b>	
	<b>Higher economic or technical education:</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points	5
	<b>At least 2 years of experience in business process reengineering projects:</b> 2 year – 7 points, +1 point for each additional year, Maximum – 10 points	10
<b>Total for Business process reengineering specialist</b>		<b>15</b>
<b>3.10</b>	<b>IT specialist (1 position)</b>	

	<b>Higher education in the field of information technology or a related field:</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points	5
	<b>work experience of at least one year in the field of IT:</b> 1 year – 7 points, +1 point for each additional year Maximum – 10 points.	10
<b>Total for IT specialist:</b>		<b>15</b>
<b>3.11</b>	<b>Economist-financial analyst (1 position)</b>	
	<b>Higher education in economics, finance, public administration:</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points	5
	<b>Work experience, research activities and consulting in the field of financing and budgeting of social programs for at least 5 years:</b> 5 years – 7 points, +1 point for each additional year, Maximum – 10 points	10
<b>Total for Economist-financial analyst</b>		<b>15</b>
<b>3.12</b>	<b>Expert in social work (1 position)</b>	
	<b>Higher education in social work, public administration:</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points	5
	<b>Work experience in social welfare agencies for at least 3 years:</b> 3 years – 7 points, +1 point for each additional year, Maximum – 10 points	10
	<b>At least 1 year of experience in developing programs, mechanisms, strategies and recommendations:</b> 1 year of experience – 3.5 points +0.5 points for each additional year Maximum – 5 points	5
<b>Total for Expert in social work:</b>		<b>20</b>
<b>3.13- 3.14</b>	<b>Lawyers (2 positions, maximum 15 points for each)</b>	
	<b>Higher legal education:</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points	5
	<b>Work experience in the specialty for at least 5 years:</b> 5 years – 7 points, +1 point for each additional year, Maximum – 10 points	10
<b>Total for Lawyers (2 positions):</b>		<b>30</b>



<b>3.15-</b>	<b>Technical personnel for data processing (3 positions, maximum 15 points for each)</b>	
<b>3.17</b>	<b>Higher education (humanities, economics, law):</b> Bachelor – 3,5 points, Master – 4 points, Phd – 5 points	5
	<b>Work experience in the specialty of at least 1 year:</b> 1 year – 7 points, +1 point for each additional year Maximum – 10 points.	10
<b>Total for Technical personnel for data processing (3 positions)</b>		<b>45</b>
<b>Total Section 3</b>		<b>300</b>

## Section 5. Terms of Reference

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### Improving the tariff policy (introduction of per capita financing of special social services)

<b>Project title and number:</b>	Enhancing Effectiveness of Social Protection Programmes and Improving Access and Participation of Socially Vulnerable Groups, 00123514
<b>Contract type:</b>	Contract for Professional Services (UNDP template)
<b>Duty station:</b>	Kazakhstan
<b>Duration:</b>	July 2022 – December 2023 (18 months)

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#### A. General background and justification

The Ministry of Labor and Social Protection of Population of the Republic of Kazakhstan (hereinafter – the Ministry) and the United Nations Development Program in Kazakhstan (hereinafter – UNDP) have signed an agreement on the implementation of a joint project “Enhancing Effectiveness of Social Protection Programmes and Improving Access and Participation of Socially Vulnerable Groups” for 2021-2023 (hereinafter – a joint project).

The project is aimed at further supporting the efforts of the Republic of Kazakhstan in improving social policy in accordance with the Strategy “Kazakhstan 2050” and the National Plan for Ensuring the Rights and Improving the Quality of Life of Persons with Disabilities until 20251 (hereinafter – the National Plan). Ensuring equal access to high-quality social services is defined as one of the tasks of the National Plan. In order to implement it, the Ministry plans to modernize the system of providing special social services in the medium term (hereinafter – Modernization).

In addition, the Ministry's initiative to create a Social Services Portal requires fundamental transformations of the system of state financing of social services and social assistance for its further effective implementation.

At the global level, the method of allocating resources, primarily state resources, has successfully proven itself, in which "money follows the service recipient" (the method of regulatory per capita financing).

The introduction of per capita financing in the system of social protection of population means the transition from financing the costs of social institutions to financing the results of their activities.

Per capita normative financing (hereinafter – PNF) is aimed at developing competition among institutions (organizations) providing special social services, attracting the private sector to the social service system.

The transition to a new method of financing will allow the state to equalize the costs of providing services in regional comparison, increase transparency and cost efficiency, which will ultimately contribute to improving and equalizing the quality of services provided to those in need, regardless of their place of residence.

As of 01.01.2020, the state network of organizations providing special social services (hereinafter – SSS) is represented by 113 inpatient medical and social institutions, 115 semi-hospitals, 482 social assistance departments at home, 23 social adaptation centers for people without a fixed place of residence, 11 crisis centers for people who have fallen into a difficult situation due to violence or threats. In the private sector, social services are provided by 164 non-governmental organizations and 7 private organizations. According to the results of 2020, SSS were provided to 110 thousand people who got into a difficult life situation.

As part of the Modernization in 2020, by order of UNDP the draft Concept and Roadmap for the transition of the social service system of the Republic of Kazakhstan to per capita normative financing (hereinafter – the Concept, the Roadmap) were developed, including an analysis and assessment of factors and problems affecting the cost of services in the social service system of the Republic of Kazakhstan, a structured description of the technology of transition to PNFs, an assessment of economic, social consequences and risks, as well as proposed measures.

Based on the analysis, the developers of the Concept came to the conclusions about the low readiness of the social service system for the transition to the PNF at the present time and the need to carry out a significant amount of field based, methodological and normative work for its implementation.

In this regard, it was proposed to reform the financing of SSS system in three stages: I Stage: The preparatory stage. Conducting research, calculations and design of the NPA (2021-2023); II Stage: Piloting of the models of the PNF (2023-2027); III Stage: Implementation of the PNF (2025-2030).

This Terms of Reference is aimed at carrying out a number of works of the I Stage of the reform in accordance with the Concept and measures of the Roadmap approved by the Ministry and accepted for work.

## **B. Scope and objectives of this assignment**

The main purpose of this ToR is to form a methodological and practical basis for the gradual transition of the social service system to per capita normative financing.

This work will make it possible to clearly define, systematize and classify each stage of the business process, each function with consideration of their content, in accordance with the scope and purpose of application and the prevailing conditions at present. In addition, this work will contribute to understanding both the general "picture" and the details of the financing of social service organizations (hereinafter referred to as the MSO), determining the norms of direct and indirect costs of the MSO, which will be used to model the formulas(s) of the PNF and design the PNF Methodology for the provision of special social services in the social protection system.

## **C. Approach and methodology**

In general, the work can be divided into the following main components:

**The first component. Carrying out timekeeping works and calculating the cost of providing eight special social services in the field of social protection, depending on the type, type of organization, the category of the recipient of services for use on the Portal of Social Services.**

Tasks:

- 1) study of Regulatory Legal Acts (RLA) in the field of providing special social services;
- 2) development of an adapted methodology for carrying out time-keeping works, based on the features of special social services;
- 3) drawing up a detailed work plan and schedule;
- 4) carrying out timing works by types of organizations and their branches, types of services and categories of service recipients<sup>2</sup>.

The Ministry has defined a list of organizations on the basis of which timekeeping works are expected to be carried out in Nur-Sultan, Akmola and East Kazakhstan regions. The list is specified in Annex 1 to this ToR;

- 5) preparation of process maps for each service (as it is);
- 6) composing a financial model. Calculation of the cost of each service. Aggregation of data by types of MSOs, types of services and categories of service recipients, taking into account the volume of their individual needs;
- 7) presentation and discussion of the results of work in the Ministry.

When planning and carrying out work on this component, it is necessary to take into account the norms (standards) of provision of special social services, including those approved by #165 Order of the Minister of Health and Social Development of the Republic of Kazakhstan "On approval of standards for the provision of special social services in the field of social protection of the population" dated March 26, 2015.

<sup>2</sup> The scope of services provided depends on the individual needs of the beneficiary and the approved standards. In this regard, the recipients of services should be classified not only by preferential status, but also by the severity of their condition.

According to this component, analytical work is expected to be provided, including a description of the work and a comprehensive analysis of the results, recommendations for optimizing the business processes of the MSO, calculating tariffs for services; as well as a presentation and discussion of the results of the work in the Ministry in accordance with the established tasks.

**The second component. Conducting a functional analysis of medical and social organizations and preparing recommendations for the transfer of certain powers to a competitive environment (outsourcing)**

Tasks:

- 1) data/information collection (RLA regulating the activities of the institution; regulations, charter, strategic plan (if available), and a report on its implementation, the results of the evaluation of the state body for the past year; information from external sources);
- 2) development of a methodology and a plan for conducting a functional analysis of the MSO (including the development of questionnaire forms, interview questions);
- 3) questionnaire survey, interviewing of employees of the MSO;
- 4) carrying out functional analysis (including identification of unusual functions, duplicate functions, transfer of unusual functions to the competitive environment);
- 5) development of process maps for each service (as it will be) with a description;
- 6) development of recommendations, including on the transfer of certain functions (powers) to the competitive environment;
- 7) presentation and discussion of the results of work in the Ministry;
- 8) preparation and support of the RLA project/s at the stage of scientific anti-corruption expertise in order to obtain a positive conclusion;
- 9) interaction, coordination with interested state bodies, the National Chamber of Entrepreneurs "Atameken", the public council of the Ministry, on the RLA projects in the field of providing special social services;
- 10) preparation of the necessary materials (including justifications, explanations, economic calculations, inquiries, presentation materials) related to the developed RLA project/ s;
- 11) preparation of the necessary materials within the framework of the developed RLA project/s for consideration by the republican budget commission, interdepartmental commissions, including on issues of legislative activity.

Analytical work is expected to be provided for this component, including a description of the work and a comprehensive analysis of the results, recommendations for optimizing the functions of the MSO with the attachment of the RLA project/s; as well as a presentation and discussion of the results of the work in the Ministry in accordance with the established tasks.

**The third component. Analysis of the consolidated budget of medical and social organizations for all sources of funding, including budgetary and extra-budgetary funds, and cost items.**

Tasks:

- 1) study of budget legislation, RLA, regulating the funding arrangement of governmental and non-governmental organizations providing special social services;
- 2) analysis of the consolidated budget of the MSO;
  - for all sources of financing (determining the ratio of the shares of budgetary and extra-budgetary funds in the cost structure in dynamics over three years, including such new mechanisms for the traditional financing system as the accumulation of funds for CSN, expenses due to income from paid services of MSO, payments under public-private partnership (hereinafter – PPP) contracts);
  - analysis of the revenue and expenditure parts of the budgets of the MSO;
  - assessment of the effectiveness of the gradual transition of the system to the PNF;
- 3) development of recommendations for optimizing and improving the efficiency of resource use, by type of organizations;
- 4) presentation and discussion of the results of work in the Ministry.

Analytical work is expected to be provided for this component, including a description of the work and a comprehensive analysis of the results, recommendations for optimizing the functions of the MSO; as well as

a presentation and discussion of the results of the work in the Ministry in accordance with the established tasks. The results will form the basis of methodological work on determining the norms of direct and indirect expenses, including the norms of cost and profit in the provision of social services.

**The fourth component. The determination of the norms of direct and indirect expenses of medical and social organizations, including the norms of cost and profit in the provision of social services, including special social services, based on the analysis of the consolidated budget, the current status of state assets, business processes and functions with the preparation of methodological recommendations and RLA project/s.**

Tasks:

- 1) study/analysis of the results of the first-third components;
- 2) formation of the classification of direct and indirect expenses of the MSO, depending on the type of organization;
- 3) identification of the ratio of the norms (shares) of direct and indirect costs in the cost of services, to introduce an acceptable rate of profit to cover indirect costs, taking into account the current status of state assets and the need to update fixed assets.
- 4) definition of a mathematical model for calculating the PNF.  
Special attention should be paid to the issue of capital expenditures for opening new places and depreciation, including based on different scenarios - through direct budget financing and under PPP contracts, state social order;
- 5) presentation and discussion of the results of work in the Ministry, including business processes and models of its implementation, taking into account the current regulatory framework in the field of social protection and the concept of the Social Code project;
- 6) presentation and discussion of the results of work in the Ministry;
- 7) preparation and support of RLA project (s) at the stage of scientific anti-corruption expertise to obtain a positive conclusion;
- 8) interaction, coordination with interested state bodies, the National Chamber of Entrepreneurs "Atameken", the public council of the Ministry, on the RLA projects in the field of providing special social services;
- 9) preparation of the necessary materials (including justifications, explanations, economic calculations, inquiries, presentation materials) related to the developed RLA project/s;
- 10) preparation of the necessary materials within the framework of the developed RLA project/s for consideration by the republican budget commission, interdepartmental commissions, including on issues of legislative activity.

Analytical work is expected to be provided for this component, including a description of the work and a comprehensive analysis of the results, recommendations for optimizing the functions of the MSO with the attachment of the RLA project/s, as well as a presentation and discussion of the results of the work in the Ministry in accordance with the established tasks.

**The fifth component. Development of a draft methodology for per capita normative financing of social and special social services.**

Tasks:

- 1) development of a draft methodology for per capita normative financing of social and special social services (hereinafter - Methodology);
- 2) development of recommendations on the application of the Methodology with examples of calculation for specific MSO, which will be determined by the Ministry;
- 3) preparation and support of RLA project (s) at the stage of scientific anti-corruption expertise to obtain a positive conclusion;
- 4) interaction, coordination with interested state bodies, the National Chamber of Entrepreneurs "Atameken", the public council of the Ministry, on the RLA projects in the field of providing special social services;

- 5) preparation of the necessary materials (including justifications, explanations, economic calculations, inquiries, presentation materials) related to the developed RLA project/s;
- 6) preparation of the necessary materials within the framework of the developed RLA project/s for consideration by the republican budget commission, interdepartmental commissions, including on issues of legislative activity.

A draft Methodology in the form of the RLA project is expected to be submitted for this component, as well as its presentation and discussion in the Ministry in accordance with the established tasks.

The Contractor will gradually submit analytical works for comments, which will be summarized in the final analytical work.

The potential Contractor must submit all the documentation on this ToR, confirming the performance of the work and justifying the results and conclusions obtained (including questionnaires, interview records, forms, tables, etc. according to the requirements within the established tasks).

The text of the works should be presented in compliance with the norms of the literary language, be concise, consistent, logical and structured, have conclusions. Diagrams, tables, figures and other images can be used to illustrate the text.

By participating in this competition, the Contractor agrees that after completing the study and signing the certificate of completed work, he will provide advice and explanations on issues related to the study, as well as take part in discussions on the topic of the PNF.

#### **D. Expected duration of the assignment**

This assignment must be completed within 18 months from its start date. The expected start date is July 2022. Therefore, the completion date of the assignment will be approximately December 2023.

#### **E. Expected results/ deliverables and payment terms**

<b>#</b>	<b>Deliverables</b>	<b>Estimated duration to complete*</b>	<b>Review and approvals required</b>	<b>Payment %</b>
1	<p><b>Carrying out timekeeping works and calculating the cost of providing eight special social services in the field of social protection, depending on the type of organization, the category of the recipient of services for use on the Portal of Social Services</b></p> <ul style="list-style-type: none"> <li>• Description of the Methodology for carrying out timekeeping works, based on the features of special social services</li> <li>• Detailed work plan and schedule</li> </ul>	Upon provision but not later than 2 months from the date of signing the contract	UNDP and the Ministry	20%
2	<p><b>Carrying out timekeeping works and calculating the cost of providing eight special social services in the field of social protection, depending on the type of organization, the category of</b></p>	Upon provision but not later than 7 months from the date of signing the contract	UNDP and the Ministry	30%

	<b>the recipient of services for use on the Portal of Social Services</b> <ul style="list-style-type: none"> <li>Analytical work on the results of the implementation of component 1</li> </ul>			
3	<b>Conducting a functional analysis of medical and social organizations and preparing recommendations on the transfer of certain powers to a competitive environment (outsourcing).</b> <ul style="list-style-type: none"> <li>Analytical work with annexes</li> </ul>	Upon provision but not later than 10 months from the date of signing the contract	UNDP and the Ministry	20%
4	<b>Analysis of the consolidated budget of medical and social organizations.</b> <ul style="list-style-type: none"> <li>Analytical work with annexes</li> </ul>	Upon provision but not later than 15 months from the date of signing the contract	UNDP and the Ministry	10%
5	<b>The determination of the norms of direct and indirect expenses of medical and social organizations.</b> <ul style="list-style-type: none"> <li>Analytical work with annexes</li> </ul>	Upon provision but not later than 17 months from the date of signing the contract		
6	<b>Development of a draft methodology for per capita normative financing of social and special social services.</b> <ul style="list-style-type: none"> <li>Draft Methodology (RLA) with annexes</li> <li>Summary analytical work</li> <li>An act of completed work on this ToR, agreed with the Ministry and signed by the UNDP and the Contractor</li> </ul>	18 months from the date of signing the contract	UNDP and the Ministry	20%

\* The Contractor can independently determine the beginning of the implementation of tasks, based on the available resources.

This contract has a fixed price based on the results, regardless of their extension. Payment is made only after the relevant types of work are completed and with the approval of the UNDP and the Ministry, according to the breakdown indicated in the table above.

#### F. Duty station

Work to be carried out at the location of the Contractor. However, the Contractor should allocate sufficient time to visit each pilot region, as well as schedule the visits to Nur-Sultan to discuss and present the results of the work. All travel expenses, equipment rental, communication services, and other expenses associated with this work should be included in the price offer.

Route	Location	Number of trips (min)	Number of days
Visit:			

Home-based – Nur-Sultan (if the Supplier is not located in the Nur-Sultan), 2 persons for 2 days - presentation	Nur-Sultan	1	2
Visits to the regions:			
Visit to Nur-Sultan (if the Supplier is not located in the Nur-Sultan), 2 persons for 38 days	Nur-Sultan	2	38
Visit to Akmolinskaya oblast, 2 persons for 10 days	Akmolinskaya oblast	1	10
Visit to East-Kazakstan oblast, 2 persons for 10 days	East-Kazakstan oblast	1	10
Total:			60 days

### G. Responsibility and accountability

The potential contractor coordinates its actions with the Ministry and UNDP on a regular basis and/or at the request of the Project Manager.

In other words, the Contractor interacts with the Project Manager to resolve the day-to-day issues that arise during the assignment. The potential contractor also interacts with representatives of the Ministry and holds working meetings with them when they are considered necessary.

The Contractor is fully responsible for the quality and volume of work performed, has the appropriate competence and ensures the timely implementation of the activities specified in this Terms of Reference. The Contractor must submit all materials related to the assignment to the Project Manager and the Ministry for comments and approval.

The Contractor undertakes to comply with the information security policies and procedures of the beneficiary and UNDP.

In connection with the COVID 19 pandemic, the Contractor undertakes to provide all the necessary protective equipment for its employees and comply with all the norms and recommendations of the World Health Organization, as well as local authorized bodies of the Republic of Kazakhstan for performing work during the period of the introduction of quarantine measures and emergency situations. The service provider is responsible for the proper and timely provision of its employees involved in this Terms of Reference with all necessary personal protective equipment in accordance with the current WHO recommendations (masks, gloves, sanitizers, passing the COVID-19 test (if necessary) for the period of Contract.

### H. Professional qualifications of the Contractor and key employees

The service provider can be a company/organization duly registered in the Republic of Kazakhstan and meeting the following requirements:

1. Have civil legal capacity to conclude contracts (registration / re-registration certificate, constituent documents),
2. Have financial stability (certificate of absence of debt in tax authorities), financial statements for 2020-2021;
3. If the company is exempted from the audit - a confirmation certificate from the contractor, profit and loss statement, balance sheet for 2020-2021. VAT certificate if the company is a VAT payer;
4. Have at least 5 years of work experience in conducting research, preferably in the field of economics, budget financing, labor rationing. Research experience on per capita financing is encouraged;
5. Provide a list of services rendered over the last 5 (five) years in the required area to confirm the experience (the name of the Customer, the subject of services/works, the year of service provision and Customer's contact details (e-mail, phone number and full name of contact person);



6. Provide not less than 3 positive reviews and recommendations from previous customers over the past 5 years for similar /analogous services (on official letterhead, signed and dated);
7. Availability of material and technical base (Internet connection, computers, office equipment), provide written confirmation;
8. Availability of the methodology of implementation and the work schedule (must include a description of the methods and procedures for performing the work, the composition of the team and the distribution of responsibilities);
9. Availability of employees with the necessary work experience and qualifications to perform work under this Terms of Reference, with the provision of a detailed resume, documents confirming the expert's qualifications (diplomas, certificates of advanced training in the subject area, other certificates), as well as written confirmation from each employee that they will be available during the entire term of the contract:
  - 1) Project manager: higher education in economics, public administration or related field; a master's degree or PhD will be an advantage; certification in project management will be an advantage; work experience in the field of research for at least 5 years; knowledge of Russian and Kazakh languages is required, English would be an asset;
  - 2) Heads of project directions (no more than 3 Heads): higher education in the field of economics or relevant field; a master's degree or PhD will be an advantage; certification in project management will be an advantage; at least 3 years of experience in project management; knowledge of the Russian language is required, English and Kazakh languages would be an asset;
  - 3) Specialist in timekeeping work (at least 2 specialists): higher technical or economic education; work experience in the field of organization and regulation of labor for at least 5 years; at least 3 years of experience in conducting / participating in timekeeping work and processing data obtained in the course of their implementation; knowledge of labor legislation, as well as other regulatory legal acts of the Republic of Kazakhstan, methodological and regulatory and technical materials on the organization and regulation of labor, methods and technologies used to study labor processes will be an advantage; high level of computer skills (Microsoft Office, Internet);
  - 4) Business analysts (at least 2 analysts): higher technical or economic education; work experience of at least 3 years in the field of business process management, management, project management and quality management; knowledge of approaches and methods of audit, analysis, modeling, description and optimization of business processes will be an advantage; high level of computer skills (Microsoft Office, special software for business modeling); knowledge of the Russian is required, knowledge of English would be an asset;
  - 5) Business process reengineering specialist: higher economic or technical education; at least 2 years of experience in business process reengineering projects; knowledge and experience in the field of strategic analysis, business process optimization, management systems, corporate finance and financial modeling will be an advantage; knowledge of the Russian is required, knowledge of English would be an asset; excellent computer skills (Word, Excel, Power Point);
  - 6) IT specialist: higher education in the field of information technology or a related field, work experience of at least one year in the field of IT; knowledge and experience with software for data analysis and processing will be an advantage; knowledge of English would be an asset;
  - 7) Economist-financial analyst: higher education in economics, finance, public administration; work experience, research activities and consulting in the field of financing and budgeting of social programs for at least 5 years; work experience in

- government organizations as a planning and financing specialist will be an advantage; knowledge of the Russian is required; knowledge of budget legislation is required; high level of computer skills (Microsoft Office, Internet);
- 8) Expert in social work: higher education in social work, public administration; work experience in social welfare agencies for at least 3 years, at least 1 year of experience in developing programs, mechanisms, strategies and recommendations, work experience in MSO will be an advantage; knowledge of the Russian and Kazakh languages is required; computer skills (Microsoft Office, Internet) at the user level;
  - 9) Lawyer (at least 2 lawyers): higher legal education; work experience in the specialty for at least 5 years; experience in the development and maintenance of regulatory legal acts will be an advantage; knowledge of the Russian and Kazakh languages is required; computer skills (Microsoft Office, Internet) at the user level;
  - 10) Technical personnel for data processing (no more than 3 persons): higher education (humanities, economics, law); work experience in the specialty of at least 1 year; knowledge of Russian and Kazakh is mandatory; computer skills (Microsoft Office, Internet) at the user level.

Any changes in the composition of the service provider's team during the work period must be agreed with UNDP.

#### **I. Confidentiality**

Information related to this work must not be transferred to third parties, with the exception of authorized recipients (UNDP, the Ministry), including after end of the contract. Transfer of any information related to work to subcontractors or other parties must be strictly coordinated with UNDP and the Ministry.

All employees of a potential contractor who have access to data and internal documents of state bodies will have to sign a non-disclosure statement of information related to this work.

All information related to this work must be kept confidential and used only for the above work purposes. UNDP and the Ministry must be immediately notified of any unauthorized copying, use or disclosure of information related to this project.

#### **J. Evaluation Criteria**

The evaluation method is the highest combined score (the share of the technical proposal is 70%, and the share of the financial proposal is 30%). The maximum score for a technical assessment is 700 points. The minimum passing score for a technical assessment is 70% (minimum 490 points).

*Detailed information about the stages and criteria for evaluating the proposal is set out in the **Section 4: Evaluation Criteria**.*

## Section 6: Returnable Bidding Forms / Checklist

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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 (if applicable)	<input type="checkbox"/>
▪ Form D: Qualification Form	<input type="checkbox"/>
▪ Form E: Format of Technical Proposal	<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:	RFP-2022-029 Improving the tariff policy (introduction of per capita financing of special social services)		

We, the undersigned, offer to provide the services for Improving the tariff policy (introduction of per capita financing of special social services) in accordance with your Request for Proposal No.2022-029 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 (120 calendar days).

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>	1) Registration/re-registration certificate, founding documents; 2) Certificates confirming the absence of debts in tax authorities; 3) Audited financial statements for 2020-2021; 4) If the company is exempted from the audit - a confirmation certificate from the contractor, profit and loss statement, balance sheet for 2020-2021 signed by certified accountant; 5) VAT certificate if the company is a VAT payer;

## Form C: Joint Venture/Consortium/Association Information Form

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	RFP-2022-029 Improving the tariff policy (introduction of per capita financing of special social services)		

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]
--	------------

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:	RFP-2022-029 Improving the tariff policy (introduction of per capita financing of special social services)		

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

### Historical Contract Non-Performance

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

### Litigation History (including pending litigation)

<input type="checkbox"/> No litigation history for the last 3 years			
<input type="checkbox"/> Litigation History as indicated below			
Year of dispute	Amount in dispute (in US\$)	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Matter in dispute: Party who initiated the dispute: Status of dispute: Party awarded if resolved:	

### Previous Relevant Experience

Please list only previous similar assignments successfully completed in the last 5 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

Financial information	Historic information for the last 2 years	
	2020	2021
	<i>Information from Balance Sheet</i>	
Total Assets (TA)		
Total Liabilities (TL)		
Current Assets (CA)		
Current Liabilities (CL)		
	<i>Information from Income Statement</i>	
Total / Gross Revenue (TR)		
Profits Before Taxes (PBT)		
Net Profit		
Current Ratio		

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

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



## Form E: Format of Technical Proposal

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	RFP-2022-029 Improving the tariff policy (introduction of per capita financing of special social services)		

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 Confirmation of at least 5 years of work experience in conducting research, preferably in the field of economics, budget financing, labor rationing. Research experience on per capita financing is an asset;
- 1.3 Availability of at least 3 positive reviews and recommendations from previous customers over the past 5 years for similar /analogous services (on official letterhead, signed and dated);
- 1.4 Availability of material and technical base (Internet connection, computers, office equipment)

### 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 Compliance of the volume of services offered with the requirements of the Terms of Reference.
- 2.3 Implementation plan including a Gantt Chart or Project Schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing.

### 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 and written confirmation of the availability of key personnel for the duration of the contract.
- 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>▪ Name of institution: [Insert]</li> <li>▪ Date 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:	<b>RFP-2022-029 Improving the tariff policy (introduction of per capita financing of special social services)</b>		

We, the undersigned, offer to provide the services for Improving the tariff policy (introduction of per capita financing of special social services) in accordance with your Request for Proposal No. 2022-029 and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

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

Our Proposal shall be valid and remain binding upon us for the period of time specified in the Bid Data Sheet (120 calendar days).

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

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

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

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

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

*[Stamp with official stamp of the Bidder]*

## Form G: Financial Proposal Form

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	<b>RFP-2022-029 Improving the tariff policy (introduction of per capita financing of special social services)</b>		

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

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

**Currency of the proposal: USD**

### Table 1: Summary of Overall Prices

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

### Table 2: Breakdown of Professional Fees

Nº	Position	No. of months	No. of people	Fee rate	Total Amount
1	Project Manager	18	1		
2	Heads of project directions	18	3		
3	Specialists in timekeeping work	18	2		
4	Business analysts	18	2		
5	Business process reengineering specialist	18	1		
6	IT specialist	18	1		
7	Economist-financial analyst	18	1		
8	Expert in social work	18	1		
9	Lawyers	18	2		
10	Technical personnel for data processing	18	3		
<b>Subtotal Professional Fees:</b>					

### Table 3: Breakdown of Other Costs

Description	UOM	Quantity	Unit Price	Total Amount
Travel expenses to Nur-Sultan				

Travel expenses to Akmola region				
Travel expenses to East-Kazakhstan region				
Data collection/processing and development of the Standard model				
Communication services, Internet				
Translation services (correspondence, letters, minutes, interim and final reports, training materials, etc.), kaz / eng/ rus				
Banking expenses				
Administrative costs				
Unforeseen expenses (please specify)				
VAT (if applicable)				
<b>Subtotal Other Costs:</b>				

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

#	Deliverable/ Activity description	Payment, %	Total
1	Carrying out timekeeping works and calculating the cost of providing eight special social services in the field of social protection, depending on the type of organization, the category of the recipient of services for use on the Portal of Social Services <ul style="list-style-type: none"> <li>Description of the Methodology for carrying out timekeeping works, based on the features of special social services</li> <li>Detailed work plan and schedule</li> </ul>	20 %	
2	Carrying out timekeeping works and calculating the cost of providing eight special social services in the field of social protection, depending on the type of organization, the category of the recipient of services for use on the Portal of Social Services <ul style="list-style-type: none"> <li>Analytical work on the results of the implementation of component 1</li> </ul>	30 %	
3	Conducting a functional analysis of medical and social organizations and preparing recommendations on the transfer of certain powers to a competitive environment (outsourcing). <ul style="list-style-type: none"> <li>Analytical work with annexes</li> </ul>	20 %	
4	Analysis of the consolidated budget of medical and social organizations. <ul style="list-style-type: none"> <li>Analytical work with annexes</li> </ul>	10 %	
5	The determination of the norms of direct and indirect expenses of medical and social organizations. <ul style="list-style-type: none"> <li>Analytical work with annexes</li> </ul>		
6	Development of a draft methodology for per capita normative financing of social and special social services. <ul style="list-style-type: none"> <li>Draft Methodology (RLA) with annexes</li> <li>Summary analytical work</li> </ul>	20 %	

	<ul style="list-style-type: none"><li>An act of completed work on this ToR, agreed with the Ministry and signed by the UNDP and the Contractor</li></ul>		
<b>TOTAL</b>		<b>100%</b>	

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

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

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

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

[Stamp with official stamp of the Bidder]