PREQUALIFICATION OF CONTRACTORS

For the provision of technical support for climate change adaptation capacity building/institutional strengthening, climate mainstreaming in local development planning/budgeting, green and climate sensitive governance and public financial management and performance-based climate financing mechanisms

PREQ No.: 92467 (PREQ/UNCDF/ 00001 – LoCAL, LTA-CCA)

Project: LoCAL

Country: Africa, Asia, the Caribbean and Pacific region

Issued on: 16 June 2022
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Section 1. Letter of Invitation

The United Nations Capital Development Fund (UNCDF) hereby invites you to apply for Prequalification (PREQ) for the above-referenced subject.

This PREQ includes the following documents:

- Section 1: This Letter of Invitation
- Section 2: Instruction to Applicants for Prequalification
- Section 3: Prequalification Data Sheet (PDS)
- Section 4: Prequalification Evaluation Criteria
- Section 5: Terms of Reference
- Section 6: Returnable Bidding Forms
  - Form A: Prequalification Application Submission Form
  - Form B: Applicant Information Form
  - Form C: Joint Venture/Consortium/Association Information Form
  - Form D: Qualification Form
  - Form E: Format of Prequalification Application
- Annex A: Statement of Purpose (SOP)

If you are interested in submitting an application in response to this PREQ, please prepare your submission in accordance with the requirements and procedure as set out in this PREQ and submit it by the Deadline for Submission of applications set out in Prequalification Data Sheet.

Please acknowledge receipt of this PREQ by sending an email to Uncdf.procurement@uncdf.org, indicating whether you intend to submit an application or otherwise. Should you require further clarifications, kindly communicate with the contact person/s identified in the attached Prequalification Data Sheet as the focal point for queries on this PREQ.

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

Approved by:

Name: Sophie De Coninck
Title: LoCAL Programme Manager
Date: June 7, 2022
### A. GENERAL PROVISIONS

#### 1. Introduction

1.1 Applicants shall adhere to all the requirements of this PREQ, including any amendments in writing by UNCDF. This PREQ is conducted in accordance with the UNCDF Programme and Operations Policies and Procedures (POPP) on Contracts and Procurement which can be accessed at [https://popp.undp.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d](https://popp.undp.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d)

1.2 Any application submitted will be regarded as an application by the Applicant and does not constitute or imply the acceptance of the application by UNCDF. UNCDF is under no obligation to award a contract to any Applicant as a result of this PREQ.

#### 2. Fraud & Corruption, Gifts and Hospitality

2.1 UNCDF strictly enforces a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical or unprofessional practices, and obstruction of UNCDF vendors and requires all applicants/vendors observe the highest standard of ethics during the procurement process and contract implementation. UNCDF’s Anti-Fraud Policy can be found at [http://www.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)

2.2 Applicants for prequalification shall not offer gifts or hospitality of any kind to UNCDF staff members including recreational trips to sporting or cultural events, theme parks or offers of holidays, transportation, or invitations to extravagant lunches or dinners.

2.3 In pursuance of this policy, UNCDF

(a) Shall reject an application if it determines that the applicant has engaged in any corrupt or fraudulent practices in competing for the contract in question;

(b) Shall declare an applicant ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines that the vendor has engaged in any corrupt or fraudulent practices in competing for, or in executing a UNCDF contract.


#### 3. Eligibility

3.1 A vendor should not be suspended, debarred, or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization. Vendors are therefore required to disclose to UNCDF whether they are subject to any sanction or temporary suspension imposed by these organizations.

3.2 It is the Applicant’s responsibility to ensure that its employees, joint venture members, sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by UNCDF.

#### 4. Conflict of Interests

4.1 Applicants must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. Applicants found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Applicants, 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:

a) Are or have been associated in the past, with a firm or any of its affiliates which have been engaged by UNCDF to provide services for the preparation of the
design, specifications, Terms of Reference, cost analysis/estimation, and other documents to be used for the procurement of the goods and services in this selection process;

b) Were involved in the preparation and/or design of the programme/project related to the services requested under this PREQ; or

c) Are found to be in conflict for any other reason, as may be established by, or at the discretion of UNCDF.

4.2 In the event of any uncertainty in the interpretation of a potential conflict of interest, Applicants must disclose to UNCDF, and seek UNCDF’s confirmation on whether or not such a conflict exists.

4.3 Similarly, the Applicants must disclose in their application their knowledge of the following:

a) If the owners, part-owners, officers, directors, controlling shareholders, of the bidding entity or key personnel are family members of UNCDF staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this PREQ; and

b) All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.

Failure to disclose such an information may result in the rejection of the application or applications affected by the non-disclosure.

4.4 The eligibility of Applicants that are wholly or partly owned by the Government shall be subject to UNCDF’s further evaluation and review of various factors such as being registered, operated and managed as an independent business entity, the extent of Government ownership/share, receipt of subsidies, mandate and access to information in relation to this PREQ, among others. Conditions that may lead to undue advantage against other Applicants may result in the eventual rejection of the Application.

### B. PREPARATION OF APPLICATIONS

#### 5. General Considerations

5.1 In preparing the Application, the Applicant is expected to examine the PREQ in detail. Material deficiencies in providing the information requested in the PREQ may result in rejection of the Application.

5.2 The Applicant will not be permitted to take advantage of any errors or omissions in the PREQ. Should such errors or omissions be discovered, the Applicant must notify the UNCDF.

#### 6. Cost of Preparation of Application

6.1 The Applicant shall bear any and all costs related to the preparation and/or submission of the Application, regardless of whether its Application was selected or not. UNCDF shall not be responsible or liable for those costs, regardless of the conduct or outcome of the prequalification process.

#### 7. Language

7.1 The Application, as well as any and all related correspondence exchanged by the Applicant and UNCDF, shall be written in the language (s) specified in the Prequalification Data Sheet (PDS).

#### 8. Documents Comprising the Application

8.1 The Application shall comprise of the following documents:

a) Documents Establishing the Eligibility and Qualifications of the Applicant;

b) Any attachments and/or appendices to the Application.

#### 9. Documents Establishing the Eligibility and
<table>
<thead>
<tr>
<th><strong>Qualifications of the Applicant</strong></th>
<th>Applicant, its qualifications must be documented to UNCDF’s satisfaction.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>10. Joint Venture, Consortium or Association</strong></td>
<td>10.1 If the Applicant is a group of legal entities that will form or have formed a Joint Venture (JV), Consortium or Association for the prequalification application, they shall confirm in their application 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 Application; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNCDF and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.</td>
</tr>
<tr>
<td></td>
<td>10.2 After the Deadline for Submission of Application, the lead entity identified to represent the JV, Consortium or Association shall not be altered without the prior written consent of UNCDF.</td>
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<tr>
<td></td>
<td>10.3 The lead entity and the member entities of the JV, Consortium or Association shall submit only one application.</td>
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<tr>
<td></td>
<td>10.4 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 PREQ, both in the Application and the JV, Consortium or Association Agreement. All entities that comprise the JV, Consortium or Association shall be subject to the eligibility and qualification assessment by UNCDF.</td>
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<tr>
<td></td>
<td>10.5 A JV, Consortium or Association in presenting its track record and experience should clearly differentiate between:</td>
</tr>
<tr>
<td></td>
<td>a) Those that were undertaken together by the JV, Consortium or Association; and</td>
</tr>
<tr>
<td></td>
<td>b) Those that were undertaken by the individual entities of the JV, Consortium or Association.</td>
</tr>
<tr>
<td></td>
<td>10.6 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.</td>
</tr>
<tr>
<td></td>
<td>10.7 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.</td>
</tr>
<tr>
<td><strong>11. Only One Application</strong></td>
<td>11.1 The Applicant (including the individual members of any Joint Venture) shall submit only one Application, either in its own name or as part of a Joint Venture.</td>
</tr>
<tr>
<td></td>
<td>11.2 Applications submitted by two (2) or more Applicants shall all be rejected if they are found to have any of the following:</td>
</tr>
<tr>
<td></td>
<td>a) they have at least one controlling partner, director or shareholder in common; or</td>
</tr>
<tr>
<td></td>
<td>b) any one of them receive or have received any direct or indirect subsidy from the other/s; or</td>
</tr>
<tr>
<td></td>
<td>c) they have the same legal representative for purposes of this PREQ; or</td>
</tr>
<tr>
<td></td>
<td>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 Application of, another Applicant regarding this PREQ process;</td>
</tr>
<tr>
<td></td>
<td>e) they are subcontractors to each other’s Application, or a subcontractor to one Application also submits another Application under its name as lead Applicant; or</td>
</tr>
<tr>
<td>Section</td>
<td>Description</td>
</tr>
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<td>---------</td>
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</tr>
<tr>
<td>f)</td>
<td>Some key personnel proposed to be in the team of one Applicant participates in more than one Application received for this PREQ process. This condition relating to the personnel, does not apply to subcontractors being included in more than one Application.</td>
</tr>
</tbody>
</table>
| 12. Clarification of Application | 12.1 Applicants may request clarifications on any of the PREQ documents no later than the date indicated in the PDS. Any request for clarification must be sent in writing in the manner indicated in the PDS. If inquiries are sent other than specified channel, even if they are sent to a UNCDF staff member, UNCDF shall have no obligation to respond or confirm that the query was officially received.  
12.2 UNCDF will provide the responses to clarifications through the method specified in the PDS.  
12.3 UNCDF shall endeavor to provide responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of UNCDF to extend the submission date of the Applications, unless UNCDF deems that such an extension is justified and necessary. |
| 13. Amendment of Applications | 13.1 At any time prior to the deadline of Application submission, UNCDF may for any reason, such as in response to a clarification requested by an Applicant, modify the PREQ in the form of an amendment to the PREQ. Amendments will be made available to all prospective Applicants.  
13.2 If the amendment is substantial, UNCDF may extend the Deadline for submission of application to give the Applicants reasonable time to incorporate the amendment into their Applications. |
| C. SUBMISSION AND OPENING OF APPLICATIONS | 14. Submission | 14.1 The Applicant shall submit a duly signed and complete Application comprising the documents and forms in accordance with the requirements in the PDS. The submission shall be in the manner specified in the PDS.  
14.2 The Application shall be signed by the Applicant or person(s) duly authorized to commit the Applicant. 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 Application.  
14.3 Applicants must be aware that the mere act of submission of a Application, in and of itself, implies that the Applicant fully accepts the UNCDF General Contract Terms and Conditions. |
| 15. Deadline for Submission of Applications and Late Applications | 15.1 Complete Applications must be received by UNCDF in the manner, and no later than the date and time, specified in the PDS. UNCDF shall only recognize the date and time that the bid was received by UNCDF.  
15.2 UNCDF shall not consider any Application that is submitted after the deadline for the submission of Applications. |
| 16. Withdrawal, Substitution, and Modification of Applications | 16.1 An Applicant may withdraw, substitute or modify its Application after it has been submitted at any time prior to the deadline for submission.  
16.2 Manual and Email submissions: An Applicant may withdraw, substitute or modify its Application by sending a written notice to UNCDF, duly signed by an authorized representative, and shall include a copy of the authorization (or a Power of Attorney). The corresponding substitution or modification of the Application, if any, must accompany the respective written notice. All notices must be submitted in the same manner as specified for submission of applications, by clearly marking them as "WITHDRAWAL," "SUBSTITUTION," or "MODIFICATION"
### 17. Application Opening

17.1 There is no public bid opening for PREQs. UNCDF shall open the Applications in the presence of an ad-hoc committee formed by UNCDF, consisting of at least two (2) members.

### D. EVALUATION OF APPLICATIONS

#### 18. Confidentiality

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

18.2 Any effort by an applicant or anyone on behalf of the applicant to influence UNCDF in the examination, evaluation and comparison of the Applications or prequalification may, at UNCDF's decision, result in the rejection of its Application and may be subject to the application of prevailing UNCDF's vendor sanctions procedures.

#### 19. Preliminary Examination

19.1 UNCDF shall examine the Applications to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, and whether the Applications are generally in order, among other indicators that may be used at this stage. UNCDF reserves the right to reject any Application at this stage.

#### 20. Evaluation of Eligibility and Qualification

20.1 Eligibility and Qualification of the Applicant will be evaluated against the Minimum Eligibility/Qualification requirements specified in the Section 4 (Evaluation Criteria).

20.2 In general terms, vendors that meet the following criteria may be considered qualified:

| a) | They are not included in the UN Security Council 1267/1989 Committee’s list of terrorists and terrorist financiers, and in UNCDF’s ineligible vendors’ list; |
| b) | They have a good financial standing and have access to adequate financial resources to perform the contract and all existing commercial commitments; |
| c) | They have the necessary similar experience, technical expertise, production capacity where applicable, quality certifications, quality assurance procedures and other resources applicable to the provision of the services required; |
| d) | They are able to comply fully with UNCDF General Terms and Conditions of Contract; |
| e) | They do not have a consistent history of court/arbitral award decisions against the Applicant; and |
| f) | They have a record of timely and satisfactory performance with their clients. |

#### 21. Due Diligence

21.1 UNCDF reserves the right to undertake a due diligence exercise, aimed at determining to its satisfaction, the validity of the information provided by the Applicant. Such exercise shall be fully documented and may include, but need not be limited to, all or any combination of the following:

| a) | Verification of accuracy, correctness and authenticity of information provided by the Applicant; |
| b) | Validation of extent of compliance to the PREQ requirements and evaluation criteria based on what has so far been found by the evaluation team; |
| c) | Inquiry and reference checking with Government entities with jurisdiction on the Applicant, or with previous clients, or any other entity that may have done business with the Applicant; |
| d) | Inquiry and reference checking with previous clients on the performance on ongoing or contracts completed, including physical inspections of previous works, as necessary; |
| e) | Physical inspection of the Applicant’s offices, branches or other places where
business transpires, with or without notice to the Applicant;

f) Other means that UNCDF may deem appropriate, at any stage within the selection process, prior to awarding the contract.

### 22. Clarification of Applications

22.1 To assist in the examination, evaluation and comparison of Applications, UNCDF may, at its discretion, ask any Applicant for a clarification on its Application.

22.2 UNCDF’s request for clarification and the response shall be in writing and no change in the prices or substance of the Application shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNCDF in the evaluation of the Applications, in accordance with PREQ.

22.3 Any unsolicited clarification submitted by an Applicant in respect to its Application, which is not a response to a request by UNCDF, shall not be considered during the review and evaluation of the Applications.

### 23. Nonconformities, Reparable Errors and Omissions

23.1 Provided that an Application is substantially responsive, UNCDF may waive any non-conformities or omissions in the Application that, in the opinion of UNCDF, do not constitute a material deviation.

23.2 UNCDF may request the Applicant to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the application related to documentation requirements. Failure of the Applicant to comply with the request may result in the rejection of its Application.

### E. PREQUALIFICATION

#### 24. Right to Accept, Reject, Any or All Application

24.1 UNCDF reserves the right to accept or reject any Application, to render any or all of the Application as non-responsive, and to reject all Application at any time, without incurring any liability, or obligation to inform the affected Applicant(s) of the grounds for UNCDF’s action.

#### 25. Debriefing

25.1 In the event that an Applicant is unsuccessful, the Applicant may request a debriefing from UNCDF. The purpose of the debriefing is to discuss the strengths and weaknesses of the Applicant’s submission, in order to assist the Applicant in improving its future proposals for UNCDF procurement opportunities. The content of other proposals and how they compare to the Applicant’s submission shall not be discussed.
## Section 3. Prequalification Data Sheet (PDS)

The following data shall complement, supplement, or amend the provisions in the PREQ. In the case of a conflict between the Instructions to Applicants, the PDS, and other annexes or references attached to this Data Sheet, the provisions in this Data Sheet shall prevail.

<table>
<thead>
<tr>
<th>PDS No.</th>
<th>Ref. to Section.2</th>
<th>Data</th>
<th>Specific Instructions / Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>7</td>
<td>Language of the Proposal</td>
<td>English</td>
</tr>
<tr>
<td>2</td>
<td>22</td>
<td>Deadline for submitting requests for clarifications/ questions</td>
<td>4 days before the submission deadline</td>
</tr>
<tr>
<td>3</td>
<td>22</td>
<td>Contact Details for submitting clarifications/questions</td>
<td>Focal Person in UNCDF: Myrna Lavides</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>E-mail address: <a href="mailto:uncdf.procurement@uncdf.org">uncdf.procurement@uncdf.org</a></td>
</tr>
<tr>
<td>4</td>
<td>12 and 13</td>
<td>Manner of Disseminating Supplemental Information to the Prequalification and responses/clarifications to queries</td>
<td>Direct communication to prospective Proposers by email</td>
</tr>
<tr>
<td>5</td>
<td>15</td>
<td>Deadline for Submission</td>
<td><strong>15 July 2022</strong></td>
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<td>Note that system time zone is in EST/EDT (New York) time zone.</td>
</tr>
<tr>
<td>6</td>
<td>14</td>
<td>Allowable Manner of Submitting Applications</td>
<td>☐ Courier/Hand Delivery</td>
</tr>
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<td></td>
<td><strong>X Submission by email</strong></td>
</tr>
<tr>
<td></td>
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<td></td>
<td>☐ e-Tendering</td>
</tr>
<tr>
<td>7</td>
<td>14</td>
<td>Application Submission Address</td>
<td><a href="mailto:uncdf.procurement@uncdf.org">uncdf.procurement@uncdf.org</a></td>
</tr>
<tr>
<td>8</td>
<td>14</td>
<td>Electronic submission (email or eTendering) requirements</td>
<td>• Format: PDF files only</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• File names must be maximum 60 characters long and must not contain any letter or special character other than from Latin alphabet/keyboard.</td>
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<td>• All files must be free of viruses and not corrupted.</td>
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<td>• Max. File Size per transmission: 35 MB</td>
</tr>
</tbody>
</table>
|   |   |   | Mandatory subject of email: PREQ No.: 92467  
(PREQ/UNCDF/ 00001 – LoCAL, LTA-CCA) |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>19 and 20</td>
<td>Evaluation Method for the Prequalification</td>
<td>This prequalification process shall determine if an application is qualified based on a &quot;pass or fail&quot; method. All applicants who have met the prequalification criteria shall be invited to submit an offer during the subsequent PREQ.</td>
</tr>
</tbody>
</table>
| 10 | UNCDF Contract Terms and Conditions that will apply if pre-qualified companies are awarded a contract | UNDP General Terms and Conditions for Professional Services  
Section 4. Prequalification Criteria

Preliminary Examination Criteria

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

- Appropriate signatures;
- Power of Attorney;
- Compliance to Minimum documentary requirements

Minimum Eligibility and Qualification Criteria

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

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

<table>
<thead>
<tr>
<th>Subject</th>
<th>Criteria</th>
<th>Reference Document for Each Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>ELIGIBILITY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legal Status</td>
<td>Vendor is a legally registered entity, operating within the mandate of its charter/permit/incorporation documents</td>
<td>Form B: applicant Information Form</td>
</tr>
<tr>
<td>Eligibility</td>
<td>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 Prequalification clause 3.</td>
<td>Form A: Application Submission Form</td>
</tr>
<tr>
<td>Conflict of Interest</td>
<td>No conflicts of interest in accordance with Prequalification clause 4.</td>
<td>Form A: Application Submission Form</td>
</tr>
<tr>
<td>Bankruptcy</td>
<td>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.</td>
<td>Form A: Application Submission Form</td>
</tr>
</tbody>
</table>

QUALIFICATION

<table>
<thead>
<tr>
<th>Subject</th>
<th>Criteria</th>
<th>Reference Document for Each Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>History of Non-Performing Contracts</td>
<td>Non-performance of a contract did not occur as a result of contractor default for the last 3 years.</td>
<td>Form D: Qualification Form</td>
</tr>
<tr>
<td>Litigation History</td>
<td>No consistent history of court/arbitral award decisions against the applicant for the last 3 years.</td>
<td>Form D: Qualification Form</td>
</tr>
<tr>
<td>Previous Experience</td>
<td>The entity has been legally registered for a minimum of 3 years Minimum 3 years of relevant experience.</td>
<td>Form D: Qualification Form</td>
</tr>
</tbody>
</table>

1 Non-performance, as decided by UNCDF, shall include all contracts where (a) non-performance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and (b) contracts that were so challenged but fully settled against the contractor. Non-performance shall not include contracts where Employers decision was overruled by the dispute resolution mechanism. Non-performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the Bidder have been exhausted.
Minimum 3 contracts of similar value, nature and complexity implemented over the last 3 years.  
*For JV/Consortium/Association, all Parties cumulatively should meet requirement.*

| Financial Standing | Minimum average annual turnover of USD 200,000 for the last 3 years.  
*For JV/Consortium/Association, all Parties cumulatively should meet requirement.*  
Quick Ratio (QR) of not less than 1.0; applicants may use the form of Balance Sheet to calculate QR; if QR is less than 1, UNCDF shall verify financial capacity of the applicant and reserve the right to seek references from concerned parties & banks of the applicant’ financial standing, as well as confirmation of financial support from qualified institutions. |

Applicant must demonstrate the current soundness of its financial standing and indicate its prospective long-term profitability.  
*For JV/Consortium/Association, all Parties cumulatively should meet requirement.*

<table>
<thead>
<tr>
<th>Required Documents that must be Submitted to Establish Qualification of Prospective Offerors (In either Original or “Certified True Copy” form only)</th>
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</table>
| • Company Profile, which should not exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the services being procured;  
• Organizational Structure;  
• Members of the Governing Board and their Designations duly certified by the Corporate Secretary, or its equivalent document, if entity is not a corporation;  
• List of Shareholders and Other Entities Financially Interested in the Firm owning 5% or more of the stocks and other interests, or its equivalent, if not a corporation;  
• Latest Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the entity is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the entity;  
• Trade name registration papers, if applicable  
• Official Letter of Appointment as local representative, if entity is submitting on behalf of another entity located outside the country  
• Quality Certificate (e.g., ISO, etc.) and/or other similar certificates, accreditations, awards and citations received, if any  
• Latest Audited Financial Statement (both Income Statement and Balance Sheet) including Auditor’s Report for the past 3 years  
• Statement of Satisfactory Performance from the Top 5 Clients in terms of Contract Value  
• All information regarding any past and current litigation during the last five (5) years, in which the entity is involved, indicating the parties concerned, the subject of the litigation, the amounts involved, and the final resolution if already concluded. |
• List of Track Record in Activities Similar and/or Related to the requirements of UNCDF over the past Five (3) yrs., presented in format table presented below:

<table>
<thead>
<tr>
<th>Name of Project</th>
<th>Entity name</th>
<th>Contract value (USD)</th>
<th>Country(ies) covered</th>
<th>Types of activities and status</th>
</tr>
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Prequalification Evaluation Criteria

<table>
<thead>
<tr>
<th>Section 1. Applicant’s qualification, capacity and experience</th>
<th>Reference Document for each criteria</th>
<th>Points obtainable</th>
</tr>
</thead>
</table>
| 1.1 Reputation of Organization and Staff Credibility / Reliability / Industry Standing | • Company profile  
• Statement of Satisfactory Performance from the Top [5] clients in terms of Contract Value. | 150 |
| 1.2 General Organizational Capability which is likely to affect implementation: management structure, financial stability and project financing capacity, project management controls, extent to which any work would be subcontracted | • Company profile  
• Latest audited financial statement (both income statement and balance sheet) including auditor’s report from the past [3 years] | 270 |
| 1.3 Relevance of specialized knowledge and experience on similar engagements done in the target LoCAL regions/countries | • Company profile  
• List of previous relevant experience (Form D) | 210 |
| 1.4 Quality assurance procedures and risk mitigation measures | • Company profile  
• Quality certificate and/ or other similar certificates, accreditations, awards and citations received  
• Quality assurance procedures and risk mitigation measure (Form D) | 180 |
| 1.5 Organizational Commitment to Sustainability (mandatory weight)  
-Organization is compliant with ISO 14001 or ISO 14064 or equivalent – 20 points  
-Organization is a member of the UN Global Compact -5 points  
-Organization demonstrates significant commitment to sustainability through some other means- 5 points, for example internal company policy documents on women empowerment, renewable energies or | • Company profile  
• Quality certificate and/ or other similar certificates, accreditations, awards and citations received | 90 |
| membership of trade institutions promoting such issues | Total Section 1 | 900 |
Section 5. Terms of Reference

(This prequalification process is being conducted for the selection of qualified vendors for the following service, for which the prequalified companies will be allowed to compete through a subsequent Request for Proposal [RFP])

Technical support for climate change adaptation capacity building/institutional strengthening, climate mainstreaming in local development planning/budgeting, green and climate sensitive governance and public financial management and performance-based climate financing mechanisms

1. Background Information and Project Description

UNCDF makes public and private finance work for the poor in the world’s 43 least developed countries (LDCs). With its capital mandate and instruments, UNCDF offers “last mile” finance models that unlock public and private resources, especially at the domestic level, to reduce poverty and support local economic development. UNCDF's financing models work through two channels: financial inclusion that expands the opportunities for individuals, households, and small businesses to participate in the local economy, providing them with the tools they need to climb out of poverty and manage their financial lives; and by showing how localized investments — through fiscal decentralization, innovative municipal finance, and structured project finance — can drive public and private funding that underpins local economic expansion and sustainable development. By strengthening how finance works for poor people at the household, small enterprise, and local infrastructure levels, UNCDF contributes to SDG 1 on eradicating poverty and SDG 17 on the means of implementation. By identifying those market segments where innovative financing models can have transformational impact in helping to reach the last mile and address exclusion and inequalities of access, UNCDF contributes to a number of different SDGs.

UNCDF’s Local Climate Adaptive Living (LoCAL) facility was designed and launched in 2011 with the aim of promoting climate change–resilient communities and local economies by establishing a standard and internationally recognized country-based mechanism to channel climate finance to local government authorities in developing countries, particularly the LDCs and the Small Island Developing States (SIDS), and to increase local resilience, thereby contributing to achievement of the Paris Agreement and the Sustainable Development Goals (SDGs), particularly the goals of poverty eradication (SDG 1) and climate action (SDG 13). LoCAL increases awareness and capacities to respond to climate change at the local level, integrates climate change adaptation into local governments’ planning and budgeting systems in a participatory and gender-sensitive manner, and increases the amount of finance available to local governments for climate change adaptation.

LoCAL combines performance-based climate resilience grants (PBCRGs) with technical and capacity-building support. PBCRGs ensure programming and verification of climate change expenditures at the local level and offer strong incentives for general performance improvements targeting areas of importance for enhanced resilience. The PBCRG can be seen as an earmarked cross-sectoral grant with conditions attached to the use of its funding for climate change adaptation beyond business as usual. Combined with regular grant allocations, PBCRGs enable 100 per-cent of the investments in climate-sensitive sectors to become climate resilient over time. They include a set of minimum conditions, performance measures and a menu of eligible investments.

LoCAL focuses on the delivery of four outputs that will directly contribute to increasing local governments’ access to climate finance and building resilience to climate change:

- Output 1 – Awareness and capacities to respond to climate change adaptation at the local level are increased;
Output 2 – CCA is mainstreamed into government’s planning and budgeting systems and investments are implemented in line with the PBCRG mechanism;

Output 3 – The PBCRG system is effectively and sustainably established in participating countries and leads to an increased amount of CCA finance available to local government and local economy;

Output 4 – The role of local authorities and of the PBCRGS in addressing climate change are increasingly recognized at international level, through outreach, learning and quality assurance.

The Programme operates in three distinct phases:

✓ Phase I: Piloting, consists of an initial scoping analysis, followed by testing in two to four local governments. As of 2022, Burkina Faso, Lesotho, Tanzania, Uganda, Malawi and Tuvalu are in Phase I; Lao PDR, Mali, Niger and Nepal are preparing to enter Phase II.

✓ Phase II: Consolidating, takes place in 5–10 local governments in a country. It involves collecting lessons and demonstrating the mechanism’s effectiveness at a larger scale. As of 2022, Bangladesh, Benin, Ghana, Mozambique and The Gambia are in Phase II.

✓ Phase III: Scaling-up, is full national roll-out of LoCAL based on the results of the previous phases and lessons learned. LoCAL is gradually extended to all local governments, with domestic or international climate finance, and becomes the national system for channeling adaptation finance to the local level. Bhutan is in Phase III, with budget support from the European Union; Cambodia has also begun Phase III preparations.

A design phase precedes these three implementation phases and is aimed at assessing the necessary conditions for deployment of the LoCAL mechanism in the prospective country by:

• Engaging key stakeholders, including national and subnational government institutions, and development partners
• Collecting and analysing the information/data needed for design of LoCAL Phase I.
• Defining the elements of design of the LoCAL mechanism (e.g., flow of funds, grant allocation formula, minimum conditions, performance measures, menu of eligible investments)

Cote d’Ivoire, Fiji, Jamaica, Guinea, Liberia, Sao Tomé e Principe, Senegal, Solomon Islands, Somalia, Tunisia, Sudan, Zambia and Vanuatu are in scoping/design phase and are expected to begin Phase I in 2022/2023 as resources are mobilized.

Since its global scale up in 2014, LoCAL has engaged 322 local governments in 17 countries representing over 12.5 million people, and has mobilized $125 million from partners, own resources and parallel funding from governments; the majority of these funds are disbursed as performance-based grants to local governments. During the same period, more than 2,000 climate change adaptation interventions were finalized across 13 countries using grants. Overall, 30 countries, either LDCs (and about half of all LDCs), SIDS or African nations, are engaged with LoCAL.

Information about us may be found at www.uncdf.org and www.local-uncdf.org.

2. Specific Objectives

The portfolio of national LoCAL initiatives in Africa, Asia and the Pacific requires technical advice and support in the field of decentralization, subnational public financial management and governance, and their interface with climate change adaptation mainstreaming into local development planning and budgeting processes and systems, the undertaking of annual performance assessments of participating local
government authorities, and quality assurance of the LoCAL mechanism. As LoCAL expands, there is also an increasing need for scoping and designing country tailor made LoCAL mechanisms, including bespoke PBCRG system for rural and urban areas, ensuring standards are applied all along.

UNCDF hereby seeks a group of experienced development professionals, engaged via a specialized firm, to support the current and expanding portfolio of the LoCAL initiative for engagement in areas of climate change adaptation capacity building, mainstreaming in local development planning/budgeting, green and climate public financial management and performance based climate financing mechanisms, for the period of 3 years.

The assignment will focus its activities on the Least Developed Countries (LDCs), Small Island Developing States (SIDS) and African Nations, where demand for LoCAL is growing exponentially. Support in this specialization will be required for all LoCAL country initiatives in Africa, Asia and the Pacific as well as for the UNCDF’s regional and global offices for thematic activities related to climate change adaptation, climate finance and local government finance.

More specifically, the objective of this consultancy is to provide technical assistance and capacity building support to the LoCAL Facility and its portfolio of country initiatives (currently 30, but with prospective of exponential growth in the next years) by:

- Scoping candidate countries, assessing the conditions to successfully launch and implement a LoCAL initiative in selected countries and design of the tailor-made LoCAL mechanism;
- Supporting the design of LoCAL in selected countries, in both rural and urban areas, taking into account experience and lessons learned in the countries and by LoCAL more broadly, including the development or update of the annual performance assessment and grant operation manuals;
- Supporting the implementation of LoCAL in selected countries, at the various stages of the process, by providing technical assistance and capacity building support to national and local government authorities in areas such climate change mainstreaming into local plans and budgets, gender responsive adaptation planning, financing and budgeting; implementation of adaptation measures; cost benefit analysis of adaptation measures or investment decision making, undertaking annual performance assessments and reporting, etc;
- Supporting implementation of LoCAL in selected countries, at the various stages of the process, by providing technical assistance and capacity building support to national and local government authorities in the areas of governance and public financial management (e.g. annual budget cycle, budget formulation; budget execution; accounting and reporting; external security and audit, budget code, climate public and institutional expenditure reviews, subnational climate PEFA) and access to finance (e.g. increased fiscal space, green taxation, debt swaps, policy based lending, new innovative instruments, etc);
- Supporting Quality Assurance efforts, particularly in LoCAL Phase III countries, ensuring standards are complied with;
- Providing technical inputs to technical documents and developing concept notes/proposals/technical papers building on the LoCAL mechanism in selected countries.
- Providing technical support to countries to support nationally determined contributions and national adaptation plan processes, creating intentional linkages and frameworks for planning, financing, implementing and monitoring of nationally determined contributions and national adaptation plans at subnational and community levels (i.e. vertical integration).

This solicitation is for a Long-Term Agreement (hereafter referred to as “LTA”), with one or more firms (maximum of 5), for one year and renewable up to a maximum of three (3) years based on continued need and satisfactory performance of the company. In UNCDF, “LTA” refers to a mutual arrangement whereby the selected company will provide services as required, over a specific period of time based on a separate specific TORs for the specific assignment (known as “call off”) with specific deliverables.
Where a request for service arises, UNCDF can engage the firm on LTA through a “call-off” of the LTA. Every call-off shall have specific tasks, scope of services and outputs to be delivered within a specific period of time. For this particular work, the call-off shall be formalized through the issuance of a Purchase Order, attaching thereto the TOR, and any other document relevant to the call-off. Financial commitments will only be established each time a Purchase Order for the specific services/TOR is committed with the selected firm(s).

An LTA is a framework agreement that specifies unit prices that are fixed for the life of the LTA. An LTA shall also have a cumulative ceiling amount that may accrue to the individual contractor during the life of the LTA, but said amount shall remain as an upper limit, and must not and cannot be interpreted nor understood as neither a financial commitment nor guarantee of business volume.

The estimated ceiling amount per LTA vendor is USD700,000 per year. In the event that an LTA holder will have to exceed that amount due to successful secondary competitions, UNCDF shall re-submit the case to the Procurement Review Committee for the necessary approval.

The said limit shall be inclusive of both professional fees and all other travel entitlements received by the company. In addition, under an LTA, UNCDF does not guarantee that any specific quantity of services shall be purchased during the term of this agreement. The LTA does not form a financial obligation or commitment from UNCDF at the time the LTA contract is signed and that such an agreement is non-exclusive.

The utilization of 3 LTAs in the past 2.5 years has resulted into the following:

<table>
<thead>
<tr>
<th>Company A</th>
<th>Company B</th>
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<tbody>
<tr>
<td><strong>Type of work</strong></td>
<td><strong>No. of call off</strong></td>
</tr>
<tr>
<td>APA</td>
<td>7</td>
</tr>
<tr>
<td>Design</td>
<td>4</td>
</tr>
<tr>
<td>Scoping</td>
<td>3</td>
</tr>
<tr>
<td>Technical Assistance</td>
<td>12</td>
</tr>
</tbody>
</table>

| Type of work | No. of call off | Engagement Countries | Contract Value (USD) | Total |
| APA | 2 | Solomon Island, Ghana | 54,400 | |
| Design | 8 | Palestine, Malawi, Fiji, Vanatu, Cambodia, Tunisia, Tuvalu | 176,950 | |
| Scoping | 15 | Senegal, Solomon Island, Malawi, Pacific, Rawanda, Pakistan, Jamaica, Sudan, Tunisia, Somalia, Nepal, Tanzania, Egypt | 275,840 | |
Where there are multiple contractors qualified to perform the services on an assignment, UNCDF may conduct a secondary competition among them in order to determine who should receive the call-off. The criteria for such selection shall be limited only to the lowest priced offer among those who confirmed availability. The procedure for the secondary competition is herein attached as Annex A.

3. **Scope of Work and Methodology**

Working under the direct supervision of the LoCAL Programme Manager, in close collaboration with the governments and UNCDF / LoCAL regional and country teams, the firm and its assigned team members will be responsible for providing high quality technical support including:

a) **LoCAL scoping** which includes the undertaking of country missions to selected countries to assess the conditions to successfully launch and implement a LoCAL project in selected countries, with a focus on understanding/assessing:
   - Reviewing experience in the field of decentralization, including UNCDF-led projects and experience, in target LoCAL countries;
   - Guiding the collection of required documentation prior to the in-country mission(s);
   - Undertaking design analysis and mission(s) to target LoCAL countries, including understanding/reviewing:
     - Needs and (technical and management) capacities of local and national stakeholders ecosystems’ and populations’ vulnerabilities
     - Climate related institutions and strategies
     - Local governments awareness and capacities for climate change adaptation planning and mainstreaming into local development planning and budgeting
     - The potential for technical and financial partnerships, and
     - The commitment of local government and central agencies to LoCAL.
   - Existing climate change data and information and vulnerability and adaptation assessments as well as gaps in terms of information, systems or guidance and the level of information in possible target areas, with a view to inform the set of minimum conditions/performance measures and investment menu of the LoCAL PBCRGS;
   - National and local planning and budgeting processes and guidelines and how they relate to climate change adaptation and local governments;
   - Inter-governmental fiscal transfer systems to the local level and PBGS, current state of implementation, possible reforms, operating manuals and guidelines and related challenges to take into account;
   - Local government institutions and central government ministries in charge of supporting LGs.

b) **Design of LoCAL financing mechanisms**, including:
   - Building on the LoCAL-scoping document (activity a above), design phases I and II of LoCAL and the performance-based grant mechanism for climate resilience in selected countries, tailored either for urban/peri urban or rural areas, that address the various stages of the LoCAL approach/process (i.e. assessments and planning/mainstreaming; financing and budgeting/
mainstreaming; implementation of adaptation measures; performance assessments and reporting). More specifically, based on the outcome of scoping analysis and (virtual) mission(s):

- Reviewing and making recommendations for the institutional set-up of LoCAL with clear roles and responsibilities for the various government counterparts and partners, and for strengthening of institutions and systems at the various stages of the LoCAL approach/process.
- Identifying selection criteria for potential pilot local governments in line with the national policy framework and other relevant criteria to be agreed on (e.g. climate vulnerability index).
- Assessing and making recommendations for the financial circuit used for the LoCAL grant transfer taking into account the modalities of the intergovernmental fiscal transfer system and existing performance-based grants where applicable.
- Developing allocation formula and scenarios for the local governments to be covered by LoCAL taking into account the modalities of the intergovernmental fiscal transfer system.
- Identifying and selecting from the national intergovernmental fiscal transfer system and/or monitoring system a set of possible minimum conditions and performance measures, or alternatively developing a list of possible minimum conditions and performance measures, to be included in the national systems. These minimum conditions and performance measures will be accompanied by clear indicator definitions and implementation guidelines including the allocation formula for reviewing the grant allocation based on performance during a subsequent inception phase of the program in form of a specific Performance Assessment Manual and PBCRG operational manual.
- Defining an “investment menu” of eligible adaptation measures, in line with the national policy framework for climate change adaptation (NAP and NDC) that will inform the integration of adaptation in local development and investment planning budgeting.
- Integrating the LoCAL M&E framework, the ‘Assessing Climate Change Adaptation Framework’ (ACCAF) into the design;
- Reviewing and providing recommendations to support the strengthening of public financial management systems for climate change adaptation in the long-run (e.g., creation of budget codes, development or revision of guidelines and manuals, integration of climate change in tendering, procurement and delivery processes, reporting practices).
- Exploring technical and financial partnerships with bilateral agencies and donors, multilaterals organizations and financial institutions and (inter)national NGOs and initiate contacts with key potential partners who could engage with LoCAL for phase I and II.

c) **Supporting the implementation of LoCAL** in selected countries, at the various stages of the process by providing technical assistance and capacity building support to national and subnational government authorities in areas such as **mainstreaming of climate change issues into public planning and budgeting**, implementation of adaptation measures; cost benefit analysis of adaptation measures, undertaking annual performance assessments and reporting, developing templates, etc. More specifically, the support will include:

- Identifying needs and (technical and management) capacities of local and national stakeholders involved in LoCAL
- Reviewing available local climate change information and vulnerability and adaptation assessments and highlighting gaps in terms of information, systems or guidance
- Supporting the development of climate change adaptation plans and programmes
- Supporting the integration of climate change adaptation in local development plans, investments plans and projects and budgets
- Conduct sensitization/training on LoCAL/PBCRG:
  - d) Deliver participatory trainings of LGAs and communities in target LoCAL countries on the PBCRG system and manual, using the draft assessment guide/manual developed for the performance-based climate resilient grants (PBCRGs).
e) Identify needs and (technical and management) capacities of local and national stakeholders involved in LoCAL in respect to performance assessments, monitoring and reporting;

f) Contribute to LoCAL knowledge and communication efforts by documenting experiences, lessons learned and best practice, collecting ‘voices from the field’ (written and/or video), taking pictures during field visits and writing a news piece of the experience (for UNCDF, LoCAL website, Cap4Dev and twitter account).

- Supporting the selection and costing of adaptation measures in line with the LoCAL investment menu and their inclusion in the local investments plans and budgets
- Developing performance assessment manuals for performance-based climate resilient grants (PBCRGs) with a view to inform and/or be integrated in the national inter-governmental fiscal transfer systems;
- Conducting Annual Performance Assessment (APA), by:
  - Studying carefully and reaching a full understanding of the Performance Assessment Manual for PBCRGs in the target LoCAL countries, including organizing and collating relevant documentation;
  - Proposing a work plan for the Annual Performance Assessment. The work plan is to be agreed by with national stakeholders and the LoCAL Secretariat;
  - Conducting the Annual Performance Assessment in each target LGA in accordance with the agreed work plan and the APA manual of target LoCAL countries, ensuring thorough consultations and dialogues with stakeholders at both national and subnational levels as well as beneficiaries;
  - Submitting draft final report for validation by the Steering Committee in target LoCAL countries;
  - Communication/disseminating results, including via a workshop or meeting to be held with all stakeholders at national and subnational levels with a view of presenting and validating lessons learned and drafting recommendations.

- Undertaking cost benefit analysis of selected adaptation measures and investment decision making at macro and micro levels;
- Supporting Quality Assurance efforts, particularly in LoCAL Phase III countries, ensuring standards are maintained;
- Providing technical inputs to technical documents and developing concept notes/proposals/technical papers building on the LoCAL mechanism in selected countries;
- Promoting participatory approaches at all steps of the process;
- Supporting the strengthening of institutions and systems in the various above mentioned areas of work;
- Documenting experiences, lessons learned and best practice, thereby contributing to the development of knowledge and communication products.

g) Supporting the implementation of LoCAL in selected countries, at the various stages of the process, by providing technical assistance and capacity building support to national and subnational government authorities in areas of governance and public financial management (e.g. annual budget cycle, budget formulation; budget execution; accounting and reporting; external security and audit, budget code, climate public and institutional expenditure reviews, subnational climate PEFA) and access to finance (e.g. increased fiscal space, green taxation, debt swaps, policy based lending, new innovative instruments, etc. More specifically, the support will include, inter alia:

- Identifying needs and (technical and management) capacities of local and national stakeholders involved in LoCAL;
- Reviewing available PFM assessments (e.g. PEFA assessments), highlighting gaps and proposing recommendations for enhancement;
- Providing technical support and advice on decentralization processes, policies and reforms and propose recommendations for integration with the LoCAL design;
- Conduct sensitization/training on subnational governance and PFM issues;
o Supporting the strengthening of public financial management systems for climate change (e.g. creation of budget codes, CPEIRs, development or revision of guidelines and manuals, integration of climate change in tendering, procurement and delivery processes, reporting practices), with a focus on the subnational level;

o Supporting access to green/climate finance by subnational governments for instance by identifying and recommending sources of revenue (e.g., own revenue generation, green taxation, debt swaps, policy based lending, new innovative instruments, etc);

o Providing technical inputs to technical documents and developing concept notes/proposals/technical papers;

o Supporting the strengthening of institutions and systems in the various above-mentioned areas of work;

o Documenting experiences, lessons learned and best practice, thereby contributing to the development of knowledge and communication products.

h) Supporting the redesign of LoCAL phases II and III in selected countries taking into account experience and lessons learned in the countries and by LoCAL more broadly by:

o Collecting and reviewing LoCAL experiences and lessons learned

o Reviewing and making recommendations to revise as appropriate the key elements of the LoCAL approach (minimum conditions, performance measures, triggers for fund transfers, investment menu, roles of partners and stakeholders, financial circuit used for the LoCAL grant transfer).

In performing the tasks, the firm and its team members will, inter alia, undertake, organize or facilitate consultations, training and planning workshops, and on-the-job learning.

The firm shall indicate in its technical proposal the composition of the team members and appoint a team leader/Coordinator. The latter will thus oversee the work of the other team members, in close collaboration and consultation with the LoCAL Secretariat. His/her functions will include, inter alia:

- Facilitating briefings and debriefings on missions and assignments;
- Ensuring standards and quality of outputs/deliverables are observed and applied;
- Technical review of draft reports and other documents submitted by the experts;
- Focal point for technical support on field of expertise to selected experts;
- Supporting the LoCAL Secretariat in assessing distribution of workload among selected team members.

4. Final Products

Below is a non-exhaustive list of typical products/outputs, or any combination of which may be expected to be delivered by LTA holders:

- Technical inputs, guidance and advice on areas covered in section 3
- Case studies/ technical papers on areas covered in section 3
- A descriptive and analytical back to the office report following each assignment that provides full details of the mission schedule, copies of substantive inputs produced and recommendations for follow up action, as well as list of stakeholders met, including their contacts.
- Substantive reports and other technical inputs as requested by the LoCAL Programme Manager based on the ToR of the specific assignment (call off) as mentioned elsewhere in the Procurement Notice.
- LoCAL Scoping Document/Concept Note as per UNCDF standard format including a set of technical content (detailing the various issues listed above) copies of substantive inputs produced and recommendations for follow up action and design mission
- LoCAL Design Document/Concept Note as per UNCDF standard format including a set of technical content (detailing the various issues listed above) copies of substantive inputs produced and recommendations for follow up action and inception phase
- Updated LoCAL design, grant guidelines, including flow of funds, investment menu, allocation formula, and reporting format
- Local government selection table, based on applicable criteria
- Table with information on PBCRG allocations for each target local government
- Annual Performance assessment and PBCRG operations manuals, including procedures for assessment, assessment indicators, links with the budget cycle, means of verification, and approval procedures
- Annual performance assessment of target local governments (APA report)
- Workshop/training/capacity building sessions on areas covered in section 3

5. Governance, Accountability and Progress Controls

The firm(s) and its team members will work under the direct supervision of the LoCAL Programme Manager and in close collaboration with the UNCDF LoCAL Facility and LoCAL country teams, governments (at national and subnational levels), as well as line ministries in target countries in Asia, Africa and the Pacific region.

The progress control will be varied by each individual assignment which will be stated in call-off ToR and usually will be a close collaboration and progress meeting among stakeholders as stated above in paragraph 1.

The payment will be made based on satisfactory completion of assignment and submission of deliverables under the specific assignment, and within the terms of approved ToRs, which shall include payment terms.

Payment will be made upon certification of satisfactory completion and acceptance of the output by the LoCAL Programme Manager.

Supporting documents that will serve as conditions for disbursement are as follows: (i) submission of invoice (ii) review, approval and written acceptance of outputs for each deliverable by the LoCAL Programme Manager; and (iv) authorization of payment disbursement from LoCAL Programme Manager.

6. Type and Duration of Assignment, Duty Station and Expected Places of Travel

The successful offeror shall be issued a Long-Term Agreement (LTA) for an initial period of one (1) year. Extension shall be made based only on continued need for the services and satisfactory performance of the vendor. The LTA extension may be made on an annual basis, but not to exceed a total of three (3) years.

The work may be performed at the location of the contractor, with possible mission travels to selected LoCAL countries (usually in Asia, Africa, Caribbean and the Pacific) including, but not limited to, the following: Bangladesh, Benin, Bhutan, Cambodia, The Gambia, Guinea, Ghana, Lao PDR, Lesotho, Mali, Mozambique, Nepal, Niger, Tanzania, Somalia, Zambia, Tunisia, Tuvalu, Burkina Faso, Cote d'Ivoire, Fiji, Jamaica, Liberia, Malawi, Sao Tomé e Principe, Senegal, Solomon Islands, Sudan, Uganda and Vanuatu.
The schedule of travel will be agreed with the LoCAL Project management and according to the requirements of each country initiative. Travel costs associated to the assignment shall be part of the financial proposal that will be submitted during the LTA call-off process.

7. **Professional Qualifications of the Successful Contractor and its key personnel**

This assignment requires the services of team of experts who can demonstrate adequate analytical capacity and who can provide expertise relevant to the terms of reference as described above and below, including climate change adaptation capacity building/institutional strengthening, climate mainstreaming in local development planning/budgeting, green and climate sensitive governance and public financial management and performance-based climate financing mechanisms (rural and urban contexts).

The firm shall have at least 3 years of operations and minimum of 5 contracts of similar value, nature and complexity implemented over the past year to be considered in the bidding process. This shall be referenced in the submitted technical proposal and shall be subject to reference checks by UNCDF. In addition, the firm shall indicate in its proposal the number of team members and specify the recommended qualifications of each team member (e.g. via submission of CVs of each listed team member).
Section 6: Returnable Forms / Checklist

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

Prequalification Envelope:

<table>
<thead>
<tr>
<th>Have you duly completed all the Returnable Bidding Forms?</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Form A: PREQ Application Submission Form</td>
</tr>
<tr>
<td>- Form B: Applicant Information Form</td>
</tr>
<tr>
<td>- Form C: Joint Venture/Consortium/ Association Information Form</td>
</tr>
<tr>
<td>- Form D: Qualification Form</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Have you provided the required documents to establish compliance with the evaluation criteria in Section 4?</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
</tr>
</tbody>
</table>
Form A: Prequalification Submission Form

Name of Applicant: [Insert Name of Applicant]  
PREQ reference: [Insert PREQ Reference Number]

We, the undersigned, hereby submits our documents for [Insert Title of services] in accordance with your Invitation to Prequalify [Insert PREQ Reference Number].

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 Applicants 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 Application are true and we accept that any misinterpretation or misrepresentation contained in this Application may lead to our disqualification and/or sanctioning by the UNCDF.

We are prepared to offer the services in conformity with the UNCDF General Conditions of Contract and in accordance with the Terms of Reference, in the event that we are found to be prequalified to submit an offer in an eventual launch of a Request for Proposal.

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

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

Name: _____________________________________________________________
Title:  _____________________________________________________________
Date:  _____________________________________________________________
Signature:  _____________________________________________________________

[Stamp with official stamp of the Applicant]
### Form B: Applicant Information Form

<table>
<thead>
<tr>
<th>Legal name of Applicant</th>
<th>[Complete]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal address</td>
<td>[Complete]</td>
</tr>
<tr>
<td>Year of registration</td>
<td>[Complete]</td>
</tr>
<tr>
<td><strong>Applicant’s Authorized Representative Information</strong></td>
<td></td>
</tr>
<tr>
<td>Name and Title:</td>
<td>[Complete]</td>
</tr>
<tr>
<td>Telephone numbers:</td>
<td>[Complete]</td>
</tr>
<tr>
<td>Email:</td>
<td>[Complete]</td>
</tr>
<tr>
<td><strong>Are you a UNGM registered vendor?</strong></td>
<td></td>
</tr>
<tr>
<td>☐ Yes ☐ No</td>
<td>If yes, [insert UNGM vendor number]</td>
</tr>
<tr>
<td><strong>Are you a UNCDF vendor?</strong></td>
<td></td>
</tr>
<tr>
<td>☐ Yes ☐ No</td>
<td>If yes, [insert UNCDF vendor number]</td>
</tr>
<tr>
<td><strong>Countries of operation</strong></td>
<td>[Complete]</td>
</tr>
<tr>
<td><strong>No. of full-time employees</strong></td>
<td>[Complete]</td>
</tr>
<tr>
<td><strong>Quality Assurance Certification (e.g. ISO 9000 or Equivalent) (If yes, provide a Copy of the valid Certificate):</strong></td>
<td>[Complete]</td>
</tr>
<tr>
<td><strong>Does your Company hold any accreditation such as ISO 14001 related to the environment? (If yes, provide a Copy of the valid Certificate):</strong></td>
<td>[Complete]</td>
</tr>
<tr>
<td><strong>Does your Company have a written Statement of its Environmental Policy? (If yes, provide a Copy):</strong></td>
<td>[Complete]</td>
</tr>
<tr>
<td><strong>Contact person UNCDF may contact for requests for clarification during evaluation of documents</strong></td>
<td>Name and Title: [Complete]</td>
</tr>
<tr>
<td></td>
<td>Telephone numbers: [Complete]</td>
</tr>
<tr>
<td></td>
<td>Email: [Complete]</td>
</tr>
<tr>
<td><strong>Please attach the following documents:</strong></td>
<td></td>
</tr>
<tr>
<td>- Company Profile, which should not exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured</td>
<td></td>
</tr>
<tr>
<td>- Certificate of Incorporation/ Business Registration</td>
<td></td>
</tr>
<tr>
<td>- Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Applicant is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Applicant</td>
<td></td>
</tr>
<tr>
<td>- Trade name registration papers, if applicable</td>
<td></td>
</tr>
<tr>
<td>- Local Government permit to locate and operate in assignment location, if applicable</td>
<td></td>
</tr>
<tr>
<td>- Official Letter of Appointment as local representative, if Applicant is submitting a Bid on behalf of an entity located outside the country</td>
<td></td>
</tr>
<tr>
<td>- Power of Attorney</td>
<td></td>
</tr>
</tbody>
</table>
**Form C: Joint Venture/Consortium/Association Information Form**

<table>
<thead>
<tr>
<th>Name of Applicant: [Insert Name of Applicant]</th>
<th>Date: Select date</th>
</tr>
</thead>
<tbody>
<tr>
<td>PREQ reference: [Insert PREQ Reference Number]</td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>No</th>
<th>Name of Partner and contact information (address, telephone numbers, fax numbers, e-mail address)</th>
<th>Proposed proportion of responsibilities (in %) and type of services to be performed</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>[Complete]</td>
<td>[Complete]</td>
</tr>
<tr>
<td>2</td>
<td>[Complete]</td>
<td>[Complete]</td>
</tr>
<tr>
<td>3</td>
<td>[Complete]</td>
<td>[Complete]</td>
</tr>
</tbody>
</table>

**Name of leading partner**

(with authority to bind the JV, Consortium, Association during the PREQ 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 we are found pre-qualified, and the contract from an eventual PREQ is awarded, all parties of the Joint Venture/Consortium/Association shall be jointly and severally liable to UNCDF for the fulfillment of the provisions of the Contract.

Name of partner: ___________________________  Name of partner: ___________________________

Signature: ___________________________  Signature: ___________________________

Date: ___________________________  Date: ___________________________

Name of partner: ___________________________  Name of partner: ___________________________
Form D: Qualification Form

Name of Applicant: [Insert Name of Applicant]  
PREQ reference: [Insert PREQ Reference Number]

Date: [Select date]

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

Historical Contract Non-Performance

☐ Contract non-performance did not occur for the last 3 years
☐ Contract(s) not performed for the last 3 years

<table>
<thead>
<tr>
<th>Year</th>
<th>Non-performed portion of contract</th>
<th>Contract Identification</th>
<th>Total Contract Amount (current value in US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Name of Client:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Address of Client:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Reason(s) for non-performance:</td>
<td></td>
</tr>
</tbody>
</table>

Litigation History (including pending litigation)

☐ No litigation history for the last 3 years
☐ Litigation History as indicated below

<table>
<thead>
<tr>
<th>Year of dispute</th>
<th>Amount in dispute (in US$)</th>
<th>Contract Identification</th>
<th>Total Contract Amount (current value in US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Name of Client:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Address of Client:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Matter in dispute:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Party who initiated the dispute:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Status of dispute:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Party awarded if resolved:</td>
<td></td>
</tr>
</tbody>
</table>
**Previous Relevant Experience**

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

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

<table>
<thead>
<tr>
<th>Project name</th>
<th>Country of Assignment</th>
<th>Client</th>
<th>Contract Value (USD)</th>
<th>Period of activity</th>
<th>Types of activities undertaken</th>
<th>Status or Date Completed</th>
<th>Reference contact details (Name, Phone, email)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

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

Attached are the following:

☐ Statements of Satisfactory Performance from the Top 3 (three) Clients or more.
☐ Management / Organizational Structure
☐ Quality assurance procedures and risk mitigation measures
☐ Evidence of Organization’s commitment to sustainability.
## Financial Standing

<table>
<thead>
<tr>
<th>Annual Turnover for the last 3 years</th>
<th>Year</th>
<th>USD</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Year</td>
<td>USD</td>
</tr>
<tr>
<td></td>
<td>Year</td>
<td>USD</td>
</tr>
</tbody>
</table>

| Latest Credit Rating (if any), indicate the source | |

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

☐ 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 Applicant 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.
Annex A

Standard Operating Procedures (SOP)
To the Call-off Companies on Long-Term Agreement (LTA)
For the Climate Change Adaptation Mainstreaming and Local Development Planning/Budgeting
Local Climate Adaptive Living Facility (LoCAL)
UNCDF, LTF

1. UNCDF requires the services of experts to support the LoCAL portfolio of programmes by providing technical support on climate change adaptation capacity building/institutional strengthening, climate mainstreaming in local development planning/budgeting, green and climate sensitive governance and public financial management and performance-based climate financing mechanisms (for both rural and urban contexts).

2. For this purpose, UNCDF would like to enter into a non-exclusive Framework Agreement, also known as Long-Term Agreement (LTA), with up to four firms that will perform the services abovementioned on a need-basis. In UNCDF, an LTA is a framework agreement by and between UNCDF and a company at any time within the duration of the LTA, be required to render the agreed services at the agreed and fixed unit prices for a minimum period of 12 months, with potential extension for up to two (2) additional years, depending on satisfactory performance of the company/individual.

3. Under an LTA, UNCDF does not guarantee that any specific quantity of services shall be purchased during the term of this agreement. The LTA does not form a financial obligation or commitment from UNCDF at the time the LTA contract is signed and that such an agreement is non-exclusive.

4. Where a request for service arises, UNCDF can engage the LTA holder through a “call-off” of the LTA. Every call-off shall outline specific tasks, scope of services and outputs to be delivered within a specific period. For a particular work, the call-off shall be formalized through the issuance of a Purchase Order (PO), attaching thereto the Terms of Reference (TORs), and any other document relevant to the call-off. Financial commitments will only be established each time a PO, for the specific services/TOR for a firm, is committed.

5. To ensure that the principles of fairness, transparency and competition prescribed by the United Nations public procurement rules are safeguarded, UNCDF will use the following guidelines to select LTA holders for specific projects.
### Instructions to Use Specialized Firms under Long-Term Agreements with UNCDF/LoCAL

<table>
<thead>
<tr>
<th>Milestone</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NEEDS ASSESSMENT</strong></td>
<td>For every assignment: UNCDF/LoCAL will conduct a need assessment on the services required, including a determination of whether or not the requirement can be performed by internal staff, individual consultants, corporate consultants, or LTA services providers. This may lead to the writing of an initial draft of Term of Reference, focusing on key services required and outputs expected from the services.</td>
</tr>
</tbody>
</table>
| **ASSESS IF THE ASSIGNMENT FALLS WITHIN THE SCOPE OF THE LTA** | As a matter of Policy, the LTA is a non-exclusive agreement. UNCDF is not mandated to use the LTA holders and can resort to other procurement sources at any time. However, if the services required by the LTA are in line with the intended purposed of the LTAs, UNCDF will opt to use the LTAs.  

The use of the LTAs is limited to the provision of technical assistance to support the LoCAL portfolio of programmes, project management and other services that are in line with the Scope of Services detailed in the ToR that forms part of the LTA.  

If the proposed ToRs are compliant with the scope of the LTAs, the focal point assigned by the LoCAL Facility Programme Manager will start the secondary bidding process in technical qualification. |
| **CONTACT LTA HOLDERS AND REQUEST FOR OFFER** | Based on the needs assessment and a predefined TOR,  

All call-offs shall be subjected to a secondary competition, regardless of the amount involved. There shall be no waiving of secondary competition under any circumstance to adhere to the procurement principle of: (a) ensuring fair treatment of all vendors, while (b) achieving best value for money.  

UNCDF will send the ToRs to LTA holders and provide a submission deadline (up to two weeks but not less than a week’s time) to submit an offer. The LTA holders who fail to submit the package as responding to the “on call” assignment as due will not be considered for the assignment.  

The criteria that will be used in rating the technical proposal for the call-off are as follows:  

a. Related previous experience in the selected LoCAL Country, acquired before the signing of the LTA;  
b. Language Proficiency of designated consultant(s): Fluency in French for assignments in francophone countries, or fluency in English for assignments in remainder countries.  
c. Team composition/team profile that is most relevant to the specific technical requirements indicated in the ToR. |
The award of the call-off shall be made to the LTA holder who achieves the highest combined highest score of technical and financial (70/30) proposal.

4. Review proposals and awarding

UNCDF will perform a comparative analysis and evaluate the technical and financial proposals received and select an LTA holder.

The selection will be based on the combined score of technical and financial in 70:30. An LTA holder who received the highest combined score will receive a call-off PO and perform the assignment.

UNCDF may consider not awarding the call-off to the highest combined score if any or both of the following situation exists:

a) There is a documented performance concern on the company with the lowest all-inclusive price offer, and the performance issues have been duly communicated by UNCDF, but the company has not yet addressed nor committed in writing to address such issues; and

b) If there is still an ongoing work that is less than 80% completed, and the team that is being proposed to the call-off work is the same as those working on the ongoing work. This assessment of percentage of work completion shall be determined and put in writing by the supervisor of the ongoing work. The said statement shall be the supporting document for selecting the second ranked offeror.

### Quality Control and Assurance

6. The cumulative contract amounts that will accumulate for each firm shall be closely monitored by the LoCAL Secretariat. The monitoring shall be done rigorously in order to ensure that each company shall not exceed the approved limit of payments for the duration of the LTA. If limit amount is foreseen to be exceeded for any reason, an approval request will be submitted to the relevant authority or Committee (CPA/ACP) in a timely manner.

7. The LoCAL Facility and any other projects using this LTA will **regularly monitor** the performance of the LTA holders and conduct annual review of their performance, based on the key following criteria:

- Expertise and technical knowledge
- Quality of Work
- Cooperation
- Timeliness of delivered outputs
- Availability to undertake assignments
- Reputation

8. If the firms and their designated consultants fail to meet performance requirements detailed above, they will receive in first instance, a communication requesting an improvement in performance. Continued failure to meet...
performance requirements may result in termination of the call-off PO and/or the non-utilization of the LTA, until its expiration, and eventually non-extension of the LTA.