**REQUEST FOR PROPOSALS**

Establishment of National Registry System for Domestic Emissions Trading Scheme and Voluntary Carbon Emission Reduction Project Phase II

**Project Management Office**

**January, 2018**

**Sub-Contract Scope of Work**

1. **General**

The purpose of RFP is to provide overall guidance to offers on the technical requirements and method for submission of offers/proposals. Proposers must strictly adhere to all the requirements of this RFP.

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.

Any Proposal submitted will be regarded as an offer by the Proposer and does not constitute or imply the acceptance of any Proposal by ETS Project Management Office (PMO). PMO is under no obligation to award a contract to any Proposer as a result of this RFP.

Considering these assignments above are about some crucial high-level tasks, like national ETS, MRV, etc., it is required that strong technical and coordination capacity, as well as wonderful skill in reading and writing Chinese and English. So please any interested bidders make sure your capacity and experiences in related fields.

Following the procurement procedure of UNDP, PMO will invite experts to evaluate project proposals submitted.The ETS PMO will sign the contract with the successful bidder according to the evaluation results .

1. **Tasks of Subcontractors**

The Terms of References (TOR) of subcontractors, RFP and the Invitation for Bids are regarded as a whole set of document. According to the project activities, the research of  supervision and management mechanism of the Third-Party Verification Body in the national ETS of the ETS project is opened for bidding.

**Conditions of this Request for Proposals**

1. **Confirmation of Submission Proposal Inquiries**

Proposers are requested to confirm the receipt of the RFP and to indicate whether or not you intend to submit a proposal by providing 1) Letter of Intention and 2) Briefing of the Firm/Organization **before 5:00 pm, January 26, 2018** to the following:

 **Attention**: Establishment of National Registry System for Domestic Emissions Trading Scheme and Voluntary Carbon Emission Reduction Project Phase II (ETS)

**Wang Xi**

ETS PMO

No. 38, Yuetan South Street, Xicheng District, Beijing, P.R. China

Post Code: 100824

Fax: +8610-68502358

1. **Proposal Inquiries**

All inquiries concerning this RFP shall be made in writing, citing the RFP Title, Page, Section and Paragraph, and submitted to:

**Wang Xi**

ETS PMO

No. 38, Yuetan South Street, Xicheng District, Beijing, P.R. China

Post Code: 100824

Fax: +8610-68502358

Proposers are encouraged to submit questions via fax.

All inquiries must be received no later than **January 31, 2018 at 5 p.m.**

*Written copies of the organization’s response (including an explanation of the query but without identifying the source of inquiry) will be sent to all prospective Proposers that has received the RFP.Inquiries received after this date and time will be addressed only if they are deemed by ETS PMO to be critical to the competitive selection process.*

1. **Cost of proposal**

The proposers 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. ETS PMO will in no case is responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.

1. **Contents of the proposals**

Proposals must offer services for the total requirement specified in TOR. Proposals offering only part of the requirement will be rejected. The Proposer is expected to examine all corresponding instructions, forms, terms and specifications contained in the RFP. Failure to comply with these documents will be at the Proposer’s risk and may affect the evaluation of the Proposal.

1. **Amendments of the RFP**

At any time prior to the deadline for submission of Proposals, the ETS PMO may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective Offer, modify the RFP by amendment.

All prospective Proposers that have received the RFP will be notified in writing of all amendments to the RFP.

1. **Joint Venture, consortium or Association**

For implementing the contract works, the Proposer may create a consortium or sub-contract other companies. In case of consortium, relevant agreement should be included into the Proposal. The Proposer should be the leader of the consortium and must have the authority to decide on all issues of binding character on behalf of all consortium members. Proposal submitted on behalf of the consortium should be signed by the leader. An internal agreement stating division of responsibility, co-operation and payment issues among the members should be attached to the proposal.

1. **Language of the proposal**

The Proposals prepared by the Proposer shall be at least in Chinese. All correspondence and documents relating to the Proposal exchanged by the Proposer and ETS PMO shall be written in the English or Chinese language. Any printed literature furnished by the Proposer may be written in another language so long as accompanied by an English or Chinese translation of its pertinent passages. For purposes of interpretation of the Proposal, the Chinese translation shall govern.

1. **Copyright, patents and other proprietary rights**

UNDP jointly with the Government of P.R. China shall be entitled to all intellectual property and other proprietary rights including but not limited to patents, copyrights, and trademarks, with regard to products, or documents and other materials which bear a direct relation to or are produced or prepared or collected in consequence of or in the course of the execution of this Contract. At the UNDP's request, the Contractor shall take all necessary steps, execute all necessary documents and generally assist in securing such proprietary rights and transferring them to UNDP and the Government of P.R. China in compliance with the requirements of the applicable law.

1. **Use of name, emblem of official seal of UNDP or the United Nations**

The Contractor shall not advertise or otherwise make public the fact that it is a Contractor 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.

1. **Confidential nature of documents and information**

All maps, drawings, photographs, mosaics, plans, reports, recommendations, estimates, documents and all other data compiled by or received by the Contractor under this Contract shall be the property of this project, shall be treated as confidential and shall be delivered only to ETS PMO authorized officials on completion of work under this Contract.

The Contractor may not communicate at any time to any other person, Government or authority external to this project, any information known to it by reason of its association with UNDP which has not been made public except with the authorization of UNDP; nor shall the Contractor at any time use such information to private advantage. These obligations do not lapse upon termination of this Contract.

1. **Disputes**

In the event of any dispute concerning the meaning to be given to any term in the RFP, a determination by the ETS PMO in writing as to the meaning shall be final and conclusive.

1. **Termination**

Either party may terminate this Contract for cause, in whole or in part, upon thirty days notice, in writing, to the other party.

ETS PMO reserve the right to terminate without cause this Contract at any time upon 15 days prior written notice to the Contractor, in which case ETS PMO shall reimburse the Contractor for all reasonable costs incurred by the Contractor prior to receipt of the notice of termination.

In the event of any termination by ETS PMO under this Article, no payment shall be due from ETS PMO to the Contractor. The Contractor shall take immediate steps to terminate the work and services in a prompt and orderly manner and to minimize losses and further expenditures.

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, ETS PMO, without prejudice to any other right or remedy it may have, terminate this Contract forthwith. The Contractor shall immediately inform ETS PMO the occurrence of any of the above events.

**Proposal Preparation Instructions**

1. **Proposal Content**

The Proposal shall comprise the following components:

1. Proposal Submission Cover Letter Form (Annex I)
2. Documents Establishing the Eligibility and Qualifications of the Proposer (Annex II);
3. Technical Proposal (Annex III)
4. Financial Proposal (Annex IV),completed in accordance with clauses 17, 18 and 19;
5. Technical Evaluation Criteria (Annex V)
6. Any attachments and/or appendices to the Proposal.
7. **Operational and technical proposal**

The Proposer shall structure the operational and technical part of its Proposal as follows:

1. Document to be presented
* Copies of original documents defining the constitution or legal status, place of registration and principal place of business.
* Written power of attorney of the signatory of the proposer to commit the proposal (It is supposed that the proposal will be signed (stamped) by the Firm/Organization's director and power of attorney is required if the signature itself does not present sufficient commitment).
* Offer authority to seek for financial information.
* Information regarding any litigation, current or during the last 5 years in which proposer is involved, the parties concerned and the disputed amount.

Failure in providing the above documentation may imply the rejection of the proposal.

1. Management and resource plan

This section should provide corporate orientation to include the year and state/country of incorporation and a brief description of the Proposer’s present activities. It should focus on services related to the Proposal.

This section should also describe the organizational unit(s) that will become responsible for the contract, and the general management approach towards a project of this kind. The Proposer should comment on its experience in similar projects and identify the person(s) representing the Proposer in any future dealing with the ETS PMO.

This should fully explain the Proposer’s resources in terms of personnel and facilities necessary for the performance of this requirement. It should describe the Proposer’s current capabilities/facilities and any plans for their expansion.

The curriculum vitae of senior professional members of the team should be included.

1. Technical Proposal

This section should demonstrate the Proposer’s responsiveness to the specification by identifying the specific components proposed, addressing the requirements, as specified, point by point; providing a detailed description of the essential performance characteristics proposed warranty; and demonstrating how the proposed methodology meets or exceeds the specifications.

The operational and technical part of the Proposal should not contain any pricing information whatsoever on the services offered. Pricing information shall be separated and only contained in the appropriate Price Schedules.

 All references to descriptive material and brochures should be included in the appropriate response paragraph, though material/documents themselves may be provided as annexes to the Proposal/response.

Information which the Proposer considers proprietary, if any, should be clearly marked “proprietary” next to the relevant part of the text and it will then be treated as such accordingly.

Proposal should contain tentative work plan for the contract works. Detailed work plan must be submitted in case of contract award to the Proposer and will become an integral part of the contract.

The Technical Proposal should include

1. Demonstration of Understanding of the Requirements for Services, including Assumptions
The Proposer should include any assumptions as well as comments on the data, support services and facilities to be provided by the Government and UNDP as indicated in the TOR, or as may otherwise believe to be necessary.
2. Proposed Approach, Methodology, Timing and Outputs
The Proposer should include comments or suggestions on the TOR, as well as detailed description of the manner in which the Proposer would respond to the TOR. The Proposer should include the number of person-months in each specialization that is considered necessary to carry out all work required.
3. Proposed Team Structure
The composition of the team which the Proposer would propose to provide in the country of assignment and/or at the home office, and the work tasks (including supervisory) which would be assigned to each. An organum illustrating the reporting lines, together with a description of such organization of the team structure, should support the proposal.
4. Proposed Project Team Members
The curriculum vitae of senior professional members of the team.
5. **Financial proposal**

The Proposer shall indicate on an appropriate Price Schedule, an example of which is contained in these Solicitation Documents, the prices of services / goods it proposes to supply under the contract. Proposer shall provide a TOTAL PRICE for the suggested contract, which shall not exceed the budget available for the contract.

The financial component must cover all the services to be provided and must itemize the following:

a) An all-inclusive rate per person-day (including honorarium and living expenses) for each team member to be assigned to the mission in the field and a rate for his/her work at the home office, if any.

b) An all-inclusive amount for international travel (if required) and related expenses (indicating number of round trips per team member).

c) An all-inclusive amount for local travel.

d) Other costs, if any (indicating nature and breakdown).

e) Summary of total cost for the services proposed.

f) A proposed schedule of payments (Annex IV), all of which must be expressed and will be effected in the currency of the proposal specified.

1. **Proposal currencies**

All prices shall be quoted in US dollars only. Contracts with Chinese companies will be denominated in USD if possible. Price of the contracts in RMB will be calculated based on the price in USD using UN/UNDP exchange rate at the moment of payments released.

1. **Period of validity of proposals?**

Proposals shall remain valid for **thirty (30) days** after the date of Proposal submission, pursuant to the deadline clause. A Proposal valid for a shorter period may be rejected by the ETS PMO on the grounds that it is non-responsive.

In exceptional circumstances, the ETS PMO solicit the Proposer’s consent to an extension of the period of validity. The request and the responses thereto shall be made in writing. A Proposer granting the request will not be required nor permitted to modify its Proposal.

1. **Format and signing of proposals**

The Proposer shall prepareten copiesof the Proposal, clearly marking one “Original Proposal” and nine others “Copy of Proposal” as appropriate. In the event of any discrepancy between them, the original shall govern.

The ten copies of the Proposal shall be typed or written in indelible ink and shall be signed by the Proposer or a person or persons duly authorized to bind the Proposer to the contract. The latter authorization shall be indicated by written power-of-attorney accompanying the Proposal.

A Proposal shall contain no interlineations, erasures, or overwriting except, as necessary to correct errors made by the Proposer, in which case such corrections shall be initialed by the person or persons signing the Proposal.

 **Submission of Proposals**

1. **Sealing and marking of proposals**

The Proposer shall seal the Proposal in one outer and one inner envelopes, as detailed below.

1. The outer envelope shall be addressed to –

**Attention:** Establishment of National Registry System for Domestic Emissions Trading Scheme and Voluntary Carbon Emission Reduction Project Phase II (ETS)

**Wang Xi**

ETS PMO

No. 38, Yuetan South Street, Xicheng District, Beijing, P.R. China

Post Code: 100824

Fax: +8610-68502358

 (ETS项目办，北京市西城区月坛南街38号，邮编:100824)

and, marked with –

Externally:

**Attention:**

SUB-**CONTRACT**  -- the research of  supervision and management mechanism of the Third-Party Verification Body  in the national ETS

NOT TO BE OPENED BEFORE EVALUATIONA

(Sealed with signature or stamp)

Internally:

SUB-**CONTRACT** -- the research of  supervision and management mechanism of the Third-Party Verification Body in the national ETS (Technical and Financial proposal)

1. The inner envelope shall indicate the name and address of the Proposer, clearly marking one as “Original” and nine others as “Copy”.

**Note,** if the inner envelopes are not sealed and marked as per the instructions in thisclause, the PMO will not assume responsibility for the Proposal’s misplacement or premature opening.

1. **Deadline for submission of proposals**

Proposals must be received by ETS PMO at the address specified under clause *Sealing and marking of Proposals* no later than Submission Deadline **(January 31 , 2018 at 5:00pm)** Beijing time.

1. **Late Proposals**

Any Proposal received by ETS PMO after the deadline for submission of proposals will be rejected.

# **Modification and withdrawal of Proposals**

The Proposer may withdraw itsProposal after the Proposal’s submission, provided that written notice of the withdrawal is received by the ETS PMO prior to the deadline prescribed for submission of Proposals.

The Proposer’s withdrawal notice shall be prepared, sealed, marked, and dispatched in accordance with the provisions of Deadline for Submission of Proposals. The withdrawal notice may also be sent by fax but followed by a signed confirmation copy.

No Proposal may be modified subsequent to the deadline for submission of proposals.

1. **Evaluation and comparison of proposals**

A cumulative analysis scheme will be used for the evaluation of the proposals. A total score is awarded upon the combination of weighted technical and financial attributes. The Proposer’s response to the solicitation document will be evaluated and points are attributed based on how well they meet the defined desirable criteria. Cost is an award criterion and represents 30 percent out of a total score of 1000 of all the desirable factors.

A two-stage procedure is utilized in evaluating the proposals, with evaluation of the technical proposal being completed prior to any price proposal being opened and compared. The price proposal of the Proposals will be opened only for submissions that passed the minimum technical score of 70% of the obtainable points in the evaluation of the technical proposals.

The technical proposal is evaluated on the basis of its responsiveness to the Term of Reference (TOR). Evaluation criteria are attached as Annex V.

In the Second Stage, the price proposal of all contractors, who have attained minimum 70% score in the technical evaluation, will be compared. The contract will be awarded to the Contractor with the highest combined technical and financial scores. The formula for the rating of the Proposals will be as follows:

Rating the Technical Proposal (TP):

**TP Rating** = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100

Rating the Financial Proposal (FP):

**FP Rating** = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100

Total Combined Score:

(TP Rating) x (Weight of TP, e.g. 70%)

 + (FP Rating) x (Weight of FP, e.g., 30%)

**Total Combined and Final Rating of the Proposal**

1. **Award of contract**

The ETS PMO reserves the right to accept or reject any Proposal, and to annul the solicitation process and reject all Proposals at any time prior to award of contract, without thereby incurring any liability to the affected Proposer or any obligation to inform the affected Proposers of the grounds for the Purchaser’s action.

Prior to expiration of the period of proposal validity, PMO will award the contract to the qualified Proposer whose Proposal after being evaluated is considered to be the most responsive to the needs of the organization and activity concerned.

**Annex I**

**PROPOSAL SUBMISSION COVER LETTER FORM**

Dear Sir / Madam,

Having examined the Solicitation Documents, the receipt of which is hereby duly acknowledged, we, the undersigned, offer to provide the services as required in the Terms of Reference for the Contract the research of  supervision and management mechanism of the Third-Party Verification Body  in the national ETS sum as may be ascertained in accordance with the Price Schedule attached herewith and made part of this Proposal.

We undertake, if our Proposal is accepted, to commence and complete delivery of all services specified in the contract within the time frame stipulated.

We agree to abide by this Proposal for a period of 30 days from the date fixed for opening of Proposals in the Invitation for Proposal, and it shall remain binding upon us and may be accepted at any time before the expiration of that period.

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

Dated this day /month of year

Signature

(In the capacity of)

Duly authorized to sign Proposal for and on behalf of

**Annex II**

**DOCUMENT ESTABLISING THE ELIGIBILITY AND QUALIFICATIONS OF THE PROPOSER**

**Proposer Information Form**

Date: *[insert date (as day, month and year] of Proposal Submission*]

Page \_\_\_\_\_\_\_\_of \_\_\_\_\_\_\_\_ pages

|  |
| --- |
| 1. Proposer’s Legal Name *[insert Proposer’s legal name]* |
| 2. In case of Joint Venture (JV), legal name of each party: *[insert legal name of each party in JV]* |
| 3. Actual or intended Country/ies of Registration/Operation: *[insert actual or intended Country of Registration]* |
| 4. Year of Registration: *[insert Proposer’s year of registration]* |
| 5. Countries of Operation | 6. No. of staff in each Country | 7.Years of Operation in each Country |
| 8. Legal Address/es in Country/ies of Registration/Operation: *[insert Proposer’s legal address in country of registration]* |
| 9. Value and Description of Top three (3) Biggest Contract for the past five (5) years |
| 10. Latest Credit Rating (if any)  |
| 1. Brief description of litigation history (disputes, arbitration, claims, etc.), indicating current status and outcomes, if already resolved.
 |
| 12. Proposer’s Authorized Representative Information Name: *[insert Authorized Representative’s name]*  Address: *[insert Authorized Representative’s name]* Telephone/Fax numbers: *[insert Authorized Representative’s name]* Email Address: *[insert Authorized Representative’s name]* |
| 13**.** Are you in the UNPD List 1267.1989 or UN Ineligibility List ? ☐ YES or ☐ NO |
| 14. Attached are copies of original documents of: ☐ All eligibility document requirements listed in the Data Sheet☐ If Joint Venture/Consortium – copy of the Memorandum of Understanding/Agreement or Letter of Intent to form a JV/Consortium, or Registration of JV/Consortium, if registered☐ If case of Government corporation or Government-owned/controlled entity, documents establishing legal and financial autonomy and compliance with commercial law. |

**Joint Venture Partner Information Form (if Registered)**

Date: *[insert date (as day, month and year) of Proposal Submission*]

Page \_\_\_\_\_\_\_\_ of\_ \_\_\_\_\_\_ pages

|  |
| --- |
| 1. Proposer’s Legal Name: *[insert Proposer’s legal name]* |
| 2. JV’s Party legal name: *[insert JV’s Party legal name]* |
| 3. JV’s Party Country of Registration: *[insert JV’s Party country of registration]* |
| 4. Year of Registration: *[insert Party’s year of registration]* |
| 5. Countries of Operation | 6. No. of staff in each Country | 7.Years of Operation in each Country |
| 8. Legal Address/es in Country/ies of Registration/Operation: *[insert Party’s legal address in country of registration]* |
| 9. Value and Description of Top three (3) Biggest Contract for the past five (5) years |
| 10. Latest Credit Rating (if any)  |
| 11.Brief description of litigation history (disputes, arbitration, claims, etc.), indicating current status and outcomes, if already resolved.  |
| 12. JV’s Party Authorized Representative InformationName: *[insert name of JV’s Party authorized representative]*Address: *[insert address of JV’s Party authorized representative]*Telephone/Fax numbers: *[insert telephone/fax numbers of JV’s Party authorized representative]*Email Address: *[insert email address of JV’s Party authorized representative]* |
| 13. Attached are copies of original documents of:*[check the box(es) of the attached original documents]*☐ All eligibility document requirements listed in the Data Sheet☐ Articles of Incorporation or Registration of firm named in 2.☐ In case of government owned entity, documents establishing legal and financial autonomy and compliance with commercial law. |

**Annex III**

**Technical Proposal Form**

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| TECHNICAL PROPOSAL FORMAT**INSERT TITLE OF THE SERVICES** |

***Note: Technical Proposals not submitted in this format may be rejected. The financial proposal should be included in separate envelope.***

|  |  |
| --- | --- |
| **Name of Proposing Organization / Firm:** |  |
| **Country of Registration:**  |  |
| **Name of Contact Person for this Proposal:** |  |
| **Address:** |  |
| **Phone / Fax:** |  |
| **Email:** |  |

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| --- |
| **SECTION 1: EXPERTISE OF FIRM/ ORGANISATION** |
| *This section should fully explain the Proposer’s resources in terms of personnel and facilities necessary for the performance of this requirement. All contents of this section may be modified or expanded depending on the evaluation criteria stated in the RFP.*1.1 Brief Description of Proposer as an Entity: Provide a brief description of the organization / firm submitting the proposal, its legal mandates/authorized business activities, the year and country of incorporation, types of activities undertaken, and approximate annual budget, etc. Include reference to reputation, or any history of litigation and arbitration in which the organisation / firm has been involved that could adversely affect or impact the performance of services, indicating the status/result of such litigation/arbitration.1.2. Financial Capacity:Provide the latest Audited Financial Statement (Income Statement and Balance Sheet) duly certified by a Public Accountant, and with authentication of receiving by the Government’s Internal Revenue Authority. Include any indication of credit rating, industry rating, etc.1.3. Track Record and Experiences: Provide the following information regarding corporate experience within the last five (5) years which are related or relevant to those required for this Contract.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Name of project** | **Client** | **Contract Value** | **Period of activity** | **Types of activities undertaken** | **Status or Date Completed** | **References Contact Details (Name, Phone, Email)** |
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| **SECTION 2 - APPROACH AND IMPLEMENTATION PLAN** |
| *This section should demonstrate the Proposer’s responsiveness to the TOR by identifying the specific components proposed, addressing the requirements, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; and demonstrating how the proposed methodology meets or exceeds the requirements.*2.1. Approach to the Service/Work Required: Please provide a detailed description of the methodology for how the organisation/firm will achieve the Terms of Reference of the project, keeping in mind the appropriateness to local conditions and project environment.2.2. Technical Quality Assurance Review Mechanisms: The methodology shall also include details of the Proposer’s internal technical and quality assurance review mechanisms. 2.3 Implementation Timelines: The Proposer shall submit a Gantt Chart or Project Schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing. 2.4. Subcontracting: Explain whether any work would be subcontracted, to whom, how much percentage of the work, the rationale for such, and the roles of the proposed sub-contractors. Special attention should be given to providing a clear picture of the role of each entity and how everyone will function as a team. 2.5. Risks / Mitigation Measures: Please describe the potential risks for the implementation of this project that may impact achievement and timely completion of expected results as well as their quality. Describe measures that will be put in place to mitigate these risks.2.6. Reporting and Monitoring: Please provide a brief description of the mechanisms proposed for this project for reporting to the UNDP and partners, including a reporting schedule. 2.7. Partnerships: Explain any partnerships with local, international or other organizations that are planned for the implementation of the project. Special attention should be given to providing a clear picture of the role of each entity and how everyone will function as a team. Letters of commitment from partners and an indication of whether some or all have successfully worked together on other previous projects is encouraged. 2.8 Statement of Full Disclosure: This is intended to disclose any potential conflict in accordance with the definition of “conflict” under Section 4 of this document, if any.2.9 Other: Any other comments or information regarding the project approach and methodology that will be adopted.  |

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| SECTION 3: PERSONNEL3.1 Management Structure: Describe the overall management approach toward planning and implementing this activity. Include an organization chart for the management of the project describing the relationship of key positions and designations.3.2 Staff Time Allocation: Provide a spreadsheet will be included to show the activities of each staff member and the time allocated for his/her involvement. (Note: *This spreadsheet is crucial and no substitution of personnel will be tolerated once the contract has been awarded except in extreme circumstances and with the written approval of the PMO. If substitution is unavoidable it will be with a person who, in the opinion of the project manager, is at least as experienced as the person being replaced, and subject to the approval of PMO. No increase in costs will be considered as a result of any substitution.)*3.3 Qualifications of Key Personnel. Provide the CVs for key personnel (Team Leader, Managerial and general staff) that will be provided to support the implementation of this project. CVs should demonstrate qualifications in areas relevant to the Scope of Services. Please use the format below:

|  |  |
| --- | --- |
| **Name:** |  |
| **Position for this Contract:** |  |
| **Nationality:**  |  |
| **Contact information:** |  |
| **Countries of Work Experience:** |  |
| **Language Skills:** |  |
| **Educational and other Qualifications:** |  |
| **Summary of Experience:** *Highlight experience in the region and on similar projects.*  |
| Relevant Experience (From most recent): |
| **Period: From – To** | **Name of activity/ Project/ funding organisation, if applicable:** | **Job Title and Activities undertaken/Description of actual role performed:**  |
| *e.g. June 2004-January 2005* |  |  |
| *Etc.* |  |  |
| *Etc.*  |  |  |
| **References no.1 (minimum of 3):** | *Name**Designation**Organization**Contact Information – Address; Phone; Email; etc.* |
| **Reference no.2** | *Name**Designation**Organization**Contact Information – Address; Phone; Email; etc.* |
| **Reference no.3** | *Name**Designation**Organization**Contact Information – Address; Phone; Email; etc.* |
| **Declaration:**I confirm my intention to serve in the stated position and present availability to serve for the term of the proposed contract. I also understand that any wilful misstatement described above may lead to my disqualification, before or during my engagement.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Signature of the Nominated Team Leader/Member Date Signed |
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**Annex IV**

**Financial Proposal Form**

The Proposer is required to prepare the Financial Proposal in an envelope separate from the rest of the RFP as indicated in the Instruction to Proposers.

The Financial Proposal must provide a detailed cost breakdown. Provide separate figures for each functional grouping or category.

Any estimates for cost-reimbursable items, such as travel and out-of-pocket expenses, should be listed separately.

In case of an equipment component to the service provider, the Price Schedule should include figures for both purchase and lease/rent options. PMO reserves the option to either lease/rent or purchase outright the equipment through the Contractor.

The format shown on the following pages is suggested for use as a guide in preparing the Financial Proposal. The format includes specific expenditures, which may or may not be required or applicable but are indicated to serve as examples.

1. **Cost Breakdown per Deliverables\***

|  |  |  |  |
| --- | --- | --- | --- |
| SN | Deliverables *[list them as referred to in the TOR]* | Percentage of Total Price (Weight for payment)  | Price (Lump Sum, All Inclusive) |
| 1 | Deliverable 1 |  |  |
| 2 | Deliverable 2 |  |  |
| 3 | …. |  |  |
|  | Total  | 100% | USD …… |

*\*Basis for payment tranches*

1. **Cost Breakdown by Cost Component:**

The Proposers are requested to provide the cost breakdown for the above given prices for each deliverable based on the following format. UNDP shall use the cost breakdown for the price reasonability assessment purposes as well as the calculation of price in the event that both parties have agreed to add new deliverables to the scope of Services.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of Activity | Remuneration per Unit of Time (e.g., day, month, etc.) | Total Period of Engagement | No. of Personnel | Total Rate for the Period  |
| **I. Personnel Services**  |  |  |  |  |
|  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 |  |  |  |  |
|  |  |  |  |  |
| **II. Out of Pocket Expenses** |  |  |  |  |
|  1. Travel Costs |  |  |  |  |
|  2. Daily Allowance |  |  |  |  |
|  3. Communications |  |  |  |  |
|  4. Reproduction |  |  |  |  |
|  5. Equipment Lease |  |  |  |  |
|  6. Others |  |  |  |  |
| **III. Other Related Costs** |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**Annex V**

**TECHNICAL EVALUATION CRITERIA**

If the Proposer does not have necessary licenses for carrying out relevant works in P.R. China, the Proposer cannot participate in tendering process. The Technical Proposal should include (but not limit) the following aspects for evaluation.

**1. Expertise of Firm / Organization submitting Proposal and experience of similar works (40%)**

1.1 Reputation of Organization and Staff.

1.2 Litigation and Arbitration history.

1.3 General Organizational Capability which is likely to affect implementation (i.e. loose consortium, holding company or one firm, size of the firm / organization, strength of project management support e.g. project financing capacity and project management controls).

1.4 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.

1.5 Quality assurance procedures, warranty

1.6 Relevance of:

* Specialized Knowledge
* Experience on Similar Program / Projects
* Experience on Projects in the Region
* Work for UNDP/ major multilateral/ or
* bilateral programs

**2. Personnel (20%)**

2.1 Task Manager

* International experience
* Education background
* Professional experience in the area of specialization
* Knowledge of the region
* Language Qualifications (Chinese and English)

2.2 Senior Experts

* International experience
* Education background
* Professional experience in the area of specialization
* Knowledge of the region
* Language Qualifications (Chinese and English)

2.3 Junior Experts

* International experience
* Education background
* Professional experience in the area of specialization
* Knowledge of the region
* Language Qualifications (Chinese and English)

2.4 Organization Chart

**3. Proposed Work Plan and Approach (40%)**

3.1 To what degree does the Proposer understand the task?

3.2 Have the important aspects of the task been addressed in sufficient detail?

3.3 Are the different components of the project adequately weighted relative to one another?

3.4 Is the proposal based on a survey of the project environment and was this data input properly used in the preparation of the proposal?

3.5 Is the conceptual framework adopted appropriate for the task?

3.6 Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation of the project?

3.7 Is the scope of task well defined and does it correspond to the TOR?