

## Section 2: Instruction to Proposers<sup>1</sup>

### Definitions

- a) “*Contract*” refers to the agreement that will be signed by and between the UNDP and the successful proposer, all the attached documents thereto, including the General Terms and Conditions (GTC) and the Appendices.
- b) “*Country*” refers to the country indicated in the Data Sheet.
- c) “*Data Sheet*” refers to such part of the Instructions to Proposers used to reflect conditions of the tendering process that are specific for the requirements of the RFP.
- d) “*Day*” refers to calendar day.
- e) “*Government*” refers to the Government of the country that will be receiving the services provided/rendered specified under the Contract.
- f) “*Instructions to Proposers*” (Section 2 of the RFP) refers to the complete set of documents that provides Proposers with all information needed and procedures to be followed in the course of preparing their Proposals
- g) “*LOI*” (Section 1 of the RFP) refers to the Letter of Invitation sent by UNDP to Proposers.
- h) “*Material Deviation*” refers to any contents or characteristics of the proposal that is significantly different from an essential aspect or requirement of the RFP, and : (i) substantially alters the scope and quality of the requirements; (ii) limits the rights of UNDP and/or the obligations of the offeror; and (iii) adversely impacts the fairness and principles of the procurement process, such as those that compromise the competitive position of other offerors.
- i) “*Proposal*” refers to the Proposer’s response to the Request for Proposal, including the Proposal Submission Form, Technical and Financial Proposal and all other documentation attached thereto as required by the RFP.
- j) “*Proposer*” refers to any legal entity that may submit, or has submitted, a Proposal for the provision of services requested by UNDP through this RFP.
- k) “*RFP*” refers to the Request for Proposals consisting of instructions and references prepared by UNDP for purposes of selecting the best service provider to perform the services described in the Terms of Reference.
- l) “*Services*” refers to the entire scope of tasks and deliverables requested by UNDP under the RFP.
- m) “*Supplemental Information to the RFP*” refers to a written communication issued by UNDP to prospective Proposers containing clarifications, responses to queries received from prospective

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<sup>1</sup> Note: this Section 2 - Instructions to Proposers shall not be modified in any way. Any necessary changes to address specific country and project information, shall be introduced only through the Data Sheet..

Proposers, or changes to be made in the RFP, at any time after the release of the RFP but before the deadline for the submission of Proposals.

- n) *“Terms of Reference”* (TOR) refers to the document included in this RFP as Section 3 which describes the objectives, scope of services, activities, tasks to be performed, respective responsibilities of the proposer, expected results and deliverables and other data pertinent to the performance of the range of duties and services expected of the successful proposer.

## A. GENERAL

1. UNDP hereby solicits Proposals in response to this Request for Proposal (RFP). Proposers must strictly adhere to all the requirements of this RFP. No changes, substitutions or other alterations to the rules and provisions stipulated in this RFP may be made or assumed unless it is instructed or approved in writing by UNDP in the form of Supplemental Information to the RFP.
2. Submission of a Proposal shall be deemed as an acknowledgement by the Proposer that all obligations stipulated by this RFP will be met and, unless specified otherwise, the Proposer has read, understood and agreed to all the instructions in this RFP.
3. Any Proposal submitted will be regarded as an offer by the Proposer and does not constitute or imply the acceptance of any Proposal by UNDP. UNDP is under no obligation to award a contract to any Proposer as a result of this RFP.
4. UNDP implements a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical practices, and obstruction. UNDP is committed to preventing, identifying and addressing all acts of fraud and corrupt practices against UNDP as well as third parties involved in UNDP activities. (See [http://www.undp.org/content/dam/undp/library/corporate/Transparency/UNDP\\_Anti\\_Fraud\\_Policy\\_English\\_FINAL\\_june\\_2011.pdf](http://www.undp.org/content/dam/undp/library/corporate/Transparency/UNDP_Anti_Fraud_Policy_English_FINAL_june_2011.pdf) and <http://www.undp.org/content/undp/en/home/operations/procurement/protestandsanctions/> for full description of the policies)
5. In responding to this RFP, UNDP requires all Proposers to conduct themselves in a professional, objective and impartial manner, and they must at all times hold UNDP’s interests paramount. Proposers must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. All Proposers found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Proposers, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this solicitation process, if they:
  - 5.1 Are or have been associated in the past, with a firm or any of its affiliates which have been engaged UNDP to provide services for the preparation of the design, specifications, Terms of Reference, cost analysis/estimation, and other documents to be used for the procurement of the goods and services in this selection process;
  - 5.2 Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or
  - 5.3 Are found to be in conflict for any other reason, as may be established by, or at the discretion of, UNDP.

In the event of any uncertainty in the interpretation of what is potentially a conflict of interest, proposers must disclose the condition to UNDP and seek UNDP's confirmation on whether or not such conflict exists.

6. Similarly, the Proposers must disclose in their proposal their knowledge of the following:
  - 6.1 That they are owners, part-owners, officers, directors, controlling shareholders, or they have key personnel who are family of UNDP staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this RFP; and
  - 6.2 All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.

Failure of such disclosure may result in the rejection of the proposal or proposals affected by the non-disclosure.

7. The eligibility of Proposers that are wholly or partly owned by the Government shall be subject to UNDP's further evaluation and review of various factors such as being registered as an independent entity, the extent of Government ownership/share, receipt of subsidies, mandate, access to information in relation to this RFP, and others that may lead to undue advantage against other Proposers, and the eventual rejection of the Proposal.
8. All Proposers must adhere to the UNDP Supplier Code of Conduct, which may be found at this link: [http://www.un.org/depts/ptd/pdf/conduct\\_english.pdf](http://www.un.org/depts/ptd/pdf/conduct_english.pdf)

## **B. CONTENTS OF PROPOSAL**

### **9. Sections of Proposal**

Proposers are required to complete, sign and submit the following documents:

- 9.1 Proposal Submission Cover Letter Form (see RFP Section 4);
- 9.2 Documents Establishing the Eligibility and Qualifications of the Proposer (see RFP Section 5);
- 9.3 Technical Proposal (see prescribed form in RFP Section 6);
- 9.4 Financial Proposal (see prescribed form in RFP Section 7);
- 9.5 Any attachments and/or appendices to the Proposal.

### **10. Clarification of Proposal**

- 10.1 Proposers may request clarifications of any of the RFP documents no later than the date indicated in the **Data Sheet** (DS no. 16) prior to the proposal submission date. Any request for clarification must be sent in writing via courier or through electronic means to the UNDP address indicated in the **Data Sheet** (DS no. 17). UNDP will respond in writing, transmitted by electronic means and will transmit copies of the response (including an explanation of the query but without identifying the source of inquiry) to all Proposers who have provided confirmation of their intention to submit a Proposal.
- 10.2 UNDP shall endeavor to provide such responses to clarifications in an expeditious manner,

but any delay in such response shall not cause an obligation on the part of UNDP to extend the submission date of the Proposals, unless UNDP deems that such an extension is justified and necessary.

## **11. Amendment of Proposals**

11.1 At any time prior to the deadline of Proposal submission, UNDP may for any reason, such as in response to a clarification requested by a Proposer, modify the RFP in the form of a Supplemental Information to the RFP. All prospective Proposers will be notified in writing of all changes/amendments and additional instructions through Supplemental Information to the RFP and through the method specified in the **Data Sheet** (DS No. 18).

11.2 In order to afford prospective Proposers reasonable time to consider the amendments in preparing their Proposals, UNDP may, at its discretion, extend the deadline for submission of Proposals, if the nature of the amendment to the RFP justifies such an extension.

## **C. PREPARATION OF PROPOSALS**

### **1. Cost**

The Proposer shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. UNDP shall in no case be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.

### **2. Language**

The Proposal, as well as any and all related correspondence exchanged by the Proposer and UNDP, shall be written in the language (s) specified in the **Data Sheet** (DS No 4). Any printed literature furnished by the Proposer written in a language other than the language indicated in the **Data Sheet**, must be accompanied by a translation in the preferred language indicated in the **Data Sheet**. For purposes of interpretation of the Proposal, and in the event of discrepancy or inconsistency in meaning, the version translated into the preferred language shall govern. Upon conclusion of a contract, the language of the contract shall govern the relationship between the contractor and UNDP.

### **3. Proposal Submission Form**

The Proposer shall submit the Proposal Submission Form using the form provided in Section 4 of this RFP.

### **4. Technical Proposal Format and Content**

Unless otherwise stated in the **Data Sheet** (DS no. 28), the Proposer shall structure the Technical Proposal as follows:

15.1 Expertise of Firm/Organization – this section should provide details regarding management structure of the organization, organizational capability/resources, and experience of organization/firm, the list of projects/contracts (both completed and on-going, both

domestic and international) which are related or similar in nature to the requirements of the RFP, and proof of financial stability and adequacy of resources to complete the services required by the RFP (see RFP clause 18 and DS No. 26 for further details). The same shall apply to any other entity participating in the RFP as a Joint Venture or Consortium.

- 15.2 Proposed Methodology, Approach and Implementation Plan – this section should demonstrate the Proposer’s response to the Terms of Reference by identifying the specific components proposed, how the requirements shall be addressed, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; identifying the works/portions of the work that will be subcontracted; and demonstrating how the proposed methodology meets or exceeds the specifications, while ensuring appropriateness of the approach to the local conditions and the rest of the project operating environment. This methodology must be laid out in an implementation timetable that is within the duration of the contract as specified in the **Data Sheet** (DS nos. 29 and 30).

Proposers must be fully aware that the products or services that UNDP requires may be transferred, immediately or eventually, by UNDP to the Government partners, or to an entity nominated by the latter, in accordance with UNDP’s policies and procedures. All proposers are therefore required to submit the following in their proposals:

- a) A statement of whether any import or export licences are required in respect of the goods to be purchased or services to be rendered, including any restrictions in the country of origin, use or dual use nature of the goods or services, including any disposition to end users; and
- b) Confirmation that the Proposer has obtained license of this nature in the past, and have an expectation of obtaining all the necessary licenses, should their Proposal be rendered the most responsive.

- 15.3 Management Structure and Key Personnel – This section should include the comprehensive curriculum vitae (CVs) of key personnel that will be assigned to support the implementation of the proposed methodology, clearly defining the roles and responsibilities vis-à-vis the proposed methodology. CVs should establish competence and demonstrate qualifications in areas relevant to the TOR.

In complying with this section, the Proposer assures and confirms to UNDP that the personnel being nominated are available for the Contract on the dates proposed. If any of the key personnel later becomes unavailable, except for unavoidable reasons such as death or medical incapacity, among other possibilities, UNDP reserves the right to consider the proposal non-responsive. Any deliberate substitution arising from unavoidable reasons, including delay in the implementation of the project of programme through no fault of the Proposer shall be made only with UNDP’s acceptance of the justification for substitution, and UNDP’s approval of the qualification of the replacement who shall be either of equal or superior credentials as the one being replaced.

- 15.4 Where the **Data Sheet** requires the submission of the Proposal Security, the Proposal Security shall be included along with the Technical Proposal. The Proposal Security may be forfeited by UNDP, and reject the Proposal, in the event of any or any combination of the following conditions:

- a) If the Proposer withdraws its offer during the period of the Proposal Validity specified in the **Data Sheet** (DS no. 11), or;
- b) If the Proposal Security amount is found to be less than what is required by UNDP as indicated in the **Data Sheet** (DS no. 9), or;
- c) In the case the successful Proposer fails:
  - i. to sign the Contract after UNDP has awarded it;
  - ii. to comply with UNDP's variation of requirement, as per RFP clause 35; or
  - iii. to furnish Performance Security, insurances, or other documents that UNDP may require as a condition to rendering the effectivity of the contract that may be awarded to the Proposer.

## 5. Financial Proposals

The Financial Proposal shall be prepared using the attached standard form (Section 7). It shall list all major cost components associated with the services, and the detailed breakdown of such costs. All outputs and activities described in the Technical Proposal must be priced separately on a one-to-one correspondence. Any output and activities described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, as well as in the final total price.

## 6. Currencies

All prices shall be quoted in the currency indicated in the **Data Sheet** (DS no. 15). However, where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:

- a) UNDP will convert the currency quoted in the Proposal into the UNDP preferred currency, in accordance with the prevailing UN operational rate of exchange on the last day of submission of Proposals; and
- b) In the event that the proposal found to be the most responsive to the RFP requirement is quoted in another currency different from the preferred currency as per **Data Sheet** (DS no. 15), then UNDP shall reserve the right to award the contract in the currency of UNDP's preference, using the conversion method specified above.

Proposals submitted by two (2) or more Proposers shall all be rejected if they are found to have any of the following :

- a) they have at least one controlling partner, director or shareholder in common; or
- b) any one of them receive or have received any direct or indirect subsidy from the other/s; or
- c) they have the same legal representative for purposes of this RFP; or
- d) they have a relationship with each other, directly or through common third parties, that puts them in a position to have access to information about, or influence on the Proposal of, another Proposer regarding this RFP process;
- e) they are subcontractors to each other's Proposal, or a subcontractor to one Proposal also submits another Proposal under its name as lead Proposer; or
- f) an expert proposed to be in the team of one Proposer participates in more than one Proposal received for this RFP process. This condition does not apply to subcontractors being included in more than one Proposal.

## **7. Documents Establishing the Eligibility and Qualifications of the Proposer**

The Proposer shall furnish documentary evidence of its status as an eligible and qualified vendor, using the forms provided under Section 5, Proposer Information Forms. In order to award a contract to a Proposer, its qualifications must be documented to UNDP's satisfaction. These include, but are not limited to, the following:

- a) That, in the case of a Proposer offering to supply goods under the Contract which the Proposer did not manufacture or otherwise produce, the Proposer has been duly authorized by the goods' manufacturer or producer to supply the goods in the country of final destination;
- b) That the Proposer has the financial, technical, and production capability necessary to perform the Contract; and
- c) That, to the best of the Proposer's knowledge, it is not included in the UN 1267/1989 List or the UN Ineligibility List, nor in any and all of UNDP's list of suspended and removed vendors.

## **8. Joint Venture, Consortium or Association**

If the Proposer is a group of legal entities that will form or have formed a joint venture, consortium or association at the time of the submission of the Proposal, they shall confirm in their Proposal that : (i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the joint venture jointly and severally, and this shall be duly evidenced by a duly notarized Agreement among the legal entities, which shall be submitted along with the Proposal; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNDP and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.

After the Proposal has been submitted to UNDP, the lead entity identified to represent the joint venture shall not be altered without the prior written consent of UNDP. Furthermore, neither the lead entity nor the member entities of the joint venture can:

- a) Submit another proposal, either in its own capacity; nor
- b) As a lead entity or a member entity for another joint venture submitting another Proposal.

The description of the organization of the joint venture/consortium/association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the Joint Venture Agreement. All entities that comprise the joint venture shall be subject to the eligibility and qualification assessment by UNDP.

Where a joint venture is presenting its track record and experience in a similar undertaking as those required in the RFP, it should present such information in the following manner:

- a) Those that were undertaken together by the joint venture; and
- b) Those that were undertaken by the individual entities of the joint venture expected to be involved in the performance of the services defined in the RFP.

Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the joint venture or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.

If a joint venture's Proposal is determined by UNDP as the most responsive Proposal that offers the best value for money, UNDP shall award the contract to the joint venture, in the name of its designated lead entity. The lead entity shall sign the contract for and on behalf of all other member entities.

## 9. Alternative Proposals

Unless otherwise specified in the **Data Sheet** (DS nos. 5 and 6), alternative proposals shall not be considered. Where the conditions for its acceptance are met, or justifications are clearly established, UNDP reserves the right to award a contract based on an alternative proposal.

## 10. Validity Period

Proposals shall remain valid for the period specified in the **Data Sheet** (DS no. 8), commencing on the submission deadline date also indicated in the **Data Sheet** (DS no. 21). A Proposal valid for a shorter period shall be immediately rejected by UNDP and rendered non-responsive.

In exceptional circumstances, prior to the expiration of the proposal validity period, UNDP may request Proposers to extend the period of validity of their Proposals. The request and the responses shall be made in writing, and shall be considered integral to the Proposal.

## 11. Proposer's Conference

When appropriate, a proposer's conference will be conducted at the date, time and location specified in the **Data Sheet** (DS no. 7). All Proposers are encouraged to attend. Non-attendance, however, shall not result in disqualification of an interested Proposer. Minutes of the proposer's conference will be either posted on the UNDP website, or disseminated to the individual firms who have registered or expressed interest with the contract, whether or not they attended the conference. No verbal statement made during the conference shall modify the terms and conditions of the RFP unless such statement is specifically written in the Minutes of the Conference, or issued/posted as an amendment in the form of a Supplemental Information to the RFP.

# D. SUBMISSION AND OPENING OF PROPOSALS

## 12. Submission

23.1 The Financial Proposal and the Technical Proposal Envelopes MUST BE COMPLETELY SEPARATE and each of them must be submitted sealed individually and clearly marked on the outside as either "TECHNICAL PROPOSAL" or "FINANCIAL PROPOSAL", as appropriate. Each envelope MUST clearly indicate the name of the Proposer. The outer envelopes shall bear the address of UNDP as specified in the **Data Sheet** (DS no.20) and shall include the Proposer's name and address, as well as a warning that state "*not to be opened before the time and date for proposal opening*" as specified in the **Data Sheet** (DS no. 24). The Proposer shall assume the responsibility for the misplacement or premature opening of Proposals due to improper sealing and labeling by the Proposer.

23.2 Proposers must submit their Proposals in the manner specified in the **Data Sheet** (DS nos. 22 and 23). When the Proposals are expected to be in transit for more than 24 hours, the

Proposer must ensure that sufficient lead time has been provided in order to comply with UNDP's deadline for submission. UNDP shall indicate for its record that the official date and time of receiving the Proposal is the actual date and time when the said Proposal has physically arrived at the UNDP premises indicated in the **Data Sheet** (DS no. 20).

- 23.3 Proposers submitting Proposals by mail or by hand shall enclose the original and each copy of the Proposal, in separate sealed envelopes, duly marking each of the envelopes as "Original Proposal" and "Copy of Proposal" as appropriate. The 2 envelopes shall then be sealed in an outer envelope. The number of copies required shall be as specified in the **Data Sheet** (DS No. 19). In the event of any discrepancy between the contents of the "Original Proposal" and the "Copy of Proposal", the contents of the original shall govern. The original version of the Proposal shall be signed or initialed by the Proposer or person(s) duly authorized to commit the Proposer on every page. The authorization shall be communicated through a document evidencing such authorization issued by the highest official of the firm, or a Power of Attorney, accompanying the Proposal.
- 23.4 Proposers must be aware that the mere act of submission of a Proposal, in and of itself, implies that the Proposer accepts the General Contract Terms and Conditions of UNDP as attached hereto as Section 11.

### **13. Deadline for Submission of Proposals and Late Proposals**

Proposals must be received by UNDP at the address and no later than the date and time specified in the **Data Sheet** (DS nos. 20 and 21).

UNDP shall not consider any Proposal that arrives after the deadline for submission of Proposals. Any Proposal received by UNDP after the deadline for submission of Proposals shall be declared late, rejected, and returned unopened to the Proposer.

### **14. Withdrawal, Substitution, and Modification of Proposals**

- 25.1 Proposers are expected to have sole responsibility for taking steps to carefully examine in detail the full consistency of its Proposals to the requirements of the RFP, keeping in mind that material deficiencies in providing information requested by UNDP, or lack clarity in the description of services to be provided, may result in the rejection of the Proposal. The Proposer shall assume the responsibility regarding erroneous interpretations or conclusions made by the Proposer in the course of understanding the RFP out of the set of information furnished by UNDP.
- 25.2 A Proposer may withdraw, substitute or modify its Proposal after it has been submitted by sending a written notice in accordance with Clause 23.1, duly signed by an authorized representative, and shall include a copy of the authorization (or a Power of Attorney). The corresponding substitution or modification of the Proposal must accompany the respective written notice. All notices must be received by UNDP prior to the deadline for submission and submitted in accordance with RFP Clause 23.1 (except that withdrawal notices do not require copies). The respective envelopes shall be clearly marked "WITHDRAWAL," "SUBSTITUTION," or "MODIFICATION".
- 25.3 Proposals requested to be withdrawn shall be returned unopened to the Proposers.

- 25.4 No Proposal may be withdrawn, substituted, or modified in the interval between the deadline for submission of Proposals and the expiration of the period of proposal validity specified by the Proposer on the Proposal Submission Form or any extension thereof.

## **15. Proposal Opening**

UNDP will open the Proposals in the presence of an ad-hoc committee formed by UNDP of at least two (2) members. If electronic submission is permitted, any specific electronic proposal opening procedures shall be as specified in the **Data Sheet** (DS no. 23).

The Proposers' names, modifications, withdrawals, the condition of the envelope labels/seals, the number of folders/files and all other such other details as UNDP may consider appropriate, will be announced at the opening. No Proposal shall be rejected at the opening stage, except for late submission, for which the Proposal shall be returned unopened to the Proposer.

## **16. Confidentiality**

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

Any effort by a Proposer to influence UNDP in the examination, evaluation and comparison of the Proposals or contract award decisions may, at UNDP's decision, result in the rejection of its Proposal.

In the event that a Proposer is unsuccessful, the Proposer may seek a meeting with UNDP for a debriefing. The purpose of the debriefing is discussing the strengths and weaknesses of the Proposer's submission, in order to assist the Proposer in improving the proposals presented to UNDP. The content of other proposals and how they compare to the Proposer's submission shall not be discussed.

# **E. EVALUATION OF PROPOSALS**

## **17. Preliminary Examination of Proposals**

UNDP shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, whether or not the Proposer is in the UN Security Council 1267/1989 Committee's list of terrorists and terrorist financiers, and in UNDP's list of suspended and removed vendors, and whether the Proposals are generally in order, among other indicators that may be used at this stage. UNDP may reject any Proposal at this stage.

## **18. Evaluation of Proposals**

29.1 UNDP shall examine the Proposal to confirm that all terms and conditions under the UNDP General Terms and Conditions and Special Conditions have been accepted by the Proposer without any deviation or reservation.

29.2 The evaluation team shall review and evaluate the Technical Proposals on the basis of their

responsiveness to the Terms of Reference and other documentation provided, applying the evaluation criteria, sub-criteria, and point system specified in the **Data Sheet** (DS no. 32). Each responsive Proposal will be given a technical score. A Proposal shall be rendered non-responsive at this stage if it does not substantially respond to the RFP particularly the demands of the Terms of Reference, which also means that it fails to achieve the minimum technical score indicated in the **Data Sheet** (DS no. 25). Absolutely no changes may be made by UNDP in the criteria, sub-criteria and point system indicated in the **Data Sheet** (DS no. 32) after all Proposals have been received.

29.3 In the second stage, only the Financial Proposals of those Proposers who achieve the minimum technical score will be opened for evaluation for comparison and review. The Financial Proposal Envelopes corresponding to Proposals that did not meet the minimum passing technical score shall be returned to the Proposer unopened. The overall evaluation score will be based either on a combination of the technical score and the financial offer, or the lowest evaluated financial proposal of the technically qualified Proposers. The evaluation method that applies for this RFP shall be as indicated in the **Data Sheet** (DS No. 25).

When the Data Sheet specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:

<p><u>Rating the Technical Proposal (TP):</u></p> <p style="text-align: center;"><b>TP Rating</b> = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100</p> <p><u>Rating the Financial Proposal (FP):</u></p> <p style="text-align: center;"><b>FP Rating</b> = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100</p> <p><u>Total Combined Score:</u></p> $\frac{\begin{aligned} &(\text{TP Rating}) \times (\text{Weight of TP, e.g. 70\%}) \\ &+ (\text{FP Rating}) \times (\text{Weight of FP, e.g., 30\%}) \end{aligned}}{\text{Total Combined and Final Rating of the Proposal}}$
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29.4 UNDP reserves the right to undertake a post-qualification exercise aimed at determining, to its satisfaction the validity of the information provided by the Proposer. Such post-qualification shall be fully documented and, among those that may be listed in the **Data Sheet** (DS No.33), may include, but need not be limited to, all or any combination of the following :

- a) Verification of accuracy, correctness and authenticity of information provided by the Proposer on the legal, technical and financial documents submitted;
- b) Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team;
- c) Inquiry and reference checking with Government entities with jurisdiction on the Proposer, or any other entity that may have done business with the Proposer;
- d) Inquiry and reference checking with other previous clients on the quality of performance

- on ongoing or previous contracts completed;
- e) Physical inspection of the Proposer's offices, branches or other places where business transpires, with or without notice to the Proposer;
- f) Quality assessment of ongoing and completed outputs, works and activities similar to the requirements of UNDP, where available; and
- g) Other means that UNDP may deem appropriate, at any stage within the selection process, prior to awarding the contract.

## **19. Clarification of Proposals**

To assist in the examination, evaluation and comparison of Proposals, UNDP may, at its discretion, ask any Proposer for a clarification of its Proposal.

UNDP's request for clarification and the response shall be in writing. Notwithstanding the written communication, no change in the prices or substance of the Proposal shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNDP in the evaluation of the Proposals, in accordance with RFP Clause 32.

Any unsolicited clarification submitted by a Proposer in respect to its Proposal, which is not a response to a request by UNDP, shall not be considered during the review and evaluation of the Proposals.

## **20. Responsiveness of Proposal**

UNDP's determination of a Proposal's responsiveness will be based on the contents of the Proposal itself.

A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.

If a Proposal is not substantially responsive, it shall be rejected by UNDP and may not subsequently be made responsive by the Proposer by correction of the material deviation, reservation, or omission.

## **21. Nonconformities, Repairable Errors and Omissions**

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

Provided that a Proposal is substantially responsive, UNDP may request the Proposer to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Proposer to comply with the request may result in the rejection of its Proposal.

Provided that the Proposal is substantially responsive, UNDP shall correct arithmetical errors as follows:

- a) if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total

shall be corrected, unless in the opinion of UNDP there is an obvious misplacement of the decimal point in the unit price, in which case the line item total as quoted shall govern and the unit price shall be corrected;

- b) if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected; and
- c) if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail subject to the above.

If the Proposer does not accept the correction of errors made by UNDP, its Proposal shall be rejected.

## **F. AWARD OF CONTRACT**

### **22. Right to Accept, Reject, or Render Non-Responsive Any or All Proposals**

UNDP reserves the right to accept or reject any Proposal, to render any or all of the Proposals as non-responsive, and to reject all Proposals at any time prior to award of contract, without incurring any liability, or obligation to inform the affected Proposer(s) of the grounds for UNDP's action. Furthermore, UNDP shall not be obliged to award the contract to the lowest price offer.

UNDP shall also verify, and immediately reject their respective Proposal, if the Proposers are found to appear in the UN's Consolidated List of Individuals and Entities with Association to Terrorist Organizations, in the List of Vendors Suspended or Removed from the UN Secretariat Procurement Division Vendor Roster, the UN Ineligibility List, and other such lists that as may be established or recognized by UNDP policy on Vendor Sanctions. (See <http://www.undp.org/content/undp/en/home/operations/procurement/protestandsanctions/> for details)

### **23. Award Criteria**

Prior to expiration of the period of proposal validity, UNDP shall award the contract to the qualified Proposer with the highest total score based on the evaluation method indicated in the **Data Sheet** (DS nos. 25 and 32).

### **24. Right to Vary Requirements at the Time of Award**

At the time of award of Contract, UNDP reserves the right to vary the quantity of services and/or goods, by up to a maximum twenty five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.

### **25. Contract Signature**

Within fifteen (15) days from the date of receipt of the Contract, the successful Proposer shall sign and date the Contract and return it to UNDP.

Failure of the successful Proposer to comply with the requirement of RFP Clause 35 and this provision shall constitute sufficient grounds for the annulment of the award, and forfeiture of the Proposal Security if any, and on which event, UNDP may award the Contract to the Proposer with the second highest rated Proposal, or call for new Proposals.

## **26. Performance Security**

A performance security, if required, shall be provided in the amount and form provided in Section 9 and by the deadline indicated in the **Data Sheet** (DS no. 14), as applicable. Where a Performance Security will be required, the submission of the said document, and the confirmation of its acceptance by UNDP, shall be a condition for the effectivity of the Contract that will be signed by and between the successful Proposer and UNDP.

## **27. Bank Guarantee for Advanced Payment**

Except when the interests of UNDP so require, it is the UNDP's preference to make no advanced payment(s) on contracts (i.e., payments without having received any outputs). In the event that the Proposer requires an advanced payment upon contract signature, and if such request is duly accepted by UNDP, and the said advanced payment exceeds 20% of the total proposal price, or exceed the amount of USD 30,000, UNDP shall require the Proposer to submit a Bank Guarantee in the same amount as the advanced payment. A bank guarantee for advanced payment shall be furnished in the form provided in Section 10.

## **28. Vendor Protest**

UNDP's vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a purchase order or contract through a competitive procurement process. In the event that a Proposer believes that it was not treated fairly, the following link provides further details regarding UNDP vendor protest procedures:

<http://www.undp.org/content/undp/en/home/operations/procurement/protestandsanctions/>

## Instructions to Proposers

### DATA SHEET

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

DS No.	Cross Ref. to Instructions	Data	Specific Instructions / Requirements
1		Project Title :	Cabo Verde Appliances & Building Energy-Efficiency Project (CABEEP)
2		Title of Services/Work:	<b>Long Term Agreement (LTA) for the provision of Professional Consultancy Services for removing barriers for Energy Efficiency in Cabo Verde Appliances Sector</b>
3		Country / Region of Work Location:	Cabo Verde
4	C.13	Language of the Proposal:	<input checked="" type="checkbox"/> English
5	C.20	Conditions for Submitting Proposals for Parts or sub-parts of the TOR	<input checked="" type="checkbox"/> Not allowed
6	C.20	Conditions for Submitting Alternative Proposals	<input checked="" type="checkbox"/> Shall not be considered
7	C.22	A pre-proposal conference will be held on:	None
8	C.21	Period of Proposal Validity commencing on the submission date	<input checked="" type="checkbox"/> 120 days
9	B.9.5 C.15.4 b)	Proposal Security	<input checked="" type="checkbox"/> Not Required
10	B.9.5	Acceptable forms of Proposal Security	N/A

11	B.9.5 C.15.4 a)	Validity of Proposal Security	N/A
12		Advanced Payment upon signing of contract	<input checked="" type="checkbox"/> Allowed for Travel and Living Expenses where necessary, up to a maximum of 20% of contract
13		Liquidated Damages	<input checked="" type="checkbox"/> Will be imposed under the following conditions : Percentage of contract price per day of delay : 0.5% Max. no. of days of delay : 1 Month After which UNDP may terminate the contract.
14	F.37	Performance Security	<input checked="" type="checkbox"/> Not Required
15	C.17, C.17 b)	Preferred Currency of Proposal and Method for Currency conversion	<input checked="" type="checkbox"/> United States Dollars (US\$) <input checked="" type="checkbox"/> or any convertible currency; at the UN Exchange rate when the proposal is being evaluated
16	B.10.1	Deadline for submitting requests for clarifications/ questions	5 working day days before the submission date.
17	B.10.1	Contact Details for submitting clarifications/questions <sup>2</sup>	Focal Person in the Joint Office: Pedro Gomes Address: Av. OUA, Achada Santo Antonio, Praia, Cape Verde  Fax No. :238 262 1404 E-mail address dedicated for this purpose: <a href="mailto:unoffice.cv@one.un.org">unoffice.cv@one.un.org</a>
18	B.11.1	Manner of Disseminating Supplemental Information to the RFP and responses/clarifications to queries	<input checked="" type="checkbox"/> Direct communication to prospective Proposers by email or fax
19	D.23.3	No. of copies of Proposal that must be submitted [if transmitted by courier]	Original : 1 Copies : 1 Soft Copy – in case submission by courier
20	D.23.1 D.23.2 D.24	Proposal Submission Address	<input checked="" type="checkbox"/> The Joint Office of UNDP, UNFPA and UNICEF Av. OUA, Achada de Santo Antonio Praia, Cabo Verde <input checked="" type="checkbox"/> Via our secured email address: <a href="mailto:procurement.cv@cv.jo.un.org">procurement.cv@cv.jo.un.org</a>
21	C.21	Deadline of Submission	<input checked="" type="checkbox"/> Date: <b>July 15, 2016</b>

<sup>2</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 officially received.

	D.24		<input checked="" type="checkbox"/> Time: <b>15:00 – Cabo Verde – Local Time</b>
22	D.23.2	Allowable Manner of Submitting Proposals	<input checked="" type="checkbox"/> Courier/Hand Delivery <input checked="" type="checkbox"/> Electronic submission of Bid
23	D.23.2 D.26	Conditions and Procedures for electronic submission and opening	<input checked="" type="checkbox"/> Official Address for e-submission: <a href="mailto:procurement.cv@cv.io.un.org">procurement.cv@cv.io.un.org</a> <input checked="" type="checkbox"/> Free from virus and corrupted files <input checked="" type="checkbox"/> Format : PDF files only, password protected <input checked="" type="checkbox"/> Password <u>must</u> not be provided to UNDP until the date and time of Bid Opening as indicated in No. 24 <input checked="" type="checkbox"/> Password for Financial Proposal will be requested from those Proposers whose Technical proposals found to be Technically Qualified by Technical Evaluation Panel. <input checked="" type="checkbox"/> For electronically transferred data, the maximum capacity is <b>8MB</b> . Thus, if the size of the file is greater than <b>8MB</b> attach them with two or more emails. In this case you are kindly advised to label each email as " <b>Attachment 1 of 3; 2 of 3; and 3 of 3</b> ". <input checked="" type="checkbox"/> No. of copies to be transmitted: <b>only One (1)</b> , do not send the proposals time and again to avoid mistake in identifying the appropriate proposals. UNDP/Procurement Unit will not be liable for failing to locate a right proposal owing to repetitively sending proposals. <input checked="" type="checkbox"/> <b>Mandatory email subject line:</b> your Technical and Financial proposals shall be sent into <b>two separate emails or envelops</b> as per the following <b>subject lines***</b> : <ol style="list-style-type: none"> <li>1. For <b>Technical</b> Document: <b><u>RFP – LTA – Energy Efficiency in CV Appliance Sector – Technical Proposal – [insert Proposing Firm Business Name]</u></b></li> <li>2. For <b>Financial</b> Document: <b><u>RFP – LTA – Energy Efficiency in CV Appliance Sector – Financial Proposal – [insert Proposing Firm Business Name]</u></b></li> </ol> <input checked="" type="checkbox"/> Time Zone to be Recognized: <b>CABO VERDE</b> <input checked="" type="checkbox"/> Other conditions: <b><i>Any proposal sent to the private email addresses of any procurement staff will be automatically disqualified.</i></b>
24	D.23.1	Date, time and venue for opening of Proposals	<input checked="" type="checkbox"/> Date and Time: <b>July 15, 2016 15:30</b> <input checked="" type="checkbox"/> Venue :UN House, Praia, Cape Verde
25	E.29.2 E.29.3 F.34	Evaluation method to be used in selecting the most responsive Proposal	<input checked="" type="checkbox"/> Combined Scoring Method, using the 70%-30% distribution for technical and financial proposals, respectively, where the minimum passing score of technical proposal is 70%, <b>490 points</b> .

26	C.15.1	Required Documents that must be Submitted to Establish Qualification of Proposers (In “Certified True Copy” form only)	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Company Profile, which should <u>not</u> exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured</li> <li><input checked="" type="checkbox"/> Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Bidder is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Bidder</li> <li><input checked="" type="checkbox"/> Certificate of Registration of the business, including Articles of Incorporation, or equivalent document if Bidder is not a corporation</li> <li><input checked="" type="checkbox"/> Official Letter of Appointment as local representative, if Bidder is submitting a Bid in behalf of an entity located outside the country</li> <li><input checked="" type="checkbox"/> Quality Certificate (e.g., ISO, etc.) and/or other similar certificates, accreditations, awards and citations received by the Bidder, if any</li> <li><input checked="" type="checkbox"/> Environmental Compliance Certificates, Accreditations, Markings/Labels, and other evidences of the Bidder’s practices which contributes to the ecological sustainability and reduction of adverse environmental impact (e.g., use of non-toxic substances, recycled raw materials, energy-efficient equipment, reduced carbon emission, etc.), either in its business practices or in the goods it manufactures</li> <li><input checked="" type="checkbox"/> Audited Financial Statement (Income Statement and Balance Sheet) including Auditor’s Report for the past Year</li> <li><input checked="" type="checkbox"/> Statement of Satisfactory Performance from the Top 3 Clients in terms of Contract Value the past 2 Years</li> <li><input checked="" type="checkbox"/> All information regarding any past and current litigation during the last three (3) years, in which the bidder is involved, indicating the parties concerned, the subject of the litigation, the amounts involved, and the final resolution if already concluded.</li> <li><input checked="" type="checkbox"/> Technical proposal as outlined in Section 7.</li> <li><input checked="" type="checkbox"/> Financial proposal as outlined in Section 8.</li> <li><input checked="" type="checkbox"/> Signed and stamped <b>Memorandum of Understanding (MoU) and/or Partnership Agreement</b> by parties in agreement if Proposer form <b>Joint Venture or Partnership or Consortium</b></li> <li><input checked="" type="checkbox"/> Signed and stamped <b>Memorandum of Understanding (MoU) with proposed Contractor</b> if Proposer will <b>Subcontract</b> portion of the Consultancy Assignment</li> </ul>
27		Other documents that may be Submitted to Establish Eligibility	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Refer to the Term of Reference (ToR)</li> <li><input checked="" type="checkbox"/> All key experts shall provide an original signed letter of availability and association (if they are external to the lead firm) for the duration of the assignment. Note: In the event of their unavailability at execution stage, the bidder shall be under the obligation to provide a replacement of equal or better calibre at no extra cost to the Client.</li> </ul>

28	C.15	Structure of the Technical Proposal ( <i>only if different from the provision of Section 12</i> )	As per section 12 of the Instruction to Proposers, and reference to the ToR
29	C.15.2	Latest Expected date for commencement of Contract	Upon Contract Signature
30	C.15.2	Expected duration of contract (Target Commencement Date and Completion Date)	The Long Terms Agreement shall be signed for one year, which shall be renewable up to a maximum period of three years subject to satisfactory performance.
31		UNDP will award the contract to:	<input checked="" type="checkbox"/> One Proposer only
32	E.29.2 F.34	Criteria for the Award of Contract and Evaluation of Proposals	<input checked="" type="checkbox"/> Refer to the below Table and to sections 29.2, 29.3 and 29.4 of the Instructions to Proposers.
33	E.29.4	Post-Qualification Actions	<input checked="" type="checkbox"/> Verification of accuracy, correctness and authenticity of the information provided by the bidder on the legal, technical and financial documents submitted; <input checked="" type="checkbox"/> Inquiry and reference checking with Government entities with jurisdiction on the bidder, or any other entity that may have done business with the bidder; <input checked="" type="checkbox"/> Inquiry and reference checking with other previous clients on the quality of performance on ongoing or previous contracts completed; <input checked="" type="checkbox"/> Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team.
34		Conditions for Determining Contract Effectivity	<input checked="" type="checkbox"/> Signature of Contract by duly authorized persons representing both parties, UNDP and the selected bidder.
35		Other Information Related to the RFP	UNDP shall effect payments to the Contractor after acceptance by UNDP of the invoices submitted by the contractor, upon achievement of the corresponding deliverables as set in the Terms of Reference (ToR). All prices/rates quoted must be exclusive of all taxes, since the UNDP is exempt from taxes.

## Summary of Technical Proposal Evaluation Forms

Summary of Technical Proposal Evaluation Forms		Score Weight	Points Obtainable
1.	Expertise of Firm / Organization submitting Proposal	20%	200
2.	Proposed Work Plan and Approach/Methodology	20%	200
3.	Management Structure and Qualification of Key Personnel	30%	300
<b>Total</b>			<b>700</b>

Technical Proposal Evaluation Form 1		Points obtainable
<b>Expertise of Firm / Organization submitting Proposal</b>		
1.1	General Organizational Capability which is likely to affect implementation - Financial stability - age/size of the firm - Quality Assurance Procedure, warranty	35
1.2	Extent to which any work would be subcontracted (subcontracting carries additional risks which may affect project implementation, but properly done it offers a chance to access specialized skills).	20
1.3	Experience of the firm and organization - 30 points	130
	Expertise of the firm and organization in certification, labelling and enforcement mechanisms for appliances energy efficiency, energy efficiency policy development, monitoring and verification, and conducting trainings - 100 points W	
1.4	Organizational Commitment to Sustainability • Organization is compliant with ISO 14001 or equivalent – 5 points • Organization is a member of the UN Global Compact – 5 points • Organization demonstrates significant commitment to sustainability through some other means – 5 points	15
<b>Total Part 1</b>		<b>200</b>

Technical Proposal Evaluation Form 2		Points Obtainable
<b>Proposed Work Plan and Approach/Methodology</b>		
2.1	Have the important aspects of the task been addressed in sufficient detail?	50
2.2	Innovation and relevance of the proposed methodology, including capacity building approach and specialist contributions and working plan	30
2.3	Is the conceptual framework adopted appropriate for the task?	30
2.4	Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	50
2.5	What actions to ensure sustainability and continuation of results have been incorporated into the proposal?	40
<b>Total Part 2</b>		<b>200</b>

Technical Proposal Evaluation Form 3			Points Obtainable
<b>Management Structure and Qualification of Key Personnel</b>			
3. 1	<b>Team Leader (Key Expert)</b>		100
		Sub-Score	
	Academic Qualification	40	
	Team Leader/coordination experience	20	
	Professional experience in the relevant area	40	
		100	
3. 3	<b>Additional Team Members, minimum of 4, (experts: appliances energy efficiency and certification expert, energy auditor expert, M&amp;V expert, training expert) For the evaluation purposes the average score of CVs will be applied.</b>		150
		Sub-Score	
	Academic Qualification	70	
	Professional experience in the relevant area	80	
		150	
3. 4	<b>National team expertise</b>		50
		Sub-Score	
	Academic Qualification	30	
	Professional experience in the relevant area	20	
		50	
		<b>Total Part 3</b>	<b>300</b>

Only candidate obtaining a minimum of **490 points out of 700 points** at the technical evaluation will be considered for the financial evaluation.

<p><u>Rating the Technical Proposal (TP):</u></p> <p><b>TP Rating</b> = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100</p> <p><u>Rating the Financial Proposal (FP):</u></p> <p><b>FP Rating</b> = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100</p> <p><u>Total Combined Score:</u></p> $\frac{\begin{aligned} &(\text{TP Rating}) \times (\text{Weight of TP, e.g. 70\%}) \\ &+ (\text{FP Rating}) \times (\text{Weight of FP, e.g. 30\%}) \end{aligned}}{\text{Total Combined and Final Rating of the Proposal}}$
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## Section 3: Terms of Reference (TOR)

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### Long Term Agreement (LTA) for the provision of Professional Consultancy Services for removing barriers for Energy Efficiency in Cabo Verde Appliances Sector

#### A. Project Title: Cabo Verde Appliances & Building Energy-Efficiency Project (CABEEP)

#### B. Project Description

Cabo Verde's energy sector is strongly characterized by consumption of fossil fuels (derived oil—primarily imported oil), biomass (wood) and use of renewable energy particularly wind and solar power. The country's high dependence on petroleum products is increasing with the demand for electricity, which is growing by 8.1% per year. This represents a heavy burden on the national economy. The installed capacity increased from 82.3 MW in 2010 to 155.8 MW in 2013. Electricity production comes majorly from imported diesel oil with a share of renewable energy (wind farms) connected to the grid. The country has high renewable energy potential including solar energy, wind and biomass. The share of renewable in the energy mix has increased to 21% in 2012. The Government Programme of the IX legislature 2016 sets the target to reduce the energy bill by at least 25% and increase the use of alternative energy sources, particularly renewable and clean energy, as far as technically and economically feasible.

There are a number of challenges to promote energy efficiency in buildings and appliances in the country. One of the key barriers is the lack of awareness among users, so they do not pull the market towards energy savings. This follows the dearth of information on potential savings with correct measures to achieve the same. Architects and builders have limited knowledge of bioclimatic building practices and materials in the country. The various ministries and institutions responsible for buildings have limited experience and capacity to implement an appropriate framework. These barriers compounds through minimal public policies, institutional and regulatory mechanisms to promote energy efficiency in buildings and appliances. The proposed project aims to address legal and regulatory frameworks legislation and nationally coordinated policies in Cabo Verde to address the issue for energy efficiency in both buildings and appliances. Energy efficiency is economically very attractive, however it has seen a slow uptake due to a number of legal, regulatory, institutional, policy, financial, and awareness barriers.

Indeed to reduce the barriers and bottlenecks, the UNDP and GEF are supporting the Directorate General of Energy (DGE) on the implementation of "Cabo Verde Appliances & Building Energy-Efficiency Project (CABEEP)". The project aim is to enable and facilitate market transformation leading to substantial energy savings and greenhouse gas reductions. The project implementation is estimated to result in direct emission reductions of 297.8 ktCO<sub>2</sub>e through pilot demonstration projects, minimum energy efficiency and water efficiency standards for buildings and appliances. The indirect emission reduction is expected to be nearly 703.9 ktCO<sub>2</sub>e resulting from replication and dissemination activities from project implementation. The outcome will be significant in supporting the country's economic development, improving quality of life and leading to significant environmental benefits in accordance to the national plans and priorities. This is achieved through activities designed to support and strengthen the legal, regulatory and institutional frameworks, enhance the existing capacity, and raise awareness. The project will propose a new law on building energy codes and introducing standards and labelling programme for imported domestic appliances thus resulting in significant energy savings.

The proposed project is grouped into four (4) components each consisting of a number of complementary activities designed to achieve the project goal. Listed below are the major components.

- **Component 1: Enabling policy, institutional, and legislative framework for energy efficiency in**

## buildings

- **Component 2: Enabling energy efficiency improvements through S&L for appliances**
- **Component 3: Energy efficiency solutions in a selection of public buildings through selected pilot demonstration projects**
- **Component 4: Replication and dissemination of lessons learnt and best practices**

The assignment described in this Terms of Reference will focus on component 2 and 4.

### C. Scope of Work

This assignment will focus on introducing a national framework for S&L of appliances. Detailed scope are:

**Under Project Component 2:** Outcome 1, Certification, labelling and enforcement mechanism to promote energy efficient end-uses and national testing, certification, labelling and enforcement mechanisms adopted for appliances

Under Project Output 2.1 Develop labelling program for appliances imported in Cabo Verde in line with ECOWAS labelling program. (Please refer also to Box 7: “Standards and labelling (S&L) programme approach” in the project document)

- Activity 2.1.1: Design of informative labels for appliances (please refer to project document for description)
- Activity 2.1.2: Selection of appropriate testing procedure for each appliance (please refer to project document for description)
- Activity 2.1.3: Set labelling threshold and range for each labelled appliance (please refer to project document for description)

Activities Output:

- Appliance labeling program: The proposed activities will develop a labeling program for appliances imported in the country, including design of informative labels, appropriate testing procedures, test facility accreditation, labeling threshold and program implementation methodology.

Under Project Output 2.2 Develop regulatory framework including import regulations for energy efficiency standards for a first selection of appliances

- Activity 2.2.1: Develop an implementation plan for mandatory S&L program (please refer to project document for description)

Activity Output:

- S&L program: Develop an implementation plan and program launch methodology to be in line with ECOWAS S&L labeling program.
- Activity 2.2.2: Incorporate labelling requirements in import and sales regulations (please refer to project document for description)

Activity Output:

- Customs and sales regulations: Develop revised customs regulations for import of energy efficient appliances and phase out of inefficient appliances.

- Activity 2.2.3: Develop requirement for Measuring, Reporting and Verification (MRV) of actual performance (please refer to project document for description)

Activity Output:

- MRV methodology: Develop a comprehensive methodology for MRV and its requirement checklist.

Under Project Output 2.3 Establish a testing mechanism for selected appliances

- Activity 2.3.1: Establish a legal verification and enforcement system engaging national and regional test facilities for appliances and considering feasibility of setting up a national test lab in Cabo Verde (please refer to project document for description)
- Activity 2.3.2: Periodic testing and reporting of labelled appliances, capacity assessment and training of inspectors (please refer to project document for description)

Activities output:

- Enforcement mechanism operational: Launch a test and reporting mechanism for selected appliances. Capacity development plan for inspectors.

Under Project Output 2.4 Develop national certification procedures to promote energy efficient appliances

- Activity 2.4.1: Design of a national certification program for selected appliances (please refer to project document for description)

Activity Output:

- Prepare certification program: Comprehensive certification program of standardized products.

Under Project Output 2.5 Public awareness program and diffusion strategy – training seminars etc.

- Activity 2.5.1 Design of a comprehensive awareness raising campaign for key stakeholders – importers, retailers, consumers, enforcement agencies etc.

Activity Output:

- Develop and launch awareness campaign: Awareness raising campaign providing information on costs and benefits, test procedures, MEPS, classifications and clear explanation of the energy labels.

Under Project Output 2.6 Develop and launch demand side management program, run by national utility, built around a “turn in or exchange” mechanism (Please refer also to Box 8: “Demand side management programs” in the project document)

- Activity 2.6.1: Develop an incentive mechanism for phasing out existing inefficient appliances through DSM program (please refer to project document for description)
- Activity 2.6.2: Implement DSM for selected appliances with the most saving potential (please refer to project document for description)

Activity output:

- Prepare DSM<sup>3</sup> program: A draft methodology to phase-out inefficient appliances, with implementation strategies.

Under Project Output 2.7 Propose financial incentive tested in a pilot programme for the scale up of energy efficient appliances

- Activity 2.7.1: Develop and implement fiscal incentive programs for import of super-efficient appliances and for large-scale replacement program (please refer to project document for description)

Activity output:

- Prepare energy efficiency financial incentive program: the proposed activity will provide feasibility analysis of various financing schemes and the most appropriate implementing agency(ies), in order to accelerate the adoption of selected energy efficient appliances.
- Prepare Fiscal incentive program implementation report which clearly explains and defines how the financial incentive program will be implemented including detailed breakdown of all costs and resources required, and provide technical support to the implementing agency.

**Under Project Component 4:** Outcome 4, Additional investment mobilized in energy-efficiency as a result of the dissemination and replication activities.

Under Project Output 4.2 Public awareness raising campaign on standards and labels

- Activity 4.2.1: Develop awareness-raising campaign for end users, retailers and distributors on S&L program for imported appliances (websites, media outreach, educational initiatives with schools etc.) (please refer to project document for description)

Activity output:

- Prepare awareness raising campaign

Under Project Output 4.4: A thorough monitoring of the impacts of the new energy efficiency requirement is performed in Cabo Verde universities

- Activity 4.4.1: Develop a monitoring plan to assess the demonstration projects and system for tracking and monitoring of labels for EE appliances (please refer to project document for description)

Activity output:

- Procedures to check the compliance and performance of the adopted energy efficiency measures after the pilot becomes operational. Tracking system for labelled appliances and monitor the impact and performance of S&L program.

Under Project Output 4.5: Regular update of the legislation in order to tighten energy efficiency is introduced to transform further the appliance market practices

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<sup>3</sup> Sustainability energy regulations and policy making for Africa –UNIDO and REEEP

- Activity 4.5.1: Develop standards to increase the stringency level for energy efficient appliances (please refer to project document for description)

Under Project Output 4.6: Lessons Learned study prepared and disseminated

- Activity 4.6.1: Develop and publish energy efficiency best practice user manuals (please refer to project document for description)

Activity output:

- Lessons learned study (appliances component)

#### D. Expected Outputs (Deliverables)

Deliverable	Delivery date*
2.1 Labelling program for appliances imported in Cabo Verde in line with ECOWAS labelling program (to be delivered in Portuguese and English)	By end of year 1
2.2 Regulatory framework including import regulations for energy efficiency standards for a first selection of appliances (to be delivered in Portuguese and English)	By end of year 1
2.3 Testing mechanism for selected appliances (to be delivered in Portuguese and English)	By end of year 1
2.4 National certification procedures to promote energy efficient appliances (to be delivered in Portuguese and English)	By end of year 2
2.5 Public awareness program and diffusion strategy (to be delivered in Portuguese)	By end of year 2
2.6 Demand side management program built around a “turn in or exchange” mechanism (to be delivered in Portuguese and English)	By end of year 2
2.7 Financial incentive and pilot programme for the scale up of energy efficient appliances (to be delivered in Portuguese and English)	By end of year 2
4.2 Public awareness raising campaign on standards and labels	By end of year 2
4.4 Monitoring of the impacts of the new energy efficiency requirement (to be delivered in Portuguese and English)	By end of year 2
4.5 Framework to regularly update the legislation (to be delivered in Portuguese and English)	By end of year 3
4.6 Lessons Learned study (to be delivered in Portuguese and English)	By end of year 3

**\*To be agreed upon contracting**

#### E. Institutional Arrangement

The principal responsibility for managing this work resides with the UNDP Country Office (UNDP CO) in Praia and the Directorate General of Energy (DGE), Cabo Verde. The UNDP CO will contract the service provider and ensure the timely provision of scheduled payments. The contractor will work under the direct supervision of the Head of the Environment, Energy and Disaster Prevention at the Joint Office of UNDP/UNFPA/UNICEF. The contractor shall take overall responsibility on the quality and timeliness of the assessment process within its competency. The project coordination unit (PCU) at DGE will provide the

contractor with the necessary information and materials and/or will facilitate the communication with the relevant public authorities for obtaining the necessary information in order to ensure the successful completion of the assignment.

#### **F. Duration of the Work**

The envisaged Long Term Agreement (LTA) shall span over a maximum of three years. The Long Terms Agreement shall be signed for one year which shall be renewable up to a maximum period of three years subject to satisfactory performance.

#### **G. Duty Station**

Praia, Cabo Verde

#### **H. Qualifications of the Successful Contractor**

- The service provider should have completed assignments of minimum cumulative total of USD five hundred thousand (\$ 170,000 in energy efficiency/conservation/Audits/Project management services/training programs in total over last three financial years)
- The service provider should have minimum 7 years of experience in energy efficiency programs, projects or policy level and/or technical assistance for energy efficiency in appliances, energy conservation/ audits/project management services
- Familiarity with energy efficiency issues, policy measures in small islands developing states (SIDS), and/or Africa and in particular West Africa
- Significant experience in developing and conducting training programs for energy efficiency measures, energy auditing, MRV etc.
- Joint venture with Cape-Verdean companies with recognized experience in energy efficiency applied to the appliances sector is an asset

#### **Minimum required qualifications and competencies for the Lead Expert (Team Leader)**

- Key experts should have post graduate qualification in relevant field e.g. Energy management /energy policy/ environmental policy/ or equivalent qualifications;
- Minimum 7 year post qualification experience in energy efficiency;
- Outstanding speaking, reading and writing skills in English or Portuguese;
- Demonstrated experience and abilities to pro-actively lead and coordinate a team, including strong interpersonal skills with ability to multi-task and maintain effective work relationships with diverse range of institutional partners and undertake complex assignments.

#### **Minimum required qualifications and competencies for proposed Team Members**

- Other team members should be engineering graduate and/or post graduate in energy related field with 3 years of experience in energy efficiency in the appliances sector
- Team's members with experience in civil engineering, thermal systems engineering or related areas, law or related fields is an asset
- Have at least one national/resident member working full time with the project coordinating unit

## Language

Excellent English or Portuguese communication skills (oral, written and presentation) are required for this assignment, for all team members. The national component of the team shall master both English and Portuguese.

All official or publish documents produced by the project shall be in both Portuguese and English (parallel text).

### Performance management:

- Demonstrated ability to multitask under pressure and to meet strict deadlines;
- Excellent organizational skills and ability to work effectively in teams; and
- Self-management, including conflict management/negotiating skills.

### I. Scope of Bid Price and Schedule of Payments

The financial proposal shall specify a total lump sum amount, and payment terms around specific and measurable (qualitative and quantitative) deliverables (to be agreed upon contracting). Payments are based upon output, i.e. upon delivery of the services specified in the TOR. The financial proposal should include a breakdown of this lump sum amount (including professional fees, travel, per diems, etc...).

### J. Sample Recommended Presentation of Proposal (Technical proposal as outlined in Section 7, and Financial proposal as outlined in Section 8)

#### The Service Provider must provide:

- a. Names and qualifications of the key personnel that will perform the services indicating who the Team Leader is, who are supporting, etc.
- b. CVs demonstrating the team members' qualifications must be submitted and
- c. Written confirmation from each personnel that they are available for the entire duration of the contract
- d. After the selection of service provider, any change in the composition of the team members requires formal authorization. The alteration in the team composition should be justified and the qualifications and experience of the new element should be identical of that been substituted.

#### 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, indicating description of contract scope, contract duration, contract value, contact references;
- e) Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.
- f) Written Self-Declaration that the company (or joint venture) is not in the UN Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.