



## REQUEST FOR PROPOSAL (RFP)

<b>National firms/institutions/organizations</b>	DATE: September 19, 2022
	REFERENCE: <b>B-220903</b>

Dear Sirs/Madame:

We kindly request you to submit your proposal to **conduct research on the current landscape and test innovative solutions to accelerate the development of the Viet Nam Social Impact Businesses ecosystem**

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

Proposals may be submitted on or before **Sunday, October 09, 2022** and via email to the address below:

[bid.submission.vn@undp.org](mailto:bid.submission.vn@undp.org)

With subject line:

**B-220903 Conduct research on landscape & test solutions for development of Vietnam SIB ecosystem**

(Maximum size per email: **30 MB**. Bidders can split proposal into several emails if the file size is large. 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).

Your Proposal must be expressed in the **English**, and valid for a minimum period of **120 days**

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. 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/unsc/conduct\\_english.pdf](https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unsc/conduct_english.pdf)

**Thank you and we look forward to receiving your Proposal.**

**Sincerely yours,**

*Tran Thi Hong,  
Head of Procurement Unit,  
9/19/2022*

### Description of Requirements

Brief Description of the Required Services <sup>1</sup>	Conduct research on the current landscape and test innovative solutions to accelerate the development of the Viet Nam Social Impact Businesses ecosystem
List and Description of Expected Outputs to be Delivered	Please see Sections 3 in the attached TOR (Annex 1)
Person to Supervise the Work/Performance of the Service Provider	Please see Sections 5 in the attached TOR (Annex 1)
Location of work	<input checked="" type="checkbox"/> Exact Address: Ha Noi, Viet Nam <input type="checkbox"/> At Contractor's Location
Expected duration of work	October 2022 – March 2023
Target start date	October 2022
Latest completion date	March 2023
Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal)	<input type="checkbox"/> Office space and facilities <input type="checkbox"/> Land Transportation <input type="checkbox"/> Others <i>[pls. specify]</i>
Implementation Schedule indicating breakdown and timing of activities/sub-activities	<input checked="" type="checkbox"/> Required <input type="checkbox"/> Not Required
Names and curriculum vitae of individuals who will be involved in completing the services	<input checked="" type="checkbox"/> Required <input type="checkbox"/> Not Required

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

Currency of Proposal	<input type="checkbox"/> United States Dollars <input checked="" type="checkbox"/> <b>Vietnamese dong</b>
Value Added Tax on Price Proposal	<input checked="" type="checkbox"/> <b>must be inclusive of VAT and all applicable taxes</b> <input type="checkbox"/> must be exclusive of VAT and other applicable indirect taxes <i>The contractor <b>is required</b> to <b>issue tax receipt(s) (xuất hóa đơn tài chính)</b> for the total contract value.</i>
Validity Period of Proposals ( <i>Counting for the last day of submission of quotes</i> )	<input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input checked="" type="checkbox"/> 120 days  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 <input type="checkbox"/> Permitted <i>[pls. provide conditions for partial quotes, and ensure that requirements are properly listed to allow partial quotes (e.g., in lots, etc.)]</i>
Payment Terms	As defined in the attached TORs
Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment	As defined in the attached TORs
Type of Contract to be Signed	<input type="checkbox"/> Purchase Order <input type="checkbox"/> Institutional Contract <input checked="" type="checkbox"/> Contract for Professional Services <input type="checkbox"/> Long-Term Agreement <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) <input checked="" type="checkbox"/> Full acceptance of the UNDP Contract General Terms and Conditions (GTC). 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.
Criteria for the Assessment of Proposal	<b>Technical Proposal (70%)</b> <input checked="" type="checkbox"/> Expertise of the Firm <i>[indicate percentage]</i> <input checked="" type="checkbox"/> Methodology, Its Appropriateness to the Condition and Timeliness of the Implementation Plan <i>[indicate percentage]</i> <input checked="" type="checkbox"/> Management Structure and Qualification of Key Personnel and other requirements (please refer to Evaluation Criteria in the TOR for preparation and submission)

	<b>Financial Proposal (30%)</b> To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP.
UNDP will award the contract to:	<input checked="" type="checkbox"/> One and only one Service Provider <input type="checkbox"/> One or more Service Providers, depending on the following factors
Contract General Terms and Conditions <sup>2</sup>	<input checked="" type="checkbox"/> General Terms and Conditions for contracts (goods and/or services)  Applicable Terms and Conditions are available at:  <a href="http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html">http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html</a>
Annexes to this RFP <sup>3</sup>	<input checked="" type="checkbox"/> Form for Submission of Proposal (Annex 2) <input type="checkbox"/> Others:
Contact Person for Inquiries  (Written inquiries only) <sup>4</sup>	<i>Quach Thuy Ha</i> <i>Procurement Associate</i> <i>quach.thuy.ha@undp.org</i> 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]	N/A

<sup>2</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>3</sup> Where the information is available in the web, a URL for the information may simply be provided.

<sup>4</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

<b>Service</b>	<b>Conduct research on the current landscape and test innovative solutions to accelerate the development of the Viet Nam Social Impact Businesses ecosystem</b>
<b>Duty station:</b>	Hanoi, Viet Nam
<b>Expected Duration</b>	October 2022- March 2023
<b>Contractor</b>	National consultancy firm or consortium
<b>Reporting to</b>	UNDP Programme Analyst

### 1. GENERAL BACKGROUND

The project “Leveraging Viet Nam’s Social Impact Business Ecosystem in Response to COVID-19” (ISEE- COVID project), with sponsorship from the Global Affairs Canada, is co-implemented by UNDP and Agency of Enterprise Development (AED), Ministry of Planning and Investment. The project aims to enhance the resilience of social impact businesses (SIBs) in Viet Nam and contribute to reducing the impact of COVID-19 on vulnerable groups, especially women and girls. The ISEE COVID project has two primary objectives: (i) improving the effectiveness of SIBs, especially those led by women and vulnerable groups, to address the social and gendered impacts of COVID-19 and accelerate the achievement of the SDGs; and (ii) strengthening the regulatory environment for SIBs to be more gender-responsive, inclusive and transparent, thereby supporting the resilience of SIBs to COVID-19 impact, with a particular focus on SIBs that are led by women and other vulnerable groups.

In 2018, UNDP Viet Nam conducted research and consultations on the current situation of different types of SIBs and the impact of COVID-19 on the SIBs and SIB intermediaries. The findings were reflected in the “Fostering the growth of the Social Impact Business Sector in Viet Nam” <sup>5</sup>

<sup>5</sup> <https://www.undp.org/vietnam/publications/fostering-growth-social-impact-business-sector-viet-nam>

report. At the beginning of the ISEE-COVID project, UNDP conducted a baseline assessment, which revealed general challenges of the SIB ecosystem to be (i) Number of stakeholders in the SIB ecosystem is still small compared to the other business ecosystem and (ii) Lack of effective mechanisms to connect the stakeholders in the ecosystem. Based on these two research, the project wishes to have a complete picture of the Viet Nam SIB Ecosystem in 2022 and find the appropriate way to accelerate its development by conducting (i) A research on the supporting ecosystem for SIBs and (ii) the perception of the ecosystem actors on the understanding of the term “Social Impact Businesses”. From the results of this research, some of the capacity-building activities for the SIB intermediaries will be implemented.

Additionally, in 2020, UNDP started an experiment of an "Impact Measurement and Management course" in Viet Nam. This course is designed around the fundamental elements of the SDG Impact Standards<sup>6</sup>, the only management standards that embed sustainability at the core of an organization in the holistic way intended by the creators of the SDGs. The course demonstrates how the SDG Impact Standards help organizations align with responsible business principles, other standards, and best practices in impact management. The course was tested under “Impact Aim Viet Nam”. It was taught through Zoom, in English by the international UNDP experts and Vietnamese experts to around 20 participants including (i) impact startups on the environment, climate change in general, and reduction of plastic pollution in particular, and (ii) some individuals intermediaries. The main results of this experiment are: (i) 3 impact startups completed the IMM reports, (ii) 20 people have knowledge and practices in applying IMM for businesses, and (iii) IMM training curriculum in English. Recently, the UNDP and Duke University also launched the online IMM course<sup>7</sup>, which will have the Vietnamese subtitle very soon. However, as only the impact startups (in the environment& climate change sector) and relevant stakeholders participated in the course, all training materials are in English, and the main trainers were foreigners, in 2022, UNDP would like to localize the training materials and introduce the course fully in Vietnamese for the SIBs in agriculture and tourism areas. The SIBs also need to test to apply the IMM framework in their businesses.

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<sup>6</sup> <https://sdgimpact.undp.org/>

<sup>7</sup> <https://www.coursera.org/lecture/impact-for-sdgs/welcome-to-imm-for-sdgs-8ains>

UNDP will commission a national consultancy firm or consortium to conduct research on the current landscape of the Viet Nam SIB Supporting Ecosystem, implement the capacity building activities for SIB intermediaries and to test the readiness and responsiveness of the ecosystem's stakeholders with two testing interventions: (i) the Vietnamese IMM course and (ii) the series events to strengthen the connections among SIB ecosystem stakeholders.

## **2. OBJECTIVES OF THE ASSIGNMENT**

Contribute to accelerating the development of the SIB ecosystem in Viet Nam by:

1. Mapping and analyzing the current landscape and development trend of the existing supporting ecosystem for SIBs
2. Suggesting the appropriate interventions to accelerate the ecosystem development
3. Implement the capacity-building activities for SIB intermediaries
4. Testing solutions and sharing results, lessons learned widely

## **3. SCOPE, TASKS, AND DELIVERABLES WITH TIMELINES OF CONSULTANCY SERVICE**

The firm will need to complete the 4 main outputs:

1. A report on the current development of the Viet Nam Social Impact Business Supporting Ecosystem in Viet Nam
2. 02 capacity-building activities for SIB intermediaries will be implemented
3. A short report on the readiness and responsiveness of the Viet Nam SIB Ecosystem with two testing interventions: (i) the Vietnamese Impact Measurement and Management course and (ii) a series of activities to strengthen the connection among intermediaries, SIBs, and impact investors
4. 01 launching event of reports held

The detailed requirements are mentioned below:

### **1. A report on the current development of the Viet Nam SIB supporting ecosystem:**

The firm needs to complete the following tasks:

1. Reviewing ecosystem:
2. Desk research, collect the databases of the SIB supporting ecosystem



3. Mapping the ecosystem, including the list of stakeholders specify by type, sector, size, function...
4. Assess the ecosystem's key stakeholders and the relationship among them
5. Finding gaps and challenges:
6. Direct interviews with the key stakeholders
7. Indirect interviews through survey  
Note: the firms could suggest the number of responses, to ensure the results could represent the ecosystem but no less than 100 responses
8. Suggesting the intervention, and strategic plans to accelerate the ecosystem development
9. Desk research the successful stories at the global, national, and local level on business ecosystem building
10. Suggest the appropriate interventions and role of relevant stakeholders
11. Consulting stakeholders and SIBs on the term "Social Impact Business":
12. Consult the stakeholders on the appropriation term to call this group, relevant to the existing supporting law, registration, and in line with other countries.
13. Organize at least two consultation meetings (could be in-person events, online events, or hybrid events) to consult the stakeholders on the appropriation of the term "Social Impact Business."
14. From the consultation results and global best practices, suggest the appropriate term to call these businesses. The consultation results will be used to formulate the common definition of this type of business.

### **3.2 A short report on the readiness and responsiveness of the Viet Nam SIB Ecosystem with two testing solutions :**

#### **1. *Localizing the Impact Measurement and management course:***

The Impact Measurement and Management (IMM) framework will be designed and trained for technical experts of intermediaries (coaches, mentors...) and the Social impact businesses owners, who are directly involved in the design of the business strategies, and operate the daily business work (human resources management, finance, and administrations). The Framework measures business impact on the community and environment, facilitates a gender-inclusive culture in the workplace, and enables safety and equal working conditions for women and other vulnerable groups. The framework also benefits SIBs in presenting their

impacts systematically to investors, strengthening the case for investment, as well as accrediting high-impact SIBs as a means of promoting their products and services to the market.

This framework will be further developed based on:

15. The Impact Measurement and Management (IMM) course, which was collaboratively developed by Impact Aim, UNDP Viet Nam for the EPPIC's incubation program, focuses on the environment, climate change in general, and the reduction of plastic pollution.
16. The IMM online course by UNDP and Duke University

The firm is expected to:

1. Develop and localize the comprehensive content of the IMM framework and course in Vietnamese
2. Organize the in-person training on IMM for SIBs, and conduct the coaching 1:1 for SIB to apply the framework

#### **Requirement on the IMM training**

The firm needs to organize the in-person training in Ha noi on IMM for 25 participants from at least 10 SIBs with the following requirements:

Duration: 3 days

The national firm needs to organize and cover the logistic, and travel costs:

- Logistic cost: venue, the accommodation for 15 participants who live outside of Hanoi in three days, meals, 2 tea breaks for all participants and organizers
- Travel cost: provide travel costs for the 10 participants from Ho Chi Minh city/South region to Hanoi, 5 participants from the Central area to Hanoi (by plan, economic class)
- Other relevant costs

Besides the key personnel of the firm, up to 3 trainers/keynote speakers could be recruited. The detailed TORs need to be consulted with and approved by UNDP before recruitment.

### **Requirement for the IMM coaching**

From the 25 participants who join the training, select up to 5 SIBs to receive the coaching programme in 3 months to apply the IMM framework.

The firm needs to complete the following activities:

1. Analyze the strength and weaknesses of the 5 SIBs who join the coaching programme. From that, develop the roadmap for each SIB to apply IMM framework and complete the IMM report
2. Organize the online coaching sessions (1:1) with SIB 2 times per month: the master coach will provide coaching services for SIBs.
3. Each month, organize at least one online meeting for all participants with the 2 sessions: (i) sharing or training on the actual need-based topics with the professional experts and (ii) reflecting and updating the coaching progress. The firms could hire 2-3 experts in the fields of agriculture and tourism to provide technical inputs for the SIBs while applying IMM. For experts, have at least 5 years of relevant experience in relevant areas. The detailed TORs need to be consulted with and approved by UNDP before recruitment.

### ***3.2.2. Strengthening the connection among intermediaries, SIBs and impact investors in Viet Nam***

Under this activity, the consultancy firm is expected to:

4. Strengthen the connections among the intermediaries in the SIB Ecosystem by setting up the SIB Intermediaries working groups to share experiences and resources in supporting SIBs
5. Organize 2 quarterly meetings on half day, one in Ha Noi and one in Ho Chi Minh City, and 1 national meeting for the intermediaries in Hanoi, which the possibility to engage with the intermediaries in the Asia Pacific regions with at least 20 participants on site (as the hybrid event, international guests could join online)
6. Connect the Impact Investors with the SIB ecosystem in Viet Nam by suggesting and organizing the relevant events

#### **1. Organize 2 capacity building activities for the SIB intermediaries**

Under this task, the contractor needs to:

- Organize 1 study tour in 3 days in Viet Nam for at least 25 people from the SIB intermediaries sector to deepen their understanding of the state of SIBs, other intermediaries, and impact investors
- Organize one in-person training in Hanoi in 2 days for at least 25 people from the SIB intermediaries sector. The topic will be chosen based on their needs in the research above.

### **Deliverable Table**

Deliverable	Description	Expected results	Deadline
<b>Deliverable 1</b>	Complete a master workplan of all tasks above	Detailed work plan with a timeline	10 October 2022
<b>Deliverable 2: A research on the current development of the Viet Nam SIB supporting ecosystem</b>			
	2a) Develop the research methodology and framework, questionnaires for direct interview and survey	7. A completed research methodology and framework 8. A set of questionnaires for survey and direct interview to assess of the current situation of the SIBs supporting ecosystem, with an in-depth analysis on gender and social & environmental aspects.	30 October 2022
	2b) Conduct and consult the initial research findings with all relevant stakeholders	9. A draft of at least 25 pages report (including the SIB supporting ecosystem map) with findings and recommendations for consultation 10. A half day hybrid consultation workshop in Ha Noi for at least 20 participants on-site convened to discuss the draft report before finalization	20 December 2022
	2c) Share the research findings with relevant stakeholders and the public	11. A final of at least 25 pages research report in both English and Vietnamese, ready for official launch; and,	20 January 2023

		12. A half-day official hybrid launch in Ha Noi for at least 20 participants on site of the research findings and a press release in both English and Vietnamese sent to relevant stakeholders for further impact generation.	
<b>Deliverable 3: Localizing the impact Measurement and Management course</b>			
	3a) Complete the localization of the IMM framework and reference materials	<p>4. Detailed content, timeframe, and expected results for training and coaching</p> <p>5. List of main trainers, mentors, coaches, and supporters with their CVs</p> <p>6. Pre and post-training evaluation forms and relevant templates for IMM Framework practicing and application</p> <p>7. A Manual guideline on how to use IMM Framework for the TOT purpose</p>	30 October 2022
	3b) Call for applications & select the most suitable participants	<p>1. A recruitment plan, selection criteria, and template of the Call for expression of interest developed, with the aim to attract at least 40 applicants</p> <p>2. Top 25 participants from SIBs selected, with 10 participants from Ho Chi Minh city/South region to Hanoi, 5 participants from the Central area to Hanoi (travel by plane, economic class) (UNDP Programme Analyst will directly join as a member of the selection board to select these 25-30 participants)</p> <p>3. Results of the pre-evaluation of the understanding of IMM for 25 participants</p>	15 November 2022

	3c) Organize the training on IMM for SIBs	<ul style="list-style-type: none"> <li>- The training will be held successfully: at least 85% of participants have good evaluations about the logistics and quality of trainers, master coach</li> <li>- List of participants and trainers, coaches</li> <li>- Pre and post-training evaluation forms of the participants</li> </ul>	10 December 2022
	3d) Conduct the coaching 1:1 for SIB to apply the IMM framework	<ol style="list-style-type: none"> <li>1. 3 experts recruited</li> <li>2. 5 road maps to apply IMM framework for 5 SIBs</li> <li>3. Monthly report of the coaching sessions for SIB</li> </ol> <ol style="list-style-type: none"> <li>1. At least 05 SIBs completed the coaching session and complete the IMM reports</li> </ol>	15 December 2022- 15 March 2023
<b>Deliverable 4: Strengthening the connection among intermediaries, SIBs and impact investors in Viet Nam</b>			
	4a) Set up the SIB Intermediaries working group	2. At least 10 intermediaries join the SIB intermediaries working groups	30 October 2022
	4b) Organize 2 quarterly meetings and 1 national meeting for the intermediaries in Viet Nam	<ol style="list-style-type: none"> <li>3. 2 quarterly meetings for the intermediaries on half day, one in Ha Noi and one in Ho Chi Minh City, and 1 national meeting in Hanoi will be held, which the possibility to engage with the intermediaries in the Asia Pacific regions with at least 20 participants on site (as the hybrid event, international guests could join online)</li> <li>4. Agenda of the meetings</li> </ol>	20 December 2022

		5. List of participants of each meeting 6. Reports of meetings 7. A work plan for the SIB intermediaries working group in 2023	
	4c) Connect the Impact Investors with the SIB ecosystem in Viet Nam by suggesting and organizing the relevant events	<ul style="list-style-type: none"> <li>• A workplan for strengthening the connection among impact investors and the SIB ecosystem in 2023</li> <li>• Agenda of the meetings</li> <li>• List of participants of each meeting</li> <li>• Reports of meetings</li> </ul>	31 December 2022
Deliverable 5: Organize 2 capacity building activities for the SIB intermediaries			
	5a) Call for applications & select the most suitable participants	8. A recruitment plan, selection criteria, and template of the Call for expression of interest developed, with the aim to attract at least 40 applicants  9. 50 participants from SIBs intermediaries sectors selected, with 30 participants in Hanoi or the North, 20 participants in the South and in the Central of Viet Nam (UNDP Programme Analyst will directly join as a member of the selection board to select these 50 participants)	15 December 2022
	5a) Organize 1 study tour for 25 people in 3 days in Viet Nam to strengthen the connection between SIB intermediaries, SIB,	10. The study tour will be organized successfully with at least 85% participants satisfied with the quality 11. Agenda of the study tour 12. List of participants 13. Report of the study tour	30 January 2023



	and impact investors		
	5b) Organize one in-person training in 2 days for at least 25 people from the SIB intermediaries sector in Ha Noi	<ul style="list-style-type: none"> <li>- The training will be held successfully: at least 85% of participants have good evaluations about the logistics and quality of trainers, master coach</li> <li>- List of participants and trainers, coaches</li> <li>- Pre and post-training evaluation forms of the participants</li> </ul>	30 March 2023
<b>Deliverable 6</b>	Documentation and sharing the lessons learned	<ul style="list-style-type: none"> <li>14. 01 short report at least 10 pages on the responsiveness and readiness of the stakeholders with the activities under deliverable 4 and 5</li> <li>15. Photos and raw footage videos of the relevant events</li> <li>16. 01 well-made video of all activities above</li> </ul>	30 March 2023

**Note: All required documents and reports need to be written in English and Vietnamese.**

#### **4. DURATION OF ASSIGNMENT, DUTY STATION, AND EXPECTED PLACES OF TRAVEL**

The duration of the consultancy starts from the date both parties shall have signed the consultancy contract. The Service provider is expected to provide services specified in this TOR from **October 2022 to March 2023**

The location of this assessment will be home-based, with the travel to Hanoi, Ho Chi Minh City to organize the events.

#### **5. PROVISION OF MONITORING AND PROGRESS CONTROLS**

The work of the consultancy firm will be monitored by the UNDP Program Analyst, based on the key milestones/deliverables and timelines as noted above. Following the first briefing meeting of UNDP and the selected consultancy firm at the outset of the assignment, the firm will start implementing the first task. The UNDP agreement and endorsement of the deliverables will allow the consultancy firm to implement the next tasks.

## 6. DOCUMENTS AND SUPPORT FROM UNDP

UNDP will provide the following relevant background documents to the selected firm:

- Project summary of the ISEE-COVID project
- The training materials of the last IMM training by UNDP Impact Aim Viet Nam
- Other documents, reports, and data that are relevant and available.

UNDP is not required to provide any physical facility for the work of the consultancy institution. However, venues for some technical meetings/consultations can be provided, at the discretion of UNDP as necessary. The UNDP team will provide technical inputs for the firm to design and implement the framework

## 7. EXPECTED COMPOSITION OF THE CONSULTANCY TEAM AND QUALIFICATION AND EXPERIENCE REQUIREMENTS FOR THE TEAM MEMBERS:

The requirements for the firm and the key personnel are below:

*The national firm should meet the following criteria:*

- At least 8 years of experience in (i) conducting the research/ assessments on SIB and the relevant stakeholders, (ii) developing and organizing the capacity-building programme (especially on IMM), (iii) supporting the connections, networks of the SIBs, SIB intermediaries
- Has a solid background, and knowledge about the development of the Viet Nam SIB Ecosystem, Sustainable Development Goals, and other gender, social & environmental related issues
- Strong network & relationship with the domestic, ASEAN partners of impact businesses, impact investors

It is expected that the consultancy firm will consist of at least 04 key members, including (i) a National Team leader; (ii) a National expert on SIB??; (iii) a National Communication & Event coordinator; and (iv) a National Finance and administration coordinator.

### 7.2 01 National Team leader:

#### Qualification:

- Master's degree in economics, social sciences, businesses, law or related fields;
- At least 5 years of experience in conducting research on SIB and SIB ecosystem, initiating and supporting the SIB networks and communities, leading the capacity building programmes for SIB, intermediaries
- Good understanding of Vietnamese and regional impact businesses and impact investors ecosystem

- Has knowledge and working experience in (i) supporting vulnerable groups, (ii) gender, and social & environmental related issues and (iii) supporting the SIB to measure and manage impact are strong assets
- Communicating and writing report skills in English and Vietnamese (02 report samples are required to submit);

### **7.3 01 National Expert on SIB:**

#### ***Qualification:***

- University degree in economics, social sciences, businesses, law, or related fields;
- At least 4 years of experience in supporting and organizing capacity building programmes, networking events for enterprises/ SIBs, SIB intermediaries
- Good understanding of the Vietnamese SIB ecosystem, good connection with the stakeholders
- Has knowledge and working experience in (i) supporting vulnerable groups, (ii) gender, and social & environmental related issues and (iii) conducting research on businesses/SIB are strong assets

### **7.4 01 National Communication and Event Coordinator**

#### ***Qualifications***

- University degree in media relations, journalism, media studies, social science, humanities, or related fields
- A minimum of 2 years working experience in the area of communication, public relation for the development project
- Experience in organizing online and in-person events
- Experience in producing communications products like infographics, short video clips, Twitter and Facebook posts with links to relevant products; Graphic design capabilities are a vital asset;

### **7.5 01 National Finance and administration supporter:**

#### **Qualifications**

- University degree in business, finance, sustainable development or a related field;
- A minimum of 2 years working experience in the area of accounting, finance, and administration for the development projects or businesses
- Experiences in financial management, project management, and logistics for the workshop, training, challenges, etc.

## **8. PAYMENT TERMS**

Interested consultancy institutions should propose detailed budgets for each deliverable of this TOR, including consultancy fees, travel expenses (if needed), and other related costs.

Milestones for payment:

**First payment of 50%** of the total contract value upon the submission and UNDP acceptance of deliverables 1 and 2a)

**Last payment of 50%** of the total contract value upon submission and UNDP acceptance of all remaining deliverables.

## EVALUATION CRITERIA

Technical Proposal Evaluation		Max. points
<b>Form 1: <u>Expertise and Capacity of Firm / Organization submitting a proposal</u></b>		<b>250</b>
	At least 8 years of experience in (i) conducting the research/ assessments on SIB and the relevant stakeholders, (ii) developing and organizing the capacity-building programmes (especially on IMM), and (iii) supporting the connections, networks of the SIBs, SIB intermediaries	100
	Has a solid background, knowledge about the development of the Viet Nam SIB Ecosystem, Sustainable Development Goals, and other gender, social & environmental related issues	100
	Strong network & relationship with the domestic, ASEAN partners of impact businesses, impact investors	50
<b>Form 2: Technical proposal</b>		<b>150</b>
	Understanding of the ToR	50
	The soundness of the proposed technical solutions: methodology	50
	Timeliness and allocation of recourses;	30
	Identification of challenges and propose solutions	20
<b>Form 3: Personnel</b>		
• <b>National Team Leader</b>		<b>300</b>
	Master's degree in economics, social sciences, businesses, law, or related fields;	50
	At least 5 years of experience in leading the research on SIB và SIB ecosystem, initiating and supporting the SIB networks and communities, leading capacity building programmes for SIB, intermediaries	70
	Good understanding of Vietnamese and regional impact businesses and impact investors ecosystem	70
	Has knowledge and working experience in (i) supporting vulnerable groups, (ii) gender, and social & environmental related issues, and (iii)	60

	supporting SIB in measurement and management impact are the strong assets	
	Communicating and writing report skills in English and Vietnamese (02 report samples are required)	50
	<b>• 01 National Expert on SIB</b>	<b>100</b>
	University degree in economics, social sciences, businesses, law or related fields;	30
	At least 4 years of experience in supporting and organizing the capacity building programmes, the networking events for enterprises/ SIBs, SIB intermediaries	30
	Good understanding of the Vietnamese SIB ecosystem, good connection with the stakeholders	20
	Has knowledge and working experience in (i) supporting vulnerable groups, (ii) gender, and social & environmental related issues and (iii) conducting research on businesses/SIB are strong assets	20
	<b>• 01 National Communication and Event Coordinator</b>	<b>100</b>
	University degree in media relations, journalism, media studies, social science, humanities, or related fields	20
	A minimum of 2 years working experience in the area of communication, public relation for the development project	30
	Experience in organizing both online and in person events	30
	Experience in producing communications products like infographics, short video clips, Twitter and Facebook posts with links to relevant products; Graphic design capabilities are a vital asset;	20
	<b>4. 01 National Finance and administration coordinator</b>	<b>100</b>
	University degree in business, finance, sustainable development or a related field;	50
	A minimum of 2 years working experience in the area of accounting, finance, administration for the development projects or businesses	30
	Experiences in financial management, project management, logistic arrangement for the bootcamp, workshop, training, challenges...	20

## ANNEX 2

### FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL<sup>8</sup>

*(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery<sup>9</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:

#### 1. 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 :*

- 1. Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations;*
- 2. Business Licenses – Registration Papers, Tax Payment Certification, etc.*

- 3. Latest Audited Financial Statement – income statement and balance sheet to indicate Its financial stability, liquidity, credit standing, and market reputation, etc. ;*
- 4. Track Record – list of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contact references;*
- 5. Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.*
- 6. 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.*

<sup>8</sup> This serves as a guide to the Service Provider in preparing the Proposal.

<sup>9</sup> Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes



## 2. 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.*

## 3. Qualifications of Key Personnel

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

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

## 4. Cost Breakdown per Deliverable\*

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

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

*\*\* The contractor is required to issue tax receipt(s) (xuất hóa đơn tài chính) for the total contract value.*

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

Description of Activity	Remuneration per Unit of Time	Total Period of Engagement	No. Of Personnel	Total Rate
<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>				
<b>IV. Tax (all applicable tax)</b>				

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



**GENERAL TERMS AND CONDITIONS FOR  
INSTITUTIONAL (DE MINIMIS) CONTRACTS  
(FOR CONTRACTS LESS THAN US\$ 50,000)**

This Contract is between the United Nations Development Programme, a subsidiary organ of the United Nations established by the General Assembly of the United Nations (hereinafter “UNDP”), on the one hand, and a company or organization indicated in the Face Sheet of this Contract (hereinafter the “Contractor”), on the other hand.

**1. LEGAL STATUS OF THE PARTIES:** UNDP and the Contractor shall be referred to as a “Party” or, collectively, “Parties” hereunder, and:

**1.1** Pursuant, *inter alia*, to the Charter of the United Nations and the Convention on the Privileges and Immunities of the United Nations, the United Nations, including its subsidiary organs, has full juridical personality and enjoys such privileges and immunities as are necessary for the independent fulfillment of its purposes.

**1.2** The Contractor shall have the legal status of an independent contractor *vis-à-vis* UNDP, and nothing contained in or relating to the Contract shall be construed as establishing or creating between the Parties the relationship of employer and employee or of principal and agent. The officials, representatives, employees, or subcontractors of each of the Parties shall not be considered in any respect as being the employees or agents of the other Party, and each Party shall be solely responsible for all claims arising out of or relating to its engagement of such persons or entities.

**2. OBLIGATIONS OF THE CONTRACTOR:**

**2.1** The Contractor shall perform and complete the services described in the Terms of Reference and Schedule of Payments (hereinafter the “Services”), with due diligence and efficiency, and in accordance with this Contract. The Contractor shall also provide all technical and administrative support needed in order to ensure the timely and satisfactory performance of the Services.

**2.2** The Contractor represents and warrants the accuracy of any information or data provided to UNDP for the purpose of entering into this Contract, as well as the quality of the deliverables and reports foreseen under this Contract, in accordance with the highest industry and professional standards.

**2.3** All time limits contained in this Contract shall be deemed to be of the essence in respect of the performance of the provision of the Services.

**3. LONG TERM AGREEMENT:** If the Contractor is engaged by UNDP on the basis of a long-term agreement (“LTA”) as indicated in the Face Sheet of this Contract, the following conditions shall apply:

**3.1** UNDP does not warrant that any quantity of Services shall be ordered during the term of the LTA.

**3.2** Any UNDP business unit, including, but not limited to, a Headquarters unit, a Country Office or a Regional Centre, as well as any United Nations entity, may benefit from the retainer and order Services from the Contractor hereunder.

**3.3** The Contractor shall provide the Services, as and when requested by UNDP and reflected in a purchase order, which shall be subject to the terms and conditions stipulated in this Contract. For the avoidance of doubt, UNDP shall acquire no legal obligations towards the Contractor unless and until a purchase order is issued.

**3.4** The Services shall be at the Discount Prices annexed hereto. The prices shall remain in effect for a period of three years from the Starting Date stated in the Face Sheet of this Contract.

**3.5** In the event of any advantageous technical changes and/or downward pricing of the Services during the term of the retainer, the Contractor shall notify UNDP immediately. UNDP shall consider the impact of any such event and may request an amendment to the retainer.

**3.6** The Contractor shall report semi-annually to UNDP on the Services provided, unless otherwise specified in the Contract. Each report should be submitted to the UNDP Contact Person indicated in as indicated in the Face Sheet hereto, as well as to a UNDP business unit that has placed a purchase order for the Services during the reporting period.

**3.7** The LTA shall remain in force for the maximum period of two years and may be extended by UNDP for one additional year by mutual agreement of the Parties.

#### **4. PRICE AND PAYMENT:**

**4.1 FIXED PRICE:** If Fixed Price is chosen as a payment method pursuant to the Face Sheet of this Contract, in full consideration for the complete and satisfactory provision of the Services, UNDP shall pay the Contractor a fixed amount indicated in the Face Sheet of this Contract.

4.1.1 The amount stated in the Face Sheet of this Contract is not subject to any adjustment or revision because of price or currency fluctuations, or the actual costs incurred by the Contractor in the performance of the Contract.

4.1.2 UNDP shall effect payments to the Contractor in the amounts and pursuant to the schedule of payments set forth in the Terms of Reference and Schedule of Payments, upon completion by the Contractor of the corresponding deliverable(s) and upon acceptance by UNDP of the original invoices submitted by the Contractor to the UNDP Contact Person indicated in the Face Sheet of this Contract, together with whatever supporting documentation that may be required by UNDP:

4.1.3 Invoices shall indicate a deliverable completed and the corresponding amount payable.

4.1.4 Payments effected by UNDP to the Contractor shall be deemed neither to relieve the Contractor of its obligations under this Contract nor as acceptance by UNDP of the Contractor's provision of the Services.

**4.2 COST REIMBURSEMENT:** If Cost Reimbursement is chosen as a payment method pursuant to the Face Sheet of this Contract, in full consideration for the complete and satisfactory provision of the Services under this Contract, UNDP shall pay the Contractor an amount not exceeding the total amount stated in the Face Sheet of this Contract.

4.2.1 The said amount is the maximum total amount of reimbursable costs under this Contract. The breakdown of costs contained in the Financial Proposal, referred to in the Face Sheet to this Contract shall specify the maximum amount per each cost category that is reimbursable under this Contract. The Contractor shall specify in its invoices or financial reports (as required by UNDP) the amount of the actual reimbursable costs incurred in the provision of the Services.

4.2.2 The Contractor shall not provide the Services or equipment, materials and supplies that may result in any costs in excess of the amount stated in the Face Sheet of this Contract, or of the maximum amount per each cost category specified in the breakdown of costs contained in the Financial Proposal, without the prior written agreement of the UNDP Contact Person.

4.2.3 The Contractor shall submit original invoices or financial reports (as required by UNDP) for the Services provided in accordance with the schedule set forth in the Terms of Reference and Schedule of Payments. Such invoices or financial reports shall indicate a deliverable or deliverables completed and the corresponding amount payable. They shall be submitted to the UNDP Contact Person, together with whatever supporting documentation of the actual costs incurred that is required in the Financial Proposal, or may be required by UNDP.

4.2.4 UNDP shall effect payments to the Contractor upon completion by the Contractor of the deliverable(s) indicated in the original invoices or financial reports (as required by UNDP) and upon acceptance of these invoices or financial reports by UNDP. Such payments shall be subject to any specific conditions for reimbursement specified in the breakdown of costs contained in the Financial Proposal.

4.2.5 Payments effected by UNDP to the Contractor shall be deemed neither to relieve the Contractor of its obligations under this Contract nor as acceptance by UNDP of the Contractor's performance of the Services.

#### **5. ADVANCE PAYMENT:**

**5.1** If an advance payment is due to the Contractor pursuant to the Face Sheet of this Contract, the Contractor shall submit an original invoice for the amount of that advance payment upon signature of this Contract by the Parties.

**5.2** If an advance payment representing 20% or more of the total contract value, or amounting to US\$30,000 or more, is to be made by UNDP upon signature of the Contract by the Parties, such payment shall be contingent upon receipt and acceptance by UNDP of a bank guarantee or a certified cheque for the full amount of the advance payment, valid for the duration of the Contract, and in a form acceptable to UNDP.

## **6. SUBMISSION OF INVOICES AND REPORTS:**

**6.1** All original invoices, financial reports and any other reports and supporting documentation required under this Contract shall be submitted by mail by the Contractor to UNDP Contact Person. Upon request of the Contractor, and subject to approval by UNDP, invoices and financial reports may be submitted to UNDP by fax or email.

**6.2** All reports and invoices shall be submitted by the Contractor to the UNDP Contact Person specified in the Face Sheet of this Contract.

## **7. TIME AND MANNER OF PAYMENT:**

**7.1** Invoices shall be paid within thirty (30) days of the date of their acceptance by UNDP. UNDP shall make every effort to accept an original invoice or advise the Contractor of its non-acceptance within a reasonable time from receipt.

**7.2** Where the Services are to be provided, in addition to an invoice, the Contractor shall submit to UNDP a report, describing in detail the Services provided under the Contract during the period of time covered in each report. All reports shall be written in the English language.

## **8. RESPONSIBILITY FOR EMPLOYEES:**

**8.1** The Contractor shall be responsible for the professional and technical competence of its employees and will select, for work under this Contract, reliable individuals who will perform effectively in the implementation of this Contract, respect the local customs, and conform to a high standard of moral and ethical conduct.

**8.2** The Contractor is responsible for and shall assume all risk and liabilities relating to its personnel and property. The Contractor shall (i) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the Services are being provided; and (ii) assume all risks and liabilities related to the Contractor's security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this contract. Notwithstanding the foregoing, the Contractor shall remain solely responsible for the security of its personnel and for UNDP's property in its custody as set forth above.

**9. ASSIGNMENT:** The Contractor shall not assign, transfer, pledge or make other disposition of this Contract or any part thereof, or any of the Contractor's rights, claims or obligations under this Contract except with the prior written consent of UNDP.

**10. SUBCONTRACTING:** In the event the Contractor requires the services of sub-contractors, the Contractor shall obtain the prior written approval and clearance of UNDP for all sub-contractors. The approval of UNDP of a sub-contractor shall not relieve the Contractor of any of its obligations under this Contract. The terms of any sub-contract shall be subject to and conform to the provisions of this Contract.

**11. INDEMNIFICATION:** The Contractor shall indemnify, hold and save harmless, and defend, at its own expense, UNDP, its officials, agents, servants and employees from and against all suits, claims, demands, and liability of any nature or kind, including their costs and expenses, arising out of acts or omissions of the Contractor, or the Contractor's employees, officers, agents or sub-contractors, in the performance of this Contract. This provision shall extend, inter alia, to claims and liability in the nature of worker's compensation, products liability and liability arising out of the use of patented inventions or devices, copyrighted material or other intellectual property by the Contractor, its employees, officers, agents, servants or sub-contractors. The obligations under this Article do not lapse upon termination of this Contract.

## **12. INSURANCE AND LIABILITY:**

**12.1** The Contractor shall provide and thereafter maintain insurance against all risks in respect of its property and any equipment used for the execution of this Contract.

**12.2** The Contractor shall provide and thereafter maintain all appropriate workmen's compensation insurance, or its equivalent, with respect to its employees to cover claims for personal injury, disability or death in connection with this Contract.

**12.3** The Contractor shall also provide and thereafter maintain liability insurance in an adequate amount to cover third party claims for death or bodily injury, or loss of or damage to property, arising from or in connection with the provision of Services under this Contract or the operation of any vehicles, boats, airplanes or other equipment owned or leased by the Contractor or its agents, servants, employees or sub-contractors performing work or services in connection with this Contract.

**12.4** Except for the workmen's compensation insurance, the insurance policies under this Article shall:

12.4.1 Name UNDP as additional insured;

12.4.2 Include a waiver of subrogation of the Contractor's rights to the insurance carrier against UNDP;

12.4.3 Provide that UNDP shall receive thirty (30) days written notice from the insurers prior to any cancellation or change of coverage.

**12.5** The Contractor shall, upon request, provide UNDP with satisfactory evidence of the insurance required under this Article 12.

**13. ENCUMBRANCES AND LIENS:** The Contractor shall not cause or permit any lien, attachment or other encumbrance by any person to be placed on file or to remain on file in any public office or on file with UNDP against any monies due to the Contractor or that may become due for any work done or against any goods supplied or materials furnished under the Contract, or by reason of any other claim or demand against the Contractor or UNDP.

**14. EQUIPMENT FURNISHED BY UNDP TO THE CONTRACTOR:** Title to any equipment and supplies that may be furnished by UNDP to the Contractor for the performance of any obligations under the Contract shall rest with UNDP, and any such equipment shall be returned to UNDP at the conclusion of the Contract or when no longer needed by the Contractor. Such equipment, when returned to UNDP, shall be in the same condition as when delivered to the Contractor, subject to normal wear and tear, and the Contractor shall be liable to compensate UNDP for the actual costs of any loss of, damage to, or degradation of the equipment that is beyond normal wear and tear.

**15. COPYRIGHT, PATENTS AND OTHER PROPRIETARY RIGHTS:**

**15.1** Except as is otherwise expressly provided in writing in the Contract, UNDP shall be entitled to all intellectual property and other proprietary rights including, but not limited to, patents, copyrights, and trademarks, with regard to products, processes, inventions, ideas, know-how, or documents and other materials which the Contractor has developed for UNDP under the Contract and which bear a direct relation to or are produced or prepared or collected in consequence of, or during the course of, the performance of the Contract. The Contractor acknowledges and agrees that such products, documents and other materials constitute works made for hire for UNDP.

**15.2** To the extent that any such intellectual property or other proprietary rights consist of any intellectual property or other proprietary rights of the Contractor: (i) that pre-existed the performance by the Contractor of its obligations under the Contract, or (ii) that the Contractor may develop or acquire, or may have developed or acquired, independently of the performance of its obligations under the Contract, UNDP does not and shall not claim any ownership interest thereto, and the Contractor grants to UNDP a perpetual license to use such intellectual property or other proprietary right solely for the purposes of and in accordance with the requirements of the Contract.

**15.3** At the request of UNDP, the Contractor shall take all necessary steps, execute all necessary documents and generally assist in securing such proprietary rights and transferring or licensing them to UNDP in compliance with the requirements of the applicable law and of the Contract.

**15.4** Subject to the foregoing provisions, all maps, drawings, photographs, mosaics, plans, reports, estimates, recommendations, documents, and all other data compiled by or received by the Contractor under the Contract shall be the property of UNDP, shall be made available for use or inspection by UNDP at reasonable times and in reasonable places, shall be treated as confidential, and shall be delivered only to UNDP authorized officials on completion of work under the Contract.

**16. PUBLICITY, AND USE OF THE NAME, EMBLEM OR OFFICIAL SEAL OF UNDP OR THE UNITED NATIONS:** The Contractor shall not advertise or otherwise make public for purposes of commercial advantage or goodwill that it has a contractual relationship with UNDP, nor shall the Contractor, in any manner whatsoever use the name, emblem or official seal of UNDP or the United Nations, or any abbreviation of the name of UNDP or the United Nations in connection with its business or otherwise without the written permission of UNDP.

**17. CONFIDENTIAL NATURE OF DOCUMENTS AND INFORMATION:** Information and data that is considered proprietary by either Party or that is delivered or disclosed by one Party ("Discloser") to the other Party ("Recipient") during the course of performance of the Contract, and that is designated as confidential ("Information"), shall be held in confidence by that Party and shall be handled as follows:

**17.1** The Recipient shall:

17.1.1 use the same care and discretion to avoid disclosure, publication or dissemination of the Discloser's Information as it uses with its own similar Information that it does not wish to disclose, publish or disseminate; *and*,

17.1.2 use the Discloser's Information solely for the purpose for which it was disclosed.

**17.2** Provided that the Recipient has a written agreement with the following persons or entities requiring them to treat the Information confidential in accordance with the Contract and this Article 17, the Recipient may disclose Information to:

17.2.1 any other party with the Discloser's prior written consent; *and*,

17.2.2 the Recipient's employees, officials, representatives and agents who have a need to know such Information for purposes of performing obligations under the Contract, and employees officials, representatives and agents of any legal entity that it controls, controls it, or with which it is under common control, who have a need to know such Information for purposes of performing obligations under the Contract, *provided that*, for these purposes a controlled legal entity means:

17.2.2.1 a corporate entity in which the Party owns or otherwise controls, whether directly or indirectly, over fifty percent (50%) of voting shares thereof; *or*,

17.2.2.2 any entity over which the Party exercises effective managerial control; *or*,

17.2.2.3 for the United Nations, a principal or subsidiary organ of the United Nations established in accordance with the Charter of the United Nations.

**17.3** The Contractor may disclose Information *to the extent* required by law, *provided that*, subject to and without any waiver of the privileges and immunities of the United Nations, the Contractor will give UNDP sufficient prior notice of a request for the disclosure of Information in order to allow UNDP to have a reasonable opportunity to take protective measures or such other action as may be appropriate before any such disclosure is made.

**17.4** UNDP may disclose Information to the extent as required pursuant to the Charter of the United Nations, or pursuant to resolutions or regulations of the General Assembly or rules promulgated thereunder.

**17.5** The Recipient shall not be precluded from disclosing Information that is obtained by the Recipient from a third party without restriction, is disclosed by the Discloser to a third party without any obligation of confidentiality, is previously known by the Recipient, or at any time is developed by the Recipient completely independently of any disclosures hereunder.

**17.6** These obligations and restrictions of confidentiality shall be effective during the term of the Contract, including any extension thereof, and, unless otherwise provided in the Contract, shall remain effective following any termination of the Contract.

**18. FORCE MAJEURE; OTHER CHANGES IN CONDITIONS:**

**18.1** In the event of and as soon as possible after the occurrence of any cause constituting *force majeure*, the affected Party shall give notice and full particulars in writing to the other Party, of such occurrence or cause if the affected Party

is thereby rendered unable, wholly or in part, to perform its obligations and meet its responsibilities under the Contract. The affected Party shall also notify the other Party of any other changes in condition or the occurrence of any event which interferes or threatens to interfere with its performance of the Contract. Not more than fifteen (15) days following the provision of such notice of *force majeure* or other changes in condition or occurrence, the affected Party shall also submit a statement to the other Party of estimated expenditures that will likely be incurred for the duration of the change in condition or the event of *force majeure*. On receipt of the notice or notices required hereunder, the Party not affected by the occurrence of a cause constituting *force majeure* shall take such action as it reasonably considers to be appropriate or necessary in the circumstances, including the granting to the affected Party of a reasonable extension of time in which to perform any obligations under the Contract.

**18.2** If the Contractor is rendered unable, wholly or in part, by reason of *force majeure* to perform its obligations and meet its responsibilities under the Contract, UNDP shall have the right to suspend or terminate the Contract on the same terms and conditions as are provided for in Article 19, "Termination," except that the period of notice shall be seven (7) days instead of thirty (30) days. In any case, UNDP shall be entitled to consider the Contractor permanently unable to perform its obligations under the Contract in case the Contractor is unable to perform its obligations, wholly or in part, by reason of *force majeure* for any period in excess of ninety (90) days.

**18.3** *Force majeure* as used herein means any unforeseeable and irresistible act of nature, any act of war (whether declared or not), invasion, revolution, insurrection, terrorism, or any other acts of a similar nature or force, *provided that* such acts arise from causes beyond the control and without the fault or negligence of the Contractor. The Contractor acknowledges and agrees that, with respect to any obligations under the Contract that the Contractor must perform in areas in which UNDP is engaged in, preparing to engage in, or disengaging from any peacekeeping, humanitarian or similar operations, any delays or failure to perform such obligations arising from or relating to harsh conditions within such areas, or to any incidents of civil unrest occurring in such areas, shall not, in and of itself, constitute *force majeure* under the Contract.

## **19. TERMINATION:**

**19.1** Either party may terminate this Contract for cause, in whole or in part, upon thirty (30) days' notice, in writing, to the other party. The initiation of arbitral proceedings in accordance with Article 22.2 ("Arbitration"), below, shall not be deemed a termination of this Contract.

**19.2** UNDP may terminate the Contract at any time by providing written notice to the Contractor in any case in which the mandate of UNDP applicable to the performance of the Contract or the funding of UNDP applicable to the Contract is curtailed or terminated, whether in whole or in part. In addition, unless otherwise provided by the Contract, upon sixty (60) day's advance written notice to the Contractor, UNDP may terminate the Contract without having to provide any justification therefor.

**19.3** In the event of any termination of the Contract, no payment shall be due from UNDP to the Contractor except for the Services satisfactorily provided to UNDP in accordance with the requirements of the Contract.

**19.4** Should the Contractor be adjudged bankrupt, or be liquidated or become insolvent, or should the Contractor make an assignment for the benefit of its creditors, or should a Receiver be appointed on account of the insolvency of the Contractor, UNDP may, without prejudice to any other right or remedy it may have under the terms of these conditions, terminate this Contract forthwith. The Contractor shall immediately inform UNDP of the occurrence of any of the above events.

**19.5** The provisions of this Article 19 are without prejudice to any other rights or remedies of UNDP under the Contract or otherwise.

**20. NON-WAIVER OF RIGHTS:** The failure by either Party to exercise any rights available to it, whether under the Contract or otherwise, shall not be deemed for any purposes to constitute a waiver by the other Party of any such right or any remedy associated therewith, and shall not relieve the Parties of any of their obligations under the Contract.

**21. NON-EXCLUSIVITY:** Unless otherwise specified in the Contract, UNDP shall have no obligation to purchase any minimum quantities of goods or services from the Contractor, and UNDP shall have no limitation on its right to obtain goods or services of the same kind, quality and quantity described in the Contract, from any other source at any time.

## **22. SETTLEMENT OF DISPUTES:**



**22.1 AMICABLE SETTLEMENT:** The Parties shall use their best efforts to amicably settle any dispute, controversy, or claim arising out of the Contract or the breach, termination, or invalidity thereof. Where the Parties wish to seek such an amicable settlement through conciliation, the conciliation shall take place in accordance with the Conciliation Rules then obtaining of the United Nations Commission on International Trade Law (“UNCITRAL”), or according to such other procedure as may be agreed between the Parties in writing.

**22.2 ARBITRATION:** Any dispute, controversy, or claim between the Parties arising out of the Contract or the breach, termination, or invalidity thereof, unless settled amicably under Article 22.1, above, within sixty (60) days after receipt by one Party of the other Party’s written request for such amicable settlement, shall be referred by either Party to arbitration in accordance with the UNCITRAL Arbitration Rules then obtaining. The decisions of the arbitral tribunal shall be based on general principles of international commercial law. The arbitral tribunal shall be empowered to order the return or destruction of goods or any property, whether tangible or intangible, or of any confidential information provided under the Contract, order the termination of the Contract, or order that any other protective measures be taken with respect to the goods, services or any other property, whether tangible or intangible, or of any confidential information provided under the Contract, as appropriate, all in accordance with the authority of the arbitral tribunal pursuant to Article 26 (“Interim measures”) and Article 34 (“Form and effect of the award”) of the UNCITRAL Arbitration Rules. The arbitral tribunal shall have no authority to award punitive damages. In addition, unless otherwise expressly provided in the Contract, the arbitral tribunal shall have no authority to award interest in excess of the London Inter-Bank Offered Rate (“LIBOR”) then prevailing, and any such interest shall be simple interest only. The Parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such dispute, controversy, or claim.

**23. PRIVILEGES AND IMMUNITIES:** Nothing in or relating to the Contract shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations, including its subsidiary organs.

**24. TAX EXEMPTION:**

**24.1** Article II, Section 7, of the Convention on the Privileges and Immunities of the United Nations provides, *inter alia*, that the United Nations, including its subsidiary organs, is exempt from all direct taxes, except charges for public utility services, and is exempt from customs restrictions, duties, and charges of a similar nature in respect of articles imported or exported for its official use. In the event any governmental authority refuses to recognize the exemptions of UNDP from such taxes, restrictions, duties, or charges, the Contractor shall immediately consult with UNDP to determine a mutually acceptable procedure.

**24.2** The Contractor authorizes UNDP to deduct from the Contractor’s invoices any amount representing such taxes, duties or charges, unless the Contractor has consulted with UNDP before the payment thereof and UNDP has, in each instance, specifically authorized the Contractor to pay such taxes, duties, or charges under written protest. In that event, the Contractor shall provide UNDP with written evidence that payment of such taxes, duties or charges has been made and appropriately authorized, and UNDP shall reimburse the Contractor for any such taxes, duties, or charges so authorized by UNDP and paid by the Contractor under written protest.

**25. MODIFICATIONS:** No modification or change in this Contract shall be valid and enforceable against UNDP unless executed in writing by the duly authorized representatives of the Parties.

**26. AUDITS AND INVESTIGATIONS:**

**26.1** Each invoice paid by UNDP shall be subject to a post-payment audit by auditors, whether internal or external, of UNDP or by other authorized and qualified agents of UNDP at any time during the term of the Contract and for a period of three (3) years following the expiration or prior termination of the Contract. UNDP shall be entitled to a refund from the Contractor for any amounts shown by such audits to have been paid by UNDP other than in accordance with the terms and conditions of the Contract.

**26.2** UNDP may conduct investigations relating to any aspect of the Contract or the award thereof, the obligations performed under the Contract, and the operations of the Contractor generally relating to performance of the Contract at any time during the term of the Contract and for a period of three (3) years following the expiration or prior termination of the Contract.

**26.3** The Contractor shall provide its full and timely cooperation with any such inspections, post-payment audits or investigations. Such cooperation shall include, but shall not be limited to, the Contractor’s obligation to make available

its personnel and any relevant documentation for such purposes at reasonable times and on reasonable conditions and to grant to UNDP access to the Contractor's premises at reasonable times and on reasonable conditions in connection with such access to the Contractor's personnel and relevant documentation. The Contractor shall require its agents, including, but not limited to, the Contractor's attorneys, accountants or other advisers, to reasonably cooperate with any inspections, post-payment audits or investigations carried out by UNDP hereunder.

**26.4** UNDP shall be entitled to a refund from the Contractor for any amounts shown by such audits or investigations to have been paid by UNDP other than in accordance with the terms and conditions of the Contract. The Contractor also agrees that, where applicable, donors to UNDP whose funding is the source of, in whole or in part, the funding for the procurement of Goods and/or Services which are the subject of this Contract, shall have direct recourse to the Contractor for the recovery of any funds determined by UNDP to have been used in violation of or inconsistent with this Contract.

## **27. LIMITATION ON ACTIONS:**

**27.1** Except with respect to any indemnification obligations in Article 11, above, or as are otherwise set forth in the Contract, any arbitral proceedings in accordance with Article 22.2, above, arising out of the Contract must be commenced within three years after the cause of action has accrued.

**27.2** The Parties further acknowledge and agree that, for these purposes, a cause of action shall accrue when the breach actually occurs, or, in the case of latent defects, when the injured Party knew or should have known all of the essential elements of the cause of action, or in the case of a breach of warranty, when tender of delivery is made, except that, if a warranty extends to future performance of the goods or any process or system and the discovery of the breach consequently must await the time when such goods or other process or system is ready to perform in accordance with the requirements of the Contract, the cause of action accrues when such time of future performance actually begins.

**28. ESSENTIAL TERMS:** The Contractor acknowledges and agrees that each of the provisions in Articles 29 to 35 hereof constitutes an essential term of the Contract and that any breach of any of these provisions shall entitle UNDP to terminate the Contract or any other contract with UNDP immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind. In addition, nothing herein shall limit the right of UNDP to refer any alleged breach of the said essential terms to the relevant national authorities for appropriate legal action.

**29. SOURCE OF INSTRUCTIONS:** The Contractor shall neither seek nor accept instructions from any authority external to UNDP in connection with the performance of its obligations under the Contract. Should any authority external to UNDP seek to impose any instructions concerning or restrictions on the Contractor's performance under the Contract, the Contractor shall promptly notify UNDP and provide all reasonable assistance required by UNDP. The Contractor shall not take any action in respect of the performance of its obligations under the Contract that may adversely affect the interests of UNDP or the United Nations, and the Contractor shall perform its obligations under the Contract with the fullest regard to the interests of UNDP.

**30. STANDARDS OF CONDUCT:** The Contractor warrants that it has not and shall not offer any direct or indirect benefit arising from or related to the performance of the Contract, or the award thereof, to any representative, official, employee or other agent of UNDP. The Contractor shall comply with all laws, ordinances, rules and regulations bearing upon the performance of its obligations under the Contract. In addition, in the performance of the Contract, the Contractor shall comply with the Standards of Conduct set forth in the Secretary General's Bulletin ST/SGB/2002/9 of 18 June 2002, entitled "Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Expert on Mission" and ST/SGB/2006/15 of 26 December 2006 on "Post-employment restrictions", and shall also comply with and be subject to the requirements of the following:

**30.1** The UN Supplier Code of Conduct;

**30.2** UNDP Policy on Fraud and other Corrupt Practices ("UNDP Anti-fraud Policy");

**30.3** UNDP Office of Audit and Investigations (OAI) Investigation Guidelines;

**30.4** UNDP Vendor Sanctions Policy; and

**30.5** All security directives issued by UNDP.

The Contractor acknowledges and agrees that it has read and is familiar with the requirements of the foregoing documents which are available online at [www.undp.org](http://www.undp.org) or at

<http://www.undp.org/content/undp/en/home/operations/procurement/business/>. In making such acknowledgement, the Contractor represents and warrants that it is in compliance with the requirements of the foregoing, and will remain in compliance throughout the term of this Contract.

**31. OBSERVANCE OF THE LAW:** The Contractor shall comply with all laws, ordinances, rules, and regulations bearing upon the performance of its obligations under the Contract. In addition, the Contractor shall maintain compliance with all obligations relating to its registration as a qualified vendor of goods or services to UNDP, as such obligations are set forth in UNDP vendor registration procedures.

**32. CHILD LABOR:** The Contractor represents and warrants that neither it, its parent entities (if any), nor any of the Contractor's subsidiary or affiliated entities (if any) is engaged in any practice inconsistent with the rights set forth in the Convention on the Rights of the Child, including Article 32 thereof, which, *inter alia*, requires that a child shall be protected from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral, or social development.

**33. MINES:** The Contractor represents and warrants that neither it, its parent entities (if any), nor any of the Contractor's subsidiaries or affiliated entities (if any) is engaged in the sale or manufacture of anti-personnel mines or components utilized in the manufacture of anti-personnel mines.

**34. SEXUAL EXPLOITATION:**

**34.1** In the performance of the Contract, the Contractor shall comply with the Standards of Conduct set forth in the Secretary-General's bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse." In particular, the Contractor shall not engage in any conduct that would constitute sexual exploitation or sexual abuse, as defined in that bulletin.

**34.2** The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by its employees or any other persons engaged and controlled by the Contractor to perform any services under the Contract. For these purposes, sexual activity with any person less than eighteen years of age, regardless of any laws relating to consent, shall constitute the sexual exploitation and abuse of such person. In addition, the Contractor shall refrain from, and shall take all reasonable and appropriate measures to prohibit its employees or other persons engaged and controlled by it from exchanging any money, goods, services, or other things of value, for sexual favors or activities, or from engaging any sexual activities that are exploitive or degrading to any person.

**34.3** UNDP shall not apply the foregoing standard relating to age in any case in which the Contractor's personnel or any other person who may be engaged by the Contractor to perform any services under the Contract is married to the person less than the age of eighteen years with whom sexual activity has occurred and in which such marriage is recognized as valid under the laws of the country of citizenship of such Contractor's personnel or such other person who may be engaged by the Contractor to perform any services under the Contract.

**35. ANTI-TERRORISM:** The Contractor agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received under the Contract is used to provide support to individuals or entities associated with terrorism and that recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [https://www.un.org/sc/suborg/en/sanctions/1267/aq\\_sanctions\\_list](https://www.un.org/sc/suborg/en/sanctions/1267/aq_sanctions_list). This provision must be included in all sub-contracts or sub-agreements entered into under the Contract.

REV.: SEPTEMBER 2017 UNDP GENERAL TERMS AND CONDITIONS FOR INSTITUTIONAL (DE MINIMIS) CONTRACTS