



## REQUEST FOR PROPOSAL (RFP)

**(From Vietnam based firms/institutes/organizations)**

|  |                         |
|--|-------------------------|
| NAME of service:<br><b>LONG-TERM AGREEMENT FOR MICRO ASSESSMENTS<br/>UNDER THE PROGRAMME CYCLE 2022-2026</b> | DATE: September 1, 2022 |
|  | REFERENCE: 2-220901     |

Dear Sir / Madam:

We kindly request you to submit your Proposal for ***a Long-Term Agreement for Micro Assessments under the Programme Cycle 2022-2026.***

Please be guided by the form attached hereto as Annex 2, in preparing your Proposal.

Proposals may be submitted on or before **Thursday, September 15, 2022** and via email to the address below:

**United Nations Development Programme  
304 Kim Ma Street, Ha Noi, Viet Nam  
Ms. Luu Ngoc Diep, Procurement Associate  
Bidding.vn@undp.org**

**Note:**

- **Submission email sent to this email address should indicate the tender's reference number.**
- Please send a separate email (without attachment) to [procurement.vn@undp.org](mailto:procurement.vn@undp.org) notifying that you already submitted proposal and the number of email(s) submitted. Notification email should be sent to above address by submission deadline or right after you submit proposals.
- UNDP will acknowledge receipt of the proposals within 2 working days from the submission deadline. In case you do not receive acknowledgement, please contact us within 3 working days after submission deadline.
- Maximum size per email: **30 MB**. Bidders can split proposals into several emails if the file size is large.

Your Proposal must be expressed in the English language, and valid for a minimum period of **120 days from the date of bid submission deadline.**

In the course of preparing your Proposal, it shall remain your responsibility to ensure that it reaches the address above on or before the deadline. Proposals that are received by UNDP after the deadline indicated above, for whatever reason, shall not be considered for evaluation. If you are submitting your Proposal by email, kindly ensure that they are signed and in the .pdf format, and free from any virus or corrupted files.

Services proposed shall be reviewed and evaluated based on completeness and compliance of the Proposal and responsiveness with the requirements of the RFP and all other annexes providing details of UNDP requirements.

The Proposal that complies with all of the requirements, meets all the evaluation criteria and offers the best value for money shall be selected and awarded the contract. Any offer that does not meet the requirements shall be rejected.

Any discrepancy between the unit price and the total price shall be re-computed by UNDP, and the unit price shall prevail, and the total price shall be corrected. If the Service Provider does not accept the final price based on UNDP's re-computation and correction of errors, its Proposal will be rejected.

No price variation due to escalation, inflation, fluctuation in exchange rates, or any other market factors shall be accepted by UNDP after it has received the Proposal. At the time of Award of Contract or Purchase Order, UNDP reserves the right to vary (increase or decrease) 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.

Any Contract or Purchase Order that will be issued as a result of this RFP shall be subject to the General Terms and Conditions attached hereto. The mere act of submission of a Proposal implies that the Service Provider accepts without question the General Terms and Conditions of UNDP, herein attached as Annex 3.

Please be advised that UNDP is not bound to accept any Proposal, nor award a contract or Purchase Order, nor be responsible for any costs associated with a Service Providers preparation and submission of a Proposal, regardless of the outcome or the manner of conducting the selection process.

UNDP's vendor protest procedure is intended to afford an opportunity to appeal for persons or firms not awarded a Purchase Order or Contract in a competitive procurement process. In the event that you believe you have not been fairly treated, you can find detailed information about vendor protest procedures in the following link: <http://www.undp.org/content/undp/en/home/operations/procurement/business/protest-and-sanctions.html>

UNDP encourages every prospective Service Provider to prevent and avoid conflicts of interest, by disclosing to UNDP if you, or any of your affiliates or personnel, were involved in the preparation of the requirements, design, cost estimates, and other information used in this RFP.

UNDP implements a zero tolerance on fraud and other proscribed practices, and is committed to preventing, identifying and addressing all such acts and practices against UNDP, as well as third parties involved in UNDP activities. UNDP expects its Service Providers to adhere to the UN Supplier Code of Conduct found in this link : [https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unscc/conduct\\_english.pdf](https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unscc/conduct_english.pdf)

Thank you and we look forward to receiving your Proposal.

Sincerely yours,  
*Tran Thi Hong*  
*Head of Procurement Unit*  
9/1/2022

## Description of Requirements

|   |  |
|---|--|
| Context of the Requirement  | Please refer to the attached Terms of Reference (TOR)  |
| Implementing Partner of UNDP  | Please refer to the attached TOR   |
| Brief Description of the Required Services <sup>1</sup>                                   | (TOR is attached in this Annex)  |
| List and Description of Expected Outputs to be Delivered                                  | Please refer to the TOR  |
| Person to Supervise the Work/Performance of the Service Provider                          | Please refer to the attached TOR   |
| Frequency of Reporting  | Please refer to the attached TOR   |
| Progress Reporting Requirements   | Please refer to the attached TOR   |
| Location of work  | <input checked="" type="checkbox"/> Project sites as indicated in the TOR<br><input checked="" type="checkbox"/> At Contractor's Location  |
| Expected duration of work   | 2022 – 2025  |
| Target start date   | As soon as possible in 2022  |
| Latest completion date  | 30 December 2025   |
| Travels Expected  | Please refer to the attached TOR   |
| Special Security Requirements   | <input type="checkbox"/> Security Clearance from UN prior to travelling<br><input type="checkbox"/> Completion of UN's Basic and Advanced Security Training<br><input type="checkbox"/> Comprehensive Travel Insurance<br><input type="checkbox"/> Others [pls. specify] |
| Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal)            | <input type="checkbox"/> Office space and facilities<br><input type="checkbox"/> Land Transportation<br><input type="checkbox"/> Others [pls. specify]   |
| Implementation Schedule indicating breakdown and timing of activities/sub-activities      | <input checked="" type="checkbox"/> Required<br><input type="checkbox"/> Not Required  |
| Names and curriculum vitae of individuals who will be involved in completing the services | <input checked="" type="checkbox"/> Required<br><input type="checkbox"/> Not Required  |
| Currency of Proposal  | <input type="checkbox"/> United States Dollars<br><input type="checkbox"/> Euro<br><input checked="" type="checkbox"/> Vietnamese Dongs  |
| Value Added Tax on Price Proposal <sup>2</sup>  | <input checked="" type="checkbox"/> must be inclusive of VAT and other applicable indirect taxes<br><input type="checkbox"/> must be exclusive of VAT and other applicable indirect taxes  |
| Validity Period of Proposals<br>(Counting from the date of submission deadline)           | <input type="checkbox"/> 60 days<br><input type="checkbox"/> 90 days<br><input checked="" type="checkbox"/> 120 days   |

<sup>1</sup> A detailed TOR may be attached if the information listed in this Annex is not sufficient to fully describe the nature of the work and other details of the requirements.

<sup>2</sup> VAT exemption status varies from one country to another. Pls. check whatever is applicable to the UNDP CO/BU requiring the service.

|  |   |
|--|---|
|  | In exceptional circumstances, UNDP may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal.   |
| Partial Quotes   | <input checked="" type="checkbox"/> Not permitted<br><input type="checkbox"/> Permitted   |
| Payment Terms <sup>3</sup>   | <input checked="" type="checkbox"/> As indicated in the attached TOR<br><input checked="" type="checkbox"/> Condition for Payment Release:<br><b>Within thirty (30) days from the date of meeting the following conditions:</b><br>a) UNDP's written acceptance (i.e., not mere receipt) of the quality of the outputs; and<br>b) Receipt of invoice from the Service Provider.   |
| Person(s) to review/inspect/approve outputs/completed services and authorize the disbursement of payment | Please refer to the attached TOR  |
| Type of Contract to be Signed  | <input type="checkbox"/> Purchase Order<br><input type="checkbox"/> Institutional Contract<br><input type="checkbox"/> Contract for Professional Services<br><input checked="" type="checkbox"/> Long-Term Agreement <sup>4</sup><br><input type="checkbox"/> Other Type of Contract  |
| Criteria for Contract Award  | <input checked="" type="checkbox"/> Highest Combined Score (based on the 70% technical offer and 30% price weight distribution)<br><input checked="" type="checkbox"/> Full acceptance of the UNDP Contract General Terms and Conditions (GTC). <b>This is a mandatory criterion and cannot be deleted regardless of the nature of services required. Non-acceptance of the GTC may be grounds for the rejection of the Proposal.</b>   |
| Criteria for the Assessment of Proposal  | <p>Proposal shall be considered technically qualified if it achieves minimum 70% of total obtainable technical points.</p> <p><b>Weight of technical and financial point:</b><br/> <b>Technical Proposal (70%)</b><br/> <input checked="" type="checkbox"/> Expertise of the Firm (25%)<br/> <input checked="" type="checkbox"/> Methodology, Its Appropriateness to the Condition and Timeliness of the Implementation Plan (35%)<br/> <input checked="" type="checkbox"/> Management Structure and Qualification of Key Personnel (40%)</p> <p><b>Financial Proposal (30%)</b><br/> To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP.</p> <p>Please refer to the <a href="#">Evaluation Criteria</a> for further details.</p> |

<sup>3</sup> UNDP preference is not to pay any amount in advance upon signing of contract. If the Service Provider strictly requires payment in advance, it will be limited only up to 20% of the total price quoted. For any higher percentage, or any amount advanced exceeding \$30,000, UNDP shall require the Service Provider to submit a bank guarantee or bank cheque payable to UNDP, in the same amount as the payment advanced by UNDP to the Service Provider.

<sup>4</sup> Minimum of one (1) year period and may be extended up to a maximum of three (3) years subject to satisfactory performance evaluation. This RFP may be used for LTAs if the annual purchases will not exceed \$150,000.00.

|  |   |
|--|---|
| UNDP will award the contract to:                                   | <input checked="" type="checkbox"/> One and only one Service Provider<br><input type="checkbox"/> One or more Service Providers, depending on the following factors:  |
| Contract General Terms and Conditions <sup>5</sup>                 | <input type="checkbox"/> <a href="#">General Terms and Conditions / Special Conditions for Contract.</a><br><input type="checkbox"/> <a href="#">General Terms and Conditions for de minimis contracts (services only, less than \$50,000)</a><br><input type="checkbox"/> <a href="#">General Terms and Conditions for Works</a><br><br>Applicable Terms and Conditions are available at:<br><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> |
| Annexes to this RFP <sup>6</sup>                                   | <input checked="" type="checkbox"/> <a href="#">Terms of Reference &amp; Evaluation Criteria</a> (attached to this Annex)<br><input checked="" type="checkbox"/> <a href="#">Proposal Submission Form (Annex 2)</a><br><input checked="" type="checkbox"/> <a href="#">Contract Template &amp; UNDP Contract General Terms and Conditions</a> (GTC) (Annex 3)<br><input checked="" type="checkbox"/> <a href="#">Submission checklist</a> (Annex 4)   |
| Contact Person for Inquiries (Written inquiries only) <sup>7</sup> | Luu Ngoc Diep (Ms.)<br>Procurement Associate<br><a href="mailto:Luu.ngoc.diep@undp.org">Luu.ngoc.diep@undp.org</a><br>Any delay in UNDP's response shall be not used as a reason for extending the deadline for submission, unless UNDP determines that such an extension is necessary and communicates a new deadline to the Proposers.  |
| Other Information [pls. specify]                                   | <b>Bidders are responsible for checking the UNDP website:</b><br><a href="https://procurement-notice.undp.org/">https://procurement-notice.undp.org/</a> for any addenda and updated deadline to this Request for Proposals. UNDP reserves the right to post addenda up to the closing date for submissions. Hence bidders are advised to check the UNDP website frequently prior to submitting their proposal.   |

<sup>5</sup> Service Providers are alerted that non-acceptance of the terms of the General Terms and Conditions (GTC) may be grounds for disqualification from this procurement process.

<sup>6</sup> Where the information is available in the web, a URL for the information may simply be provided.

<sup>7</sup> This contact person and address is officially designated by UNDP. If inquiries are sent to other person/s or address/es, even if they are UNDP staff, UNDP shall have no obligation to respond nor can UNDP confirm that the query was received.



## TERMS OF REFERENCE

|                   |  |
|-------------------|--|
| Service           | <b>LONG-TERM AGREEMENT FOR MICRO ASSESSMENTS UNDER THE PROGRAMME CYCLE 2022-2026</b> |
| Expected Bidders  | A Vietnam based firm   |
| Duty Station      | Home based and project sites   |
| Expected Duration | 2022-2025  |

### I. Background

The Harmonized Approach to Cash Transfer (HACT) framework was first adopted in 2005 by UNDP, UNICEF, UNFPA and WFP, pursuant to United Nations General Assembly Resolution 56/201 on the triennial policy review of operational activities for development of the United Nations system. The HACT framework represents a common operational (harmonized) framework for transferring cash to government and non-governmental national Implementing Partners (IPs) and Responsible Parties (RPs) if applicable, irrespective of whether these partners work with one or multiple United Nation agencies. It calls for an upfront assessment of the programme country's public financial management system (hereafter called "macro assessment") and one of the financial management capacities of each IP/RP (hereafter called "micro assessment").

The year 2022 marks the start of the programme cycle of UNDP support to Viet Nam, i.e. the UNDP Country Programme Document 2022-2026. This is the premise for UNDP to identify IPs/RPs for this programme cycle and devise a plan for micro-assessments of selected IPs/RPs (as listed in Annex 4).

This TOR has been developed to guide UNDP country office, third party service providers and implementing partners (IPs) and Responsible Parties (RPs) through the objectives, scope, logistics and deliverables of performing micro assessments.

### II. Objective and scope of the micro assessment

Being one of the key elements of HACT, the micro assessment assesses the IP/RP's financial management capacity (i.e. accounting, procurement, reporting, internal controls, etc.) to determine the overall risk rating and assurance activities. It is performed by a third party service provider and includes a site visit to the IP/RP. The assessment primarily consists of interviews with IP/RP personnel and a review of relevant documentation sufficient to complete the micro assessment questionnaire (Annex 2). The questionnaire provides an overall risk rating based on responses provided:

- **Low risk** – Indicates a well-developed financial management system and functioning control framework with a low likelihood of negative impact on the IP/RP's ability to execute the programme in accordance with the work plan.

- **Moderate <sup>8</sup>Risk** – Indicates a developed financial management system and control framework with moderate likelihood of potential negative impact on the IP/RP 's ability to execute the programme in accordance with the work plan.
- **Significant Risk** – Indicates an underdeveloped financial management system or control framework with a significant likelihood of potential negative impact on the IP/RP's ability to execute the programme in accordance with the work plan.
- **High Risk** – Indicates an underdeveloped financial management system and control framework with a high likelihood of potential negative impact on the IP/RP's ability to execute the programme in accordance with the work plan.

The overall risk rating is used by UNDP, along with other available information (e.g. history of engagement with the agency and previous assurance results), to determine the type and frequency of assurance activities as per UNDP corporate's guidelines and can be taken into consideration when selecting the appropriate cash transfer modality for an IP/RP, based on UNDP's business model.

### III. Duration of assignment, duty station and expected places of travel

The LTA is for three years period of the UNDP from 2022-2025 under programme cycle 2022-2026. It is estimated that there are approximately 9 micro assessments per year to be conducted in two batches in Mar-Apr and Sep-Oct respectively as follows:

2 proposed Micro assessments for IP/RPs under projects funded by GCF

7 Micro assessments for other IP/RPs:

- Estimated annual expenditure from \$150,000 to < \$400,000 04 IP/RPs
- Estimated annual expenditure from \$400,000 to < \$700,000 03 IP/RPs

The detailed information on number of projects to be assessed in each batch will be communicated to the success bidder in due course as per the **List of Micro Assessment in 2022-2024** attached.

Travel to provinces is required if the projects are located in provinces. In this case, the contractor will be paid additionally travel cost and per diem according to UN-EU cost norms.

In case the field visit couldn't be conducted due to specific conditions, the service provider could provide the online micro assessment instead. Any limitation of the scope of review should be documented in the spot check report.

### IV. Logistics

The assessment should be completed (including the site visit and report issuance if needed) within four weeks of engaging the third-party service provider. The UNDP's HACT focal point and Programme Officer(s)/Associate(s) will introduce the service provider to the IP/RP and facilitate the site visit.

UNDP Vietnam provides the following documentation to the service provider for review before starting fieldwork:

- Copy of the latest macro assessments performed for the country;

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<sup>8 1</sup> Throughout agencies' policies and systems, "moderate" and "medium" may be used interchangeably to describe the risk rating between low and significant"

- UNDP's work plan(s) and programme documents with the IP/RP;
- Copies of reports of any micro assessments or other relevant assessment previously performed on the IP/RP;
- Copies of reports of any financial or internal control audits and spot checks previously performed on the IP/RP; and
- IP/RP and Programme information as per Annex 1
- Any other documentation that may help the service provider better understand the context from a United Nations perspective.

## **V. Procedures and deliverables**

The third-party service provider receives general information regarding the IP/RP and the programme from the UNDP's HACT focal point and Programme Officer(s)/Associate(s) in preparation for the assessment (see Annex 1 and Items to be provided above). The service provider reviews this documentation in advance of performing a site visit to the IP/RP. The service provider should also provide the IP/RP with an advance request of the documents and interviews they would like to have while on site, to ensure efficient use of time while on-site.

The third-party service provider also completes the micro assessment questionnaire (Annex 2a, with instructions) based on the procedures performed during the assessment period. For GCF funded project, the third-party service provider should complete an additional questionnaire (Annex 2b). The service provider discusses the results of the questionnaire with relevant IP/RP personnel and the UNDP's HACT focal point and Programme Officer(s)/Associate(s) before finalizing it. Upon finalization, the service provider delivers an executive summary, detailing the overall risk rating and specific identified risks, and the completed questionnaire (in both English and Vietnamese). A soft copy of the summary of issues should be provided separately in the electronic version of Word document so the UNDP's HACT focal point and Programme Officer(s)/Associate(s) could use to complete the follow up action plan after getting the micro assessment result.

The micro assessment report is to be delivered in the format given in Annex 3.

## **VI. Qualifications of the third- party service provider**

The third-party service provider must be experienced in performing assessments similar to a micro assessment and assessing risks related to organizational financial management capacity (i.e. accounting, reporting, procurement and internal controls). The service provider must also have knowledge of the United Nations system and the development sector.

CVs of all members of the assessment team should be provided to the commissioning UN agency/ies and should include details on engagements carried out by relevant staff, including ongoing assignments indicating responsibilities assumed by them and their qualifications and experience in undertaking similar assessments.

## **VII. Annexes:**

Annex 1. IP/RP and Programme Information

Annex 2. Micro Assessment Questionnaire

Annex 3. Micro Assessment Report Format

Annex 4. List of selected IP/RPs for Micro Assessment under the Programme Cycle 2022-2026



### **Annex 1. IP/RP and Programme Information**

The following information should be completed at the start of the micro assessment and annexed to the report as per the format in Annex 3.

|  |  |
|--|--|
| <b>Implementing partner/Responsible Party name:</b>  |  |
| <b>Implementing partner/Responsible Party code or ID in UNICEF, UNDP, UNFPA records (as applicable)</b>  |  |
| <b>Implementing partner/Responsible Party contact details (contact name, email address and telephone number):</b>  |  |
| <b>Main programmes implemented with the applicable UN Agency/ies:</b>  |  |
| <b>Key Official in charge of the UN Agency/ies' programme(s):</b>  |  |
| <b>Programme location(s):</b>  |  |
| <b>Location of records related to the UN Agency/ies' programme(s):</b>   |  |
| <b>Currency of records maintained:</b>   |  |
| <b>Latest expenditures incurred/reported to UNICEF, UNDP and UNFPA (as applicable). Indicate the amount (in US\$) and the financial reporting period ;</b> |  |
| <b>Current or latest cash transfer modality/ies used by the UN agency/ies to the IP/RP</b>   |  |
| <b>Intended start date of micro assessment:</b>  |  |
| <b>Number of days to be spent for visit to IP/RP:</b>  |  |
| <b>Any special requests to be considered during the micro assessment:</b>  |  |

## Annex 2: Micro Assessment Questionnaire

Please see separately provided excel format for the questionnaire with calculation formulas included, which has to be used. The excel file can also be found at [www.undg.org/](http://www.undg.org/).

### Instructions

This questionnaire contains questions related to seven subject areas. Certain questions are classified as “key questions” indicating that they have a greater impact in assessing the effective functioning of the IP/RP’s control framework.

1. Answer each question by selecting ‘Yes’, ‘No’ or ‘N/A’ (for ‘not applicable’) from the drop down menu in the appropriate column.
2. Use the Risk Assessment column to assign a risk rating (high, significant, moderate or low) for each question based on the response obtained. For example, if the question addresses an item that should ideally be marked ‘Yes’ but was marked ‘No’, it should be assessed for the level of risk it presents to the effective functioning of the IP/RP’s control framework. Assigning risk ratings to each question requires judgment by the assessor as to how the response will impact the effectiveness of the IP/RP’s control framework. **Attention: THE APPROPRIATE RISK ASSESSMENT OR “NOT APPLICABLE” MUST BE SELECTED FOR EACH QUESTION. IF THERE ARE QUESTIONS CONTAINING “ERROR” THE RISK RATING FOR THE CATEGORY AND OVERALL WILL BE WRONGLY CALCULATED!**
3. The risk ratings to be used are:
  - **High** – Response to question indicates a risk to the effective functioning of the IP/RP’s control framework that has a high likelihood of a potential negative impact on the IP/RP’s ability to execute the programme in accordance with the work plan and stated objectives;
  - **Significant** – Response to question indicates a risk to the effective functioning of the IP/RP’s control framework that has a significant likelihood of a potential negative impact on the IP/RP’s ability to execute the programme in accordance with the work plan and stated objectives;
  - **Moderate** – Response to question indicates a risk to the effective functioning of the IP/RP’s control framework that has a moderate likelihood of a potential negative impact on the IP/RP’s ability to execute the programme in accordance with the work plan and stated objectives; or
  - **Low** – Response to question indicates a low risk to the effective functioning of the IP/RP’s control framework and a low likelihood of a potential negative impact on the IP/RP’s ability to execute the programme in accordance with the work plan and stated objectives.
  - *N/A – The specific question is not applicable for the IP/RP and therefore no risk rating is assigned.*
4. The Risk Points column automatically assign points to each question that correlate with the level of risk.
5. Points are assigned as follows:

| Risk rating   | Points: non-key questions | Points: key questions |
|---------------|---------------------------|-----------------------|
| H – High risk | 4 points                  | 8 points              |

|                      |          |          |
|----------------------|----------|----------|
| S – Significant risk | 3 points | 6 points |
| M – Moderate risk    | 2 points | 4 points |
| L – Low risk         | 1 point  | 1 point  |

6. Use the 'Remarks/ comments' column next to each question to provide details of your assessment or to highlight any important matters. This document will be referenced subsequently by the agency when performing additional assurance activities related to the IP/RP. Sufficient details should be provided in this document for the agency to understand the details and rationale for your assessment.

#### Calculation of risk rating per subject area section

For each subject area, the risk points are totaled and divided by the number of applicable questions in that area, to give a risk rating for the subject area. The method of calculation is weighted average, where key questions have double the weight of non-key questions as illustrated in Note 1.

#### Calculation of overall risk rating

For all the questions in the questionnaire, the risk points are totaled and divided by the number of applicable questions, to give an overall average score. The method of calculation is weighted average, where key questions have double the weight of non-key questions as illustrated in Note 1.

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#### Note 1 – Method of assigning risk ratings to risk scores

As per paragraph 5, key questions are assigned double the risk points, resulting in a weighted average method for calculating the overall and by subject area risk rating. Therefore, the risk rating assigned to the key questions have twice the weight in determining the risk rating.

Assume the following two scenarios with the same risk rating for the questions.

- Scenario 1: There are three non-key questions having equal weight
- Scenario 2: The first question is key and the remaining two questions are non-key.

| Scenario 1         | Risk Rating | Points | Scenario 2        | Risk Rating | Points |
|--------------------|-------------|--------|-------------------|-------------|--------|
| Question 1         | High        | 4      | Key Question 1    | High        | 8      |
| Question 2         | Low         | 1      | Question 2        | Low         | 1      |
| Question 3         | Low         | 1      | Question 3        | Low         | 1      |
| Total Risk Points: |             | 6      | Total Risk Points |             | 10     |
| Overall Risk       | Moderate    | 2      | Overall Risk      | Significant | 3.3    |

The Excel spreadsheet automatically assigns the risk rating by using the following algorithm:

- Only the applicable questions are taken into consideration
- The minimum possible points for the subject area are calculated, that is if all questions are assigned low risk rating
- The maximum possible points for the subject area are calculated, that is if all questions are assigned high risk rating

4. The ranges for each risk rating are calculated by evenly distributing between the lowest and highest applicable points
5. The actual risk points are matched with one of the four risk ranges to determine the overall risk category.

The same algorithm is applied when calculated the overall risk rating for the IP/RP.

## Annex 3: Micro Assessment Report Format

### Front Page

|  |
|--|
| Micro Assessment of [Name of the IP/RP]<br>Commissioned by [Name of the UN Agency/ies] Name<br>of the 3 <sup>rd</sup> Party Service Provider<br>Date |
|--|

### Table of Contents

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### 1. Background, Scope and Methodology

#### Background

The micro assessment is part of the requirements under the Harmonized Approach to Cash Transfers (HACT) Framework. The HACT framework represents a common operational framework for UN agencies' transfer of cash to government and non-governmental implementing partners.

The micro-assessment assesses the IP/RP's control framework. It results in a risk rating (low, moderate, significant or high). The overall risk rating is used by the UN agencies, along with other available information (e.g. history of engagement with the agency and previous assurance results), to determine the type and frequency of assurance activities as per each agency's guideline and can be taken into consideration when selecting the appropriate cash transfer modality for an IP/RP.

#### Scope

The micro-assessment provides an overall assessment of the Implementing Partner's programme, financial and operations management policies, procedures, systems and internal controls. It includes:

- A review of the IP/RP legal status, governance structures and financial viability; programme management, organizational structure and staffing, accounting policies and procedures, fixed assets and inventory, financial reporting and monitoring, and procurement;
- A focus on compliance with policies, procedures, regulations and institutional arrangements that are issued both by the Government and the Implementing Partner.

It takes into account results of any previous micro assessments conducted of the Implementing Partner.

#### Methodology

We performed the micro-assessment from [date] to [date] at [describe locations].

Through discussion with management, observation and walk-through tests of transactions, we have assessed the Implementing Partner's and the related internal control system with emphasis on:

- The effectiveness of the systems in providing the Implementing Partner's management with accurate and timely information for management of funds and assets in accordance with work plans and agreements with the United Nations agencies;
- The general effectiveness of the internal control system in protecting the assets and resources of the Implementing Partner.

We discussed the results of the micro assessment with applicable UN agency personnel and the IP/RP prior to finalization of the report. The list of persons met and interviewed during the micro- assessment is set out in Annex III.

## 2. Summary of Risk Assessment Results

*[Executive summary of the overall risk assessment].*

The table below summarizes the results and main internal control gaps found during application of the micro-assessment questionnaire (in Annex IV). Detailed findings and recommendations are set out in section 3. below.

| Tested subject area                      | Risk assessment* | Brief justification for rating (main internal control gaps) |
|--|------------------|---|
| 1. Implementing partner                  |                  |   |
| 2. Programme Management                  |                  |   |
| 3. Organizational structure and staffing |                  |   |
| 4. Accounting policies and procedures    |                  |   |
| 5. Fixed Assets and Inventory            |                  |   |
| 6. Financial Reporting and Monitoring    |                  |   |
| 7. Procurement                           |                  |   |
| Overall Risk Assessment                  |                  |   |

\*High, Significant, Moderate, Low

### 3. Detailed Internal Control Findings and Recommendations

| No. | Description of Finding  | Recommendation   |
|-----|---|--|
| 1.  | <p><b>Example: Insufficient staff training</b></p> <p><i>We noted that staff employed in the accounts department, who were primarily bookkeepers / administrators, had not received training on UN requirements for financial management and reporting, and had received only informal “on the job” training on the GABS accounting system.</i></p> <p><i>Lack of sufficient training increases the risk of error and failure to comply with the UN financial reporting requirements.</i></p> | <p><i>Example:</i></p> <p><i>The organisation should ensure staff are properly trained and aware of UN financial reporting requirements.</i></p> |
|     | <b>Etc</b>  |  |
|     |   |  |
|     |   |  |
|     |   |  |

## Annex I. IP/RP and Programme Information

|  |  |
|--|--|
| <b>Implementing partner name:</b>  |  |
| <b>Implementing partner code or ID in UNICEF, UNDP, UNFPA records (as applicable)</b>  |  |
| <b>Implementing partner contact details (contact name, email address and telephone number):</b>  |  |
| <b>Main programmes implemented with the applicable UN Agency/ies:</b>  |  |
| <b>Key Official in charge of the UN Agency/ies' programme(s):</b>  |  |
| <b>Programme location(s):</b>  |  |
| <b>Location of records related to the UN Agency/ies' programme(s):</b>   |  |
| <b>Currency of records maintained:</b>   |  |
| <b>Expenditures incurred/reported to UNICEF, UNDP and UNFPA (as applicable) during the most recent financial reporting period (in US\$);</b> |  |
| <b>Cash transfer modality/ies used by the UN agency/ies to the IP</b>  |  |
| <b>Intended start date of micro assessment:</b>  |  |
| <b>Number of days to be spent for visit to IP/RP:</b>  |  |
| <b>Any special requests to be considered during the micro assessment:</b>  |  |



## **Annex II. Implementing Partner Organizational Chart**

**Annex III. list of Persons Met**

| Name | Unit/organization | Position |
|------|-------------------|----------|
|      |                   |          |
|      |                   |          |
|      |                   |          |
|      |                   |          |

#### **Annex IV. Micro Assessment Questionnaire**

Include here the completed questionnaire and provide it in original excel format to the UN agency.

## EVALUATION CRITERIA

The evaluation of technical proposal shall be conducted using scoring method (1,000 points), as follows:

| Summary of Technical Proposal Evaluation Forms |  | Points Obtainable |
|--|--|-------------------|
| 1.   | Bidder's qualification, capacity and experience        | 250               |
| 2.   | Proposed Methodology, Approach and Implementation Plan | 350               |
| 3.   | Management Structure and Key Personnel                 | 400               |
|  | <b>Total</b>   | <b>1000</b>       |

| Section 1. Bidder's qualification, capacity and experience |  | Points obtainable |
|--|--|-------------------|
| 1.1  | <p><b>General Organizational Capability which is likely to affect implementation:</b><br/> Firm's profile documentation is relevant and up to date:</p> <ul style="list-style-type: none"> <li>- Firm's standing in the industry (i.e. Age/size of the firm; reference to any certifications, analysis by independent research entities or other information on the firm's reputation...)</li> <li>- Strength of project management support: (i.e. Information on the number for each level of professional staff in the firm, partner/staff ratio)</li> <li>- Physical office presence in Viet Nam with ability to mobilize on site immediately whenever required.</li> </ul> | 70                |
| 1.2  | <p><b>Relevant experience in auditing and micro assessment:</b></p> <ul style="list-style-type: none"> <li>- Number of years of experience in applying international standards for auditing, either ISA or INTOSAI audit standards</li> <li>- Number of micro assessments (or audits and agreed-upon procedures engagements) performed annually by the office.</li> <li>- Can the firm to provide at least 5 references from high-profile clients to support its proposal</li> </ul>   | 45                |

|                        |   |            |
|------------------------|---|------------|
| 1.3                    | <b>Quality Assurance and risk mitigation measures:</b> <ul style="list-style-type: none"> <li>- The firm's internal quality control procedures for specific assignments and the firm's quality assurance program</li> <li>- Historical data of an independent quality assurance review and the nature of that review?</li> <li>- Continuing professional education and/ or training programs that the firm maintains for its staff</li> </ul>                   | 45         |
| 1.4                    | <b>Flexibility and Resilience:</b><br>Arrangements the firm have in place to ensure continuous delivery and high quality of service under the concept of VUCA (i.e. if the key personnel (partners, managers, auditors in charge, specialist auditors) initially proposed for the assignment cannot be made available during the course of the engagement)  | 30         |
| 1.5                    | <b>Familiar with UN agencies and Vietnamese Government:</b> <ul style="list-style-type: none"> <li>- Familiar with the policies, rules and procedures of the UN agencies, especially UNDP and the Government of Vietnam</li> <li>- Experiences in conducting micro assessment or audits for non-profit international organizations, especially with development agencies and UN system</li> <li>- Relevant work experience with UNDP on similar area</li> </ul> | 60         |
| <b>Total Section 1</b> |   | <b>250</b> |

| <b>Section 2. Proposed Methodology, Approach and Implementation Plan</b> |  | <b>Points obtainable</b> |
|--|--|--------------------------|
| 2.1  | <b>Understanding of the requirement:</b> <ul style="list-style-type: none"> <li>- Does the bidder understand well the micro assessment services required?</li> <li>- Have the important aspects of the task been addressed in sufficient details?</li> </ul> | 50                       |
| 2.2  | <b>Approach:</b><br>Is the scope of work in proposal clearly defined and responsive to the TOR's requirement?  | 80                       |

|                        |  |            |
|------------------------|--|------------|
| 2.3                    | <b>Methodology:</b><br>- Does the proposal provide a clear outline of relevant activities to be implemented to effectively and efficiently complete the assignment?<br>- Is the proposal based on a overview of the project environment and was this data input properly used in the preparation of the proposal?  | 70         |
| 2.4                    | <b>Implementation plan:</b><br>- Is the proposed workplan logical and realistic in terms of delivering the quality expected services and products of the assignment while ensuring the assignment's tight deadline?<br>- How well the Bidder's proposal identified pertinent issues and potential problems related to the project & how these might be overcome?<br>- Have the important aspects of the task been addressed in sufficient details? | 100        |
| 2.5                    | <b>Overall review:</b><br>Does the bidder propose relevant technical approach to satisfy the overall assessment services and reporting requirements?   | 50         |
| <b>Total Section 2</b> |  | <b>350</b> |

| <b>Section 3. Management Structure and Key Personnel</b> |   |    | <b>Points obtainable</b> |
|--|---|----|--------------------------|
| 3.1  | Engagement Director & Manager   |    | 120                      |
|  | <i>Relevant Professional and Academic qualifications (ACCA, CPA, equivalent professional certificates and/ or relevant degrees)</i> | 40 |                          |
|  | <i>Recent professional development activities (trainings, workshops attended)</i>   | 20 |                          |
|  | <i>Experience in auditing and assessment of financial management capacity (micro assessment) for ODA projects</i>                   | 30 |                          |
|  | <i>Experience in auditing and assessment of financial management capacity (micro assessment) for UN agencies</i>                    | 20 |                          |
|  | <i>English Language Skills</i>  | 10 |                          |
| 3.2  | Engagement Team Leaders   |    | 130                      |
|  | <i>Relevant Professional and Academic qualifications (ACCA, CPA, equivalent professional certificates and/ or relevant degrees)</i> | 50 |                          |
|  | <i>Recent professional development activities (trainings, workshops attended)</i>   | 20 |                          |

|                        |   |    |            |
|------------------------|---|----|------------|
|                        | <i>Experience in auditing and assessment of financial management capacity (micro assessment) for ODA projects</i>                   | 30 |            |
|                        | <i>Experience in auditing and assessment of financial management capacity (micro assessment) for UN agencies</i>                    | 20 |            |
|                        | <i>English Language Skills</i>  | 10 |            |
| 3.3                    | Engagement Team Members   |    | 150        |
|                        | <i>Relevant Professional and Academic qualifications (ACCA, CPA, equivalent professional certificates and/ or relevant degrees)</i> | 50 |            |
|                        | <i>Recent professional development activities (trainings, workshops attended)</i>   | 20 |            |
|                        | <i>Experience in auditing and assessment of financial management capacity (micro assessment) for ODA projects</i>                   | 30 |            |
|                        | <i>Experience in auditing and assessment of financial management capacity (micro assessment) for UN agencies</i>                    | 30 |            |
|                        | <i>English Language Skills</i>  | 20 |            |
| <b>Total Section 3</b> |   |    | <b>400</b> |

All bids passing the minimum technical score of 700 will be technically qualified for financial evaluation.  
**Submission obtaining the highest weighted points (technical points + financial points) will be selected.**

**Important Notes:**

- Evaluation will be done separately for each of the proposed key personnel (if applicable) and the total personnel score will be the average.
- Please refer to the Submission checklist (Annex 4) for documents to be submitted for the evaluation

## FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL<sup>9</sup>

*(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery<sup>10</sup>)*

[insert: Location].

[insert: Date]

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

Dear Sir/Madam:

We, the undersigned, hereby offer to render the following services to UNDP **in conformity with** the requirements defined in the RFP dated [specify date], and all of its attachments, as well as **the provisions of the UNDP General Contract Terms and Conditions** :

### A. Qualifications of the Service Provider

*The Service Provider must describe and explain how and why they are the best entity that can deliver the requirements of UNDP by indicating the following :*

- a) Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations;*
- b) Business Licenses – Registration Papers, Tax Payment Certification, etc.*
- c) Latest Audited Financial Statement – income statement and balance sheet to indicate its financial stability, liquidity, credit standing, and market reputation, etc. ;*
- d) Track Record – list of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contract references;*
- e) Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.*
- f) Written Self-Declaration that the company is not in the UN Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.*

### Company Profile

| Item Description                            | Detail                           |
|---|----------------------------------|
| Legal name of bidder or Lead entity for JVs | Click or tap here to enter text. |

<sup>9</sup> This serves as a guide to the Service Provider in preparing the Proposal.

<sup>10</sup> Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes



|  |   |
|--|---|
| Legal Address, City, Country   | Click or tap here to enter text.  |
| Website  | Click or tap here to enter text.  |
| Year of Registration   | Click or tap here to enter text.  |
| Legal structure  | Choose an item.   |
| Are you a UNGM registered vendor?  | <input type="checkbox"/> Yes <input type="checkbox"/> No         If yes, insert UNGM Vendor Number  |
| Quality Assurance Certification (e.g. ISO 9000 or Equivalent) <i>(If yes, provide a Copy of the valid Certificate):</i>  | <input type="checkbox"/> Yes <input type="checkbox"/> No  |
| Does your Company hold any accreditation such as ISO 14001 or ISO 14064 or equivalent related to the environment? <i>(If yes, provide a Copy of the valid Certificate):</i>  | <input type="checkbox"/> Yes <input type="checkbox"/> No  |
| Does your Company have a written Statement of its Environmental Policy? <i>(If yes, provide a Copy)</i>  | <input type="checkbox"/> Yes <input type="checkbox"/> No  |
| Does your organization demonstrate significant commitment to sustainability through some other means, for example internal company policy documents on women empowerment, renewable energies or membership of trade institutions promoting such issues <i>(If yes, provide a Copy)</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No  |
| Is your company a member of the UN Global Compact  | <input type="checkbox"/> Yes <input type="checkbox"/> No  |
| Bank Information   | Bank Name: Click or tap here to enter text.<br>Bank Address: Click or tap here to enter text.<br>IBAN: Click or tap here to enter text.<br>SWIFT/BIC: Click or tap here to enter text.<br>Account Currency: Click or tap here to enter text.<br>Bank Account Number: Click or tap here to enter text. |
| Previous relevant experience: 3 contracts  |   |

| Name of previous contracts | Client & Reference Contact Details including e-mail | Contract Value | Period of activity | Types of activities undertaken |
|----------------------------|---|----------------|--------------------|--------------------------------|
|                            |   |                |                    |                                |
|                            |   |                |                    |                                |
|                            |   |                |                    |                                |

#### Bidder's Declaration

| Yes                      | No                       |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Requirements and Terms and Conditions:</b> I/We have read and fully understand the RFQ, including the RFQ Information and Data, Schedule of Requirements, the General Conditions of Contract, and any Special Conditions of Contract. I/we confirm that the Bidder agrees to be bound by them.  |
| <input type="checkbox"/> | <input type="checkbox"/> | I/We confirm that the Bidder has the necessary capacity, capability, and necessary licenses to fully meet or exceed the Requirements and will be available to deliver throughout the relevant Contract period.   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Ethics:</b> In submitting this Quote I/we warrant that the bidder: has not entered into any improper, illegal, collusive or anti-competitive arrangements with any Competitor; has not directly or indirectly approached any representative of the Buyer (other than the Point of Contact) to lobby or solicit information in relation to the RFQ ;has not attempted to influence, or provide any form of personal inducement, reward or benefit to any representative of the Buyer.  |
| <input type="checkbox"/> | <input type="checkbox"/> | I/We confirm to undertake not to engage in proscribed practices, , 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 have read the United Nations Supplier Code of Conduct : <a href="https://www.un.org/Depts/ptd/about-us/un-supplier-code-conduct">https://www.un.org/Depts/ptd/about-us/un-supplier-code-conduct</a> and acknowledge that it provides the minimum standards expected of suppliers to the UN.                        |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Conflict of interest:</b> I/We warrant that the bidder has no actual, potential, or perceived Conflict of Interest in submitting this Quote or entering a Contract to deliver the Requirements. Where a Conflict of Interest arises during the RFQ process the bidder will report it immediately to the Procuring Organisation's Point of Contact.  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Prohibitions, Sanctions:</b> I/We hereby declare that our firm, its affiliates or subsidiaries or employees, including any JV/Consortium members or subcontractors or suppliers for any part of the contract 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 and 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. |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Bankruptcy:</b> I/We 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.  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Offer Validity Period:</b> I/We confirm that this Quote, including the price, remains open for acceptance for the Offer Validity.   |

| Yes                      | No                       |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | I/We understand and recognize that you are not bound to accept any Quotation you receive, and we certify that the goods offered in our Quotation are new and unused.                 |
| <input type="checkbox"/> | <input type="checkbox"/> | By signing this declaration, the signatory below represents, warrants and agrees that he/she has been authorised by the Organization/s to make this declaration on its/their behalf. |

**B. Proposed Methodology for the Completion of Services**

*The Service Provider must describe how it will address/deliver the demands of the RFP; providing a detailed description of the essential performance characteristics, reporting conditions and quality assurance mechanisms that will be put in place, while demonstrating that the proposed methodology will be appropriate to the local conditions and context of the work.*

**C. Qualifications of Key Personnel**

*If required by the RFP, the Service Provider must provide :*

- a) Names and qualifications of the key personnel that will perform the services indicating who is Team Leader, who are supporting, etc.;*
- b) CVs demonstrating qualifications must be submitted if required by the RFP; and*
- c) Written confirmation from each personnel that they are available for the entire duration of the contract.*

**D. Cost Breakdown per Deliverable\***

|   | <b>Deliverables</b><br><i>[list them as referred to in the RFP]</i> | <b>Percentage of Total Price</b><br><i>(Weight for payment)</i> | <b>Price</b><br><i>(Lump Sum, All Inclusive)</i> |
|---|---|---|--|
| 1 | Deliverable 1   |   |  |
| 2 | Deliverable 2   |   |  |
| 3 | ....  |   |  |
|   | Total   | 100%  |  |

*\*This shall be the basis of the payment tranches*

**E. Cost Breakdown by Cost Component [This is only an Example]:**

| <b>Description of Activity</b> | <b>Remuneration per Unit of Time</b> | <b>Total Period of Engagement</b> | <b>No. of Personnel</b> | <b>Total Rate</b> |
|--------------------------------|--------------------------------------|-----------------------------------|-------------------------|-------------------|
| <b>I. Personnel Services</b>   |                                      |                                   |                         |                   |
| 1. Services from Home Office   |                                      |                                   |                         |                   |
| a. Expertise 1                 |                                      |                                   |                         |                   |
| b. Expertise 2                 |                                      |                                   |                         |                   |
| 2. Services from Field Offices |                                      |                                   |                         |                   |
| a. Expertise 1                 |                                      |                                   |                         |                   |
| b. Expertise 2                 |                                      |                                   |                         |                   |
| 3. Services from Overseas      |                                      |                                   |                         |                   |

|                                   |  |  |  |  |
|-----------------------------------|--|--|--|--|
| a. Expertise 1                    |  |  |  |  |
| b. Expertise 2                    |  |  |  |  |
| <b>II. Out of Pocket Expenses</b> |  |  |  |  |
| 1. Travel Costs                   |  |  |  |  |
| 2. Daily Allowance                |  |  |  |  |
| 3. Communications                 |  |  |  |  |
| 4. Reproduction                   |  |  |  |  |
| 5. Equipment Lease                |  |  |  |  |
| 6. Others                         |  |  |  |  |
| <b>III. Other Related Costs</b>   |  |  |  |  |

**We confirm our full acceptance of the UNDP Contract General Terms and Conditions and agree to abide by this Proposal for 120 days from the date of proposal submission deadline.**

|  |  |
|--|--|
| I, the undersigned, certify that I am duly authorized to sign this quotation and bind the company below in event that the quotation is accepted.   |  |
| <i>Exact name and address of company</i><br>Company Name Click or tap here to enter text.<br>Address: Click or tap here to enter text.<br>Click or tap here to enter text.<br>Phone No.: Click or tap here to enter text.<br>Email Address: Click or tap here to enter text. | Authorized Signature:<br>Date: Click or tap here to enter text.<br>Name: Click or tap here to enter text.<br>Functional Title of Authorised Signatory: Click or tap here to enter text.<br>Email Address: Click or tap here to enter text. |

## Contract Templates and General Terms and Conditions

1. Please find below link to the Professional service contract template:

[http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/Contract%20Face%20Sheet%20\(Goods%20and-or%20Services\)%20UNDP%20-%20Sept%202017.pdf](http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/Contract%20Face%20Sheet%20(Goods%20and-or%20Services)%20UNDP%20-%20Sept%202017.pdf)

2. Please find below link to the General Terms and Conditions:

☐

**below US\$ 50,000 (Services only):**

UNDP General Terms and Conditions for Institutional (de minimis) Contracts apply

[http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/3.%20UNDP%20GTCs%20for%20de%20minimis%20Contracts%20\(Services%20only\)%20-%20Sept%202017.pdf](http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/3.%20UNDP%20GTCs%20for%20de%20minimis%20Contracts%20(Services%20only)%20-%20Sept%202017.pdf)

☐

**below US\$ 50,000 (Goods or Goods and Services):**

UNDP General Terms and Conditions for Contracts apply

[http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/2.%20UNDP%20GTCs%20for%20Contracts%20\(Goods%20and-or%20Services\)%20-%20Sept%202017.pdf](http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/2.%20UNDP%20GTCs%20for%20Contracts%20(Goods%20and-or%20Services)%20-%20Sept%202017.pdf)

☐

**equal to or above US\$ 50,000 (Goods and/or Services):**

UNDP General Terms and Conditions for Contract apply

[http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/2.%20UNDP%20GTCs%20for%20Contracts%20\(Goods%20and-or%20Services\)%20-%20Sept%202017.pdf](http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/2.%20UNDP%20GTCs%20for%20Contracts%20(Goods%20and-or%20Services)%20-%20Sept%202017.pdf)

## CHECKLIST OF DOCUMENTS SUBMITTED BY BIDDERS

**Note:**

- Bidders are required to review carefully this checklist before submitting proposal to ensure complete submission.
- Maximum email size: **30 MB**/email. Bidders can split proposal into several emails if the file size is large.
- Technical and Financial Proposals are to be submitted in separate envelopes/emails before or by **Thursday, September 15, 2022** (Hanoi time).
- Email and proposal should indicate clearly the reference and name of tender.

| Item | Documents  | To be completed by bidders |                 |         |
|------|--|----------------------------|-----------------|---------|
|      |  | Doc submitted Y/N          | Number of pages | Remarks |
| 1    | Fully filled Technical proposal (pls. refer to the guidelines in Annex 2) with copies/scan of appropriate supporting documents:  |                            |                 |         |
|      | a) Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations   |                            |                 |         |
|      | b) Business Licenses – Registration Papers and/or Tax Payment Certification, etc.  |                            |                 |         |
|      | c) Track Record – list of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contact references      |                            |                 |         |
|      | d) Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc. (if any)                                     |                            |                 |         |
|      | e) Proposed Methodology for the Completion of Services   |                            |                 |         |
|      | f) Names and qualifications of the key personnel that will perform the services indicating who is Team Leader, who are supporting, etc.;   |                            |                 |         |
|      | g) Detailed CVs of the proposed personnel with copies of required certificates/degrees   |                            |                 |         |
| 2    | Duly signed Price Schedule (pls. use the template in Annex 2 and separate the technical and financial proposals)   |                            |                 |         |
| 3    | Bidder confirms its full acceptance of the UNDP Contract General Terms and Conditions and agrees to abide by this Proposal for 120 days from the date of proposal submission deadline. |                            |                 |         |
| 4    | Bidder confirms that it will issue official invoices (hóa đơn tài chính) for payment under this contract.  |                            |                 |         |

|   |  |  |  |  |
|---|--|--|--|--|
| 5 | This duly filled, checked, certified submission checklist to be attached to the submission   |  |  |  |
| 6 | Send a separate email (without attachment) to <a href="mailto:procurement.vn@undp.org">procurement.vn@undp.org</a> notifying that you already submitted proposal and the number of email(s) submitted. Notification email should be sent to above address by submission deadline or right after you submit proposals |  |  |  |

*[Name and Signature of the Service Provider's Authorized Person]*

*[Designation]*

*[Date]*