

# **Request For Proposal (RFP) for Services**

Research and coordination services for  
four research projects in selected African  
countries on behalf of the Cities Alliance

**RFP No.** RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015

Date: 21 August 2015

**Request For Proposal**  
**Research and coordination services for four research projects**  
**RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015****Section 1: Proposal data**

RFP number:	RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015
Project:	FCA – Cities Alliance
Procurement official's name:	David Daep
Dedicated Email for queries & solicitations:	CAbids@unops.org
Issue date:	21 August 2015

Requests for clarifications due:

Date:	3 September 2015
Time:	18:00 Central European Time

UNOPS clarifications to offerors due:

Date:	8 September 2015
Time:	18:00 Central European Time

Proposal due:**OFFERORS ARE RESPONSIBLE FOR THE TIMELY SUBMISSION OF THEIR PROPOSAL.**

Due Date:	16 September 2015
Time:	23:00 Central European Time

Planned award date:

Date:	October 2015
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Planned contract start date:

Date:	October 2015
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## Request for Proposal

### Research and coordination services for four research projects

#### RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015

### Section 2 – RFP Letter

UNOPS plans to procure Research and coordination services for four research projects in selected African countries on behalf of the Cities Alliance as defined in accordance with these documents.

UNOPS now invites proposals from qualified offerors for providing the requirements as defined in the UNOPS Terms of Reference attached herein. Proposals must be received by UNOPS at the address specified not later than 23:00 Central European Time on 16 September 2015.

This RFP is conducted in accordance with the UNOPS Procurement Manual and all other relevant directives, issuances, and can be accessed by following the link below. For clarification on specific issues or to learn more details about procurement at UNOPS, offerors are encouraged to consult the UNOPS Procurement Manual. In case of contradictions between this RFP and the UNOPS Procurement Manual, the UNOPS Procurement Manual shall prevail.

<http://www.unops.org/SiteCollectionDocuments/Procurement/UNOPS%20procurement%20manual%20EN.pdf>

This UNOPS RFP consists of six sections and a series of annexes that will be completed by offerors and returned with their proposal:

- RFP section 1: Proposal data sheet
- RFP section 2: RFP letter (this document)
- RFP section 3: Instructions to offerors
- RFP section 4: UNOPS Terms of Reference (TOR)
- RFP section 5: UNOPS General Conditions of Contract
- RFP section 6: UNOPS Sample contract for services template

Returnable RFP forms:

- |         |   |
|---------|---|
| Annex A | Proposal/no proposal confirmation form                        |
| Annex B | Mandatory requirements/pre-qualification criteria             |
| Annex C | Technical proposal submission form                            |
| Annex D | Financial proposal submission form                            |
| Annex E | UNGM Vendor registration form                                 |
| Annex F | Regarding Consortium/Joint Proposals ( <i>as applicable</i> ) |

**Pre-cleared by:**

Date: 21 August 2015



David Daep  
Programme Officer, CAC – GPSO  
UNOPS

**Approved by:**

Date:



Robert Godin  
Officer-in-Charge, GPSO  
UNOPS

21/08/2015

## Request for Proposal

### Research and coordination services for four research projects

#### RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015

## Section 3: Instructions to Offerors

### 1 Introduction

- 1.1. UNOPS invites qualified offerors to submit Technical and Financial Proposals to provide research and coordination services for four research projects in selected African countries on behalf of the Cities Alliance.
- 1.2. A description of the services required is provided in RFP section 4, Terms of Reference.
- 1.3. UNOPS may, at its discretion, cancel the requirement in part or in whole.
- 1.4. Offerors may withdraw the proposal after submission provided that written notice of withdrawal is received by UNOPS prior to the deadline prescribed for submission of proposals. No proposal may be modified subsequent to the deadline for submission of proposal. No proposal may be withdrawn in the interval between the deadline for submission of proposals and the expiration of the period of proposal validity.
- 1.5. All proposals shall remain valid and open for acceptance for a period of 90 calendar days after the date specified for receipt of proposals. A proposal valid for a shorter period may be rejected. In exceptional circumstances, UNOPS may solicit the offeror's consent to an extension of the period of validity. The request and the responses thereto shall be made in writing.
- 1.6. Effective with the release of this solicitation, all communications must be directed only to UNOPS (David Daepf, Programme Officer) by email at [CAbids@unops.org](mailto:CAbids@unops.org). Offerors must not communicate with any other personnel of UNOPS regarding this RFP.

### 2 Cost of Proposal

The cost of preparing a proposal, attendance at any pre-proposal conference, meetings or oral presentations shall be borne by the offerors, regardless of the conduct or outcome of the solicitation process. Proposals must offer the services/goods for the total requirement; proposals offering only part of the services/goods will be rejected unless the option of submitting a proposal for any or all lot/s of the requirement has been expressly stated in the TOR.

### 3 Eligibility

Offerors must not be associated, or have been associated in the past, directly or indirectly, with a firm or any of its affiliates which has been engaged by UNOPS to provide consulting services for the preparation of the design, terms of references, and other documents used for the procurement of the services under this Request for Proposal.

All suppliers are expected to embrace the principles of the [United Nations Supplier Code of Conduct](#), given that it originates from the core values of the Charter of the United Nations. UNOPS also expects all its suppliers to adhere to the principles of the [United Nations Global Compact](#).

Offerors must not be under a declaration of ineligibility for corrupt and fraudulent practices published by UNOPS on its website. Offerors must meet the eligibility criteria as published on the [UNOPS website](#).

## a. Clarification of solicitation documents

A prospective offeror requiring any clarification of the solicitation documents may notify UNOPS in writing at UNOPS email address indicated in the RFP by the specified date and time. UNOPS will respond in writing to any request for clarification of the solicitation documents that it receives by the due date published on section 1. Written copies of UNOPS response (including an explanation of the query but without identifying the source of inquiry) will be sent to all prospective offerors that have received the solicitation documents.

A summary of responses to all clarifications/queries received (including an explanation of the query but without identifying the source of inquiry) will be posted on the UNOPS and on the UNGM websites.

## 4 Amendments to Solicitation Documents

At any time prior to the deadline for submission of proposals, UNOPS may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective offeror, modify the solicitation documents by amendment. All prospective offerors that have received the solicitation documents will be notified in writing of all amendments to the Solicitation documents. For open competitions, all amendments will also be posted on the UNOPS website and UNGM in the business opportunities section.

In order to afford prospective offerors reasonable time in which to take the amendment into account in preparing their proposals, UNOPS may, at its sole discretion, extend the deadline for the submission of proposal.

## 5 Language of Proposals

The proposals prepared by the offeror and all correspondence and documents relating to the proposal exchanged by the offeror and UNOPS, shall be written in English. Supporting documents and printed literature furnished by the offeror may be in another language provided they are accompanied by an appropriate translation of all relevant passages in English. In any such case, for interpretation of the proposal, the translation shall prevail. The sole responsibility for translation and the accuracy thereof shall be the responsibility of the offeror.

## 6 Submission of Proposal

- 6.1. Offerors must submit their proposals via email. **Technical and financial proposals must be submitted in close sequence in separate** emails with the RFP reference and the clear description of the proposal (technical or financial) by the date & time stipulated in this document.
- 6.2. Proposals must be sent **ONLY** to the email address detailed below. Proposals sent to other addresses or to individuals may be rejected.

### 6.2.2 Submission by email – detailed instructions

If submission is by email, electronic transmission or a secured fax address, the technical and financial proposals must be sent as two separate emails. The text of both emails should indicate the name and address of the offeror and the description of the proposal (technical or financial). The technical email should not contain any pricing information; nor should the financial email/ contain any components of the technical proposal.

The email subject line for technical proposals should read:

RFP No RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015 - *name of offeror* -  
TECHNICAL PROPOSAL

The email subject line for financial proposals should read:

RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015–(*name of offeror*) - FINANCIAL  
PROPOSAL – Lot/research project (x)

All proposals must be sent by email to the following dedicated email address:

**CAbids@unops.org**

Proposals should be received by the date time and means of submission stipulated in this RFP. Offerors are responsible for ensuring that UNOPS receives their proposal by the due date and time. Proposals received by UNOPS after the proposed due date and time may be rejected.

In case of submission by email, the receipt time stamp shall be the date and time when the submission has been received in the dedicated UNOPS inbox. UNOPS shall not be responsible for any delays caused by network problems etc. It is the sole responsibility of offerors to ensure that their proposal is received by UNOPS in the dedicated inbox/fax number on or before the prescribed tender deadline.

- 6.3. The "Certificate of Offeror's Eligibility and Authority to Sign Proposal" contained in this RFP must be executed by a representative of offeror who is duly authorized to execute contracts and bind the offeror. Signature on the certificate represents that the offeror has read this RFP, understands it and agrees to be bound by its terms and conditions. The offeror's proposal with any subsequent modifications and counter-proposals, if applicable, shall become an integral part of any resulting contract.

## 7 Late Proposals

Any proposals received by UNOPS after the deadline for submission of proposals prescribed in this document, may be rejected.

## 8 Clarification of Proposals

To assist in the examination, evaluation and comparison of proposals, UNOPS may, at its sole discretion, ask the offeror for a clarification of its proposal. The request for clarification and the response shall be in writing and no change in the price or substance of the proposal shall be sought, offered or permitted. UNOPS will review minor informalities, errors, clerical mistakes, apparent errors in price and missing documents in accordance with the [UNOPS Procurement Manual 8.9 Discussions with vendors](#).

## 9 Proposal Currency

All prices shall be quoted in United States Dollars (USD).

UNOPS reserves the right not to reject any proposals submitted in another currency than the mandatory bidding currency stated above. UNOPS may accept proposals submitted in another currency than stated above if the offeror confirms during clarification of proposals (8) in writing that it will accept a contract issued in the mandatory proposal currency and that for conversion the official United Nations operational rate of exchange of the day of RFP deadline as stated in the RFP letter shall apply.

Regardless of the currency of proposals received, the contract will always be issued and subsequent payments will be made in the mandatory bidding currency above.

## 10 Mandatory/Pre-qualification Criteria

- 10.1. The mandatory requirements/pre-qualification criteria have been designed to assure that, to the degree possible in the initial phase of the RFP procurement process, only those offerors with sufficient experience, the financial strength and stability, the demonstrable technical knowledge, the evident ability to satisfy UNOPS requirements and superior customer references for supplying the services envisioned in this RFP will qualify for further consideration. UNOPS reserves the right to verify any information contained in offeror's response or to request additional information after the proposal is received. Incomplete or inadequate responses, lack of response or misrepresentation in responding to any questions will affect your evaluation
- 10.2. Offerors will receive a pass/fail rating in the mandatory requirements/pre-qualification criteria section. In order to be considered for Phase I (technical evaluation), offerors must meet all the mandatory requirements/pre-qualification criteria described in this RFP.
- 10.3. The UNOPS General Conditions for services/goods and the UNOPS contract, as part of this RFP, contain mandatory terms and conditions for offerors' review and acceptance.

## 11 Evaluation of Technical and Financial Proposal

### 11.1. Phase I - Technical Proposal 70 points

**Important Note: For Technical Proposals for more than 1 lot (i.e. more than one of the research projects described in the TOR), each proposal for each research project/lot should be clearly delineated within the overall technical proposal to enable stand-alone evaluation**

- 11.1.1. Only proposals meeting the mandatory criteria will advance to the technical evaluation in which a maximum possible 70 points can be awarded. An evaluation committee

appointed by UNOPS will carry out the technical evaluation applying the evaluation criteria and points ratings as listed below. In order to advance beyond Phase I of the detailed evaluation process to Phase II (financial evaluation) a proposal must have achieved a minimum cumulative average score of 55 points.

Technical proposals will be evaluated using the following criteria:

- a) The firm/institution's general reliability as well as experience and capacity in the specific field of the assignment with a particular focus on scientific research (10 points);
- b) The approach in responding to the TOR and the detailed work plan (30 points); and
- c) The qualifications and competence of the personnel proposed for the assignment for a total of (30 points).

#### 11.2. Phase II – Financial Proposal 30 points

**Important note:** for proposals for more than 1 lot (i.e. more than one of the research projects described in the TOR), offerors are required to **submit separate financial proposals in separate email attachments labelled accordingly:**

RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015–(name of offeror) - FINANCIAL PROPOSAL – Lot/research project (x)

- 11.2.1. Financial proposals will be evaluated following the completion of the technical evaluation. The offeror with the lowest evaluated cost will be awarded 30 points. Financial proposals from other offerors will receive pro-rated points based on the proportion of the offeror's prices to that of the lowest evaluated cost.

##### 11.2.1.1. Formula for computing points (per lot):

$$\text{Points} = (A/B) \text{ Financial Points}$$

Example: Offeror A's price is the lowest at \$10.00. Offeror A receives 30 points  
Offeror B's price is \$20.00. Offeror B receives  $(\$10.00/\$20.00) \times 30$  points = 15 points

## 12 Preparation of Proposal

- 12.1. The offeror is expected to examine all terms and instructions included in the solicitation documents. Failure to provide all requested information will be at the offeror's own risk, and may result in rejection of the offeror's proposal.
- 12.2. The offeror's proposal must be organized to follow the format of this RFP. Each offeror must respond to every stated request or requirement, and indicate that the offeror understands and confirms acceptance of UNOPS stated requirements. The offeror should identify any substantive assumption made in preparing its proposal. The deferral of a response to a question or issue to the contract negotiation stage is not acceptable. Any item not specifically addressed in the offeror's proposal will be deemed as accepted by the offeror. The terms "offeror" and "contractor" refer to those companies that submit a proposal pursuant to this RFP.
- 12.3. Where the offeror is presented with a requirement or asked to use a specific approach, the offeror must not only state its acceptance, but also describe, where appropriate, how it



intends to comply. Failure to provide an answer to an item will be considered an acceptance of the item. Where a descriptive response is requested, failure to provide the same will be viewed as non-responsive.

- 12.4. The Terms of Reference (TOR) in this document provides a general overview of the current operation. If the offeror wishes to propose alternatives or equivalents, the offeror must demonstrate that any such proposed change is equivalent or superior to UNOPS established requirements. Acceptance of such changes is at the sole discretion of UNOPS.
- 12.5. Proposals must offer services/goods for the total requirement (in this case 1 specific research project/lot or more), unless otherwise permitted in the solicitation document. Proposals offering only part of the services/goods may be rejected unless permitted otherwise in the solicitation document.

**RFP Submission** (on or before proposal due date):

As a minimum, offerors shall complete and return the below listed documents (Annexes to this RFP) as an integral part of their proposal. Offerors may add additional documentation to their proposals as they deem appropriate.

Failure to complete and return the below listed documents as part of the proposal, may result in proposal rejection.

Part of proposal	Mandatory Requirements/pre-qualification criteria (Annex B hereto)
Part of proposal	Technical Proposal Submission Form (Annex C hereto)
Part of proposal	Financial Proposal Submission Form (Annex D hereto) <b>Sealed in a separate envelope/sent in a separate email!</b>  <b>If submitting for more than 1 lot, financial proposals must be in separate, clearly labeled email attachments</b>

If after assessing this opportunity you have made the determination not to submit your proposal, we would appreciate if you could return this form indicating your reasons for non-participation.

**Pre-submission:**

Offerors shall complete and return the Proposal/no proposal confirmation form prior to the submission deadline, indicating whether they do or do not intend to submit a proposal.

Stand-alone document	Proposal/no proposal confirmation form (Annex A hereto)
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## 13 Format and Signing of Proposal

The proposal shall be typed and signed in indelible ink by the offeror or a person or persons duly authorized to bind the offeror to the contract.

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

## 14 Award

- 14.1. The Award will be made to the responsible and responsive offeror with the highest evaluated proposal following negotiation of an acceptable contract. UNOPS reserves the right to conduct negotiations with the vendor regarding the contents of their offer. The award will be in effect only after acceptance by the selected offeror of the terms and conditions and the terms of reference/statement of work. **The contract will reflect the name of the offeror whose financials were provided in response to this RFP.** Upon execution of the contract, UNOPS will promptly notify the unsuccessful offerors.
- 14.2. The selected contractor is expected to commence providing services as of the date and time stipulated in this RFP, or as agreed with UNOPS at the time of Award.
- 14.3. UNOPS Reserves the right to make split awards, to award by lots and to make multiple awards for lots.
- 14.4. UNOPS Reserves the right to negotiate with offerors due to budgetary and quality aspects as well as other constraints.

**Request For Proposal****Research and coordination services for four research projects****RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015****Section 4: UNOPS Terms Of Reference****CITIES ALLIANCE, FUTURE CITIES AFRICA (FCA)****RESEARCH EVIDENCE FOR CHANGE (E4C). RESEARCH AND COORDINATION SERVICES FOR FOUR RESEARCH PROJECTS IN SELECTED AFRICAN COUNTRIES****BACKGROUND**

1. The Cities Alliance is the preeminent global partnership for the promotion of cities in poverty reduction and sustainable development. Headquartered in Brussels, it is a unique partnership with diverse members – local authorities, national governments, international non-governmental organisations, foundations and multi-lateral organisations – which have come together to strengthen both impacts and coherence in urban development.
2. The Cities Alliance's overall objectives are to support cities in providing effective local government, an active citizenship and a growing economy characterised by both public and private investment. Since its establishment in 1999, the Cities Alliance has become a global leader in supporting strategic city planning, slum upgrading strategies and national policies designed to make cities more inclusive and sustainable. Cities Alliance's activities have helped leverage over US\$1.5 billion in additional funding. The current Medium Term Strategy is focused on Promoting Equity in Cities through equitable economic growth, gender equality and partnerships. Cities Alliance is hosted by UNOPS.
3. Today urban areas face major challenges – extreme poverty, poor living conditions, lack of basic infrastructure services, and vulnerability to natural disasters and climate change. It will take careful intervention and planning to ensure that the poor benefit from city growth in a sustainable way. At the same time, it is also necessary to limit the potentially negative environmental impacts associated with rapid urban growth.
4. There is an important, but closing, window for action. Annual investments in urban infrastructure are expected to increase from USD 2-3 trillion to USD 7 trillion in 2050. Acting now to support cities to plan this investment in a low carbon and integrated way – before they are locked into unsustainable development paths – will help them become centres of sustainable, long-term economic growth, with infrastructure that maximises agglomeration economies and resilience to future climate changes.
5. A comprehensive, integrated response to support African cities is needed and is a Cities Alliance priority. Many African cities lack the capacity to act, and there is limited quality research to provide them with guidance on how, when or where to invest. Moreover, many cities often take a piecemeal approach to activities rather than a coordinated effort to address important issues in a holistic way.
6. Against this background the Future Cities Africa (FCA) project was initiated by the UK Department for International Development (DFID) and is currently facilitated by the Cities Alliance. It aims to identify more effective ways to make cities work for the poor, with a focus on resilience and economic growth. Through the FCA, the Cities Alliance supports over 20 cities in four African countries (Ethiopia, Ghana, Mozambique and Uganda) to anticipate and minimise future challenges in terms of climate, environment and natural resources – essentially giving them the diagnostic and tools to future proof themselves to become inclusive, resilient and have growing economies.
7. Beyond the development of technical assistance tools, the FCA aims also at funding a comprehensive set of research products in the idea that scientific evidence is also required to help

better contextualise and understand the institutional environment in which African Cities have to operate on a day-to-day basis. The lack of qualitative and quantitative data as well as related hypotheses and theories are key factors which undermine efforts to set up an effective research agenda able to influence the morphology, governance, resource consumption and economy of African cities and translate into adequate tools and policies for cities. The assignment therefore aims to fill theoretical and data gaps, improve the evidence base for selected African cities, compare this evidence with existing knowledge on rapid urbanisation and generate scientific solutions.

## OBJECTIVE

8. Against this background, the Cities Alliance FCA project and the overarching issues of city resilience and inclusive economic growth, the Cities Alliance has identified four key subject areas which are pivotal for the future of African cities but where theory, relevant models and evidence are often lacking:

- Subject Area 1. Land Expansion and Planning.
- Subject Area 2. Energy and Climate Change.
- Subject Area 3. Urban Governance and Service Delivery.
- Subject Area 4. Informality and Economic Growth.

9. **The Cities Alliance requires research and coordination services for four independent research projects within the above subject-areas and are described below. Interested service providers can submit proposals for one or more of the research projects.**

10. All four subject areas are regionally relevant, however each research project will need to be primarily investigated in a selected FCA country. City level data and evidence should be collected across but not limited to the FCA cities of focus.

- Subject Area 1 will be investigated in Mozambique.
- Subject Area 2 will be investigated in Ethiopia.
- Subject Area 3 will be investigated in Ghana.
- Subject Area 4 will be investigated in Uganda.

However, case studies/evidence/data from other countries in the region should be used to complement and expand the initial scope of the work in order to draw conclusions of general relevance.

11. The expected outcomes of the four research projects are the production and dissemination of high-quality scientific research findings which are expected to fill relevant evidence gaps, lead to setting and influencing the research agenda of the participating countries (and wider African urban research agenda) and ultimately inform effective policy making. While the studies will have a degree of country specificity, the results and supporting evidence should also be of wider relevance and application at regional and global level.

12. It is a requirement that the selected entity will engage or collaborate with national research professionals and institutes/universities in the respective country(ies). Wherever possible, engagement with regional networks, such as the African Urban Research Initiative (AURI), is strongly encouraged. The approach to how the offeror will build capacity of the collaborating entities should be explained.

13. The Cities Alliance welcomes applications from research-focused service providers, public and private, as well as proposals from consortiums where a lead partner/contractor is identified in accordance to UNOPS guidelines (see guidelines on Consortium proposals in Annex F of this RFP).

14. The target recipients of the research outputs will be country, regional and city governments, international organisations and the national and international scientific community. The research is expected to benefit all development stakeholders and as such, the final research outputs will be global public goods.

15. The assignment covers requirements of 4 research projects. Service providers can apply to either one or more of the research projects.

**Research Project 1:  
The urban expansion and compactness debate in the context of Mozambique**

16. Background and Research Questions. Mozambique had a history of planned urban land expansion that was spearheaded by the Instituto Nacional de Planeamento Físico (INPF) and a cadre of land use planner technicians. In the 1980s the government of Mozambique developed the 'Strategic Action Planning' programme of land redistribution to address the situation of unplanned urban sprawl and increasing housing demand by making minimally serviced plots available for development in its growing urban areas. In addition the 1990 Mozambique constitution and the 1997 Land Law formalised tenure in an unprecedented way in the continent by granting ownership rights to people who had squatted on plots of land for over 10 years. In the early 2000's this initiative lost momentum with the dismantling of the INPF and the closure of its technician training programme. In its place a more traditional approach to land use planning was adopted and the promotion of university trained architect planners.

17. Notwithstanding these initial land expansion initiatives, the urban areas of Mozambique are increasingly marked by the proliferation of slums, lack of water – sanitation – hygiene (WASH) facilities, flooding and subsequent public health risks. Maputo, the capital city, with a population of 1.3 million has some 70% of its residents living in slums; Nacala has a population of about 220,000 inhabitants of which 48% are slum dwellers and about 60% of Manica's 42,000 inhabitants live in slums. (UN-Habitat, 2010, 'Mozambique Cities Report'). The fact that these urban service deficiencies have persisted despite a 7.4% compound annual growth rate (CAGR) (World Bank) over the past 20 years clearly illustrates the need to improve the quality of urban planning, land use management and service provision. The urban land expansion initiatives in Mozambique have been applauded for making land available for urban housing and infrastructure needs, and also criticised for promoting sprawl and lack of a modern compact city vision.

18. In the context of seven municipalities growing at over 10 per cent per annum, with a further five growing at five per cent or more per annum (in effect doubling or even tripling their populations within the next 10-15 years) and a near total lack of trained capacity, land use planning has failed to make a positive impact. Rather cities are growing rapidly in an unplanned manner resulting in congestion and the proliferation of un-serviced settlements on flood plains and unstable slopes.

19. Mozambique is a good example of how in the context of rapid urbanisation, land management is one of the most critical issues that needs to be addressed to secure the long term sustainability of city development. There is an unresolved debate whether making land and service available for forecasted urban expansion - which provides advantages in terms of long term planning - is the upfront policy option in contrast to more visionary compact city solution that purports to offer a higher potential for environmental benefits and economies of scale. Faced with huge demand for land and limited resources, the comparative advantages of prioritising early planning for expanded delivery of services and land vis-a-vis densifying the built environment first needs to be further understood.

20. The purpose of this research project is to fill crucial theoretical and evidence gaps related to the comparative merits of planned expansion and density, by collecting and analysing data on cities and urban land expansion in Mozambique, testing the relevant theories/models and feeding the results into the current academic and policy debates at national and international level. City-level data and evidence should be gathered by the cities participating in but not limited to the FCA programme (Tete, Nacala, Nampula). It is expected that the results of the Mozambique case study will be compared to wider African evidence.

21. In addressing the topic the following research questions are of initial guidance to the service provider. It is recognised that the main research question and its sub-questions will need further

refinement as part of the Project Initiation / Inception Phase – taking into consideration the more detailed context of the study and likely research challenges. The development of an appropriate framework for analysis should form part of the Inception Report.

- How can planned urban expansion support climate change, environmental and economic resilience for developing cities in Mozambique?
- How is making room for urban expansion a preferred policy option relative to the alternative of compact cities in terms of securing resilience, environmental benefits, economies of scale and inclusive growth?
- What are the opportunities and benefits, including direct, indirect, environmental and socio-economic benefits that shape these policy choices?
- How can planned urban expansion be applied in a rapid urbanising development context in secondary cities in Africa often facing resource scarcity and capacity gaps?
- What are the long term benefits and potential trade-offs for stakeholders, governments and beneficiaries in implementing urban expansion in a developing country context?

22. *Tasks.* The research plan should include the following tasks. It is anticipated that these tasks will be refined and operationalised in a detailed work plan as part of the inception phase:

- *Task 1. Inception.* This task will lay the conceptual foundations of the study and the plan to execute research. During the Inception Phase, the service provider will provide a literature review covering the most recent global and regional theory/debates on the subject, identify key challenges, gaps and trends, define the main research questions and sub-questions, define the main hypotheses and models to be tested, and assess the available data sources. The detailed deliverables' description, work plan and project management arrangements will be further developed and specified along with the approach to collaborating and building capacity of the participating national and regional research networks/centres, research institutes/universities and other stakeholders.
- *Task 2. Mobilisation and engagement of the scientific communities.* As part of this task, the service provider is expected to mobilise and engage the existing networks of research professionals/entities in the country (such as AURI where available) as well as the national research entities and other stakeholders in the development, review and dissemination of the research project. While the national level is the most relevant, engagement should also involve the international scientific community – especially within Africa through AURI or other leading institutions. Engagement should take place at all stages in the research process through a series of workshops, knowledge exchanges, roundtables, seminars etc. in the final modalities and schedule as agreed with the Cities Alliance Secretariat. The critical focus here should be to build long term research capacity within the participating research institutes and to develop a research agenda aimed at strengthening resilience and inclusive growth as part of the urbanisation process.
- *Task 3. Data collection and analysis.* This task includes the collection of the best available secondary data and as practical primary data at the field level for the main case study in the Mozambique cities (sample should include Tete, Nacala, Nampula) as well as nation-wide data. Data will be then be statistically analysed, aggregated and structured to test the research hypothesis and models related to urban expansion. Methods of analysis should be quantitative to the extent viable. Qualitative data should be used to triangulate and complement information where relevant. Data collection might also include secondary data and other data gathered from the other FCA countries and other relevant regional example for cross comparison, testing and induction purposes.
- *Task 4. Write up and dissemination.* This task includes the finalisation of the different deliverables, most notably the monograph of the case study as well as activities finalised at the dissemination and ownership by the scientific community of the research project outputs. This task should also define potential research frontiers and setting future priorities for a country research agenda.

23. *Deliverables.* The deliverables for this research project will include:

- **Inception report (1).** Within 1 month of contract signature. The report will not exceed 50 pages (ca. 12,500 words). The substantive part of the report will be based on Task 1 above. The report should include: Preliminary literature review, including available data and existing gaps; proposed methodology for the study; refined set of research questions; detailed work plan and deliverable description; research engagement strategy to mobilise AURI and/or local research networks and national research entities; dissemination plan to generate debate within the scientific community in the country and the policy makers as well as relevant international stakeholders; quality management and assurance strategy for data gathering, validation and storage; reporting on initial operation activities including early mobilisation.
- **State of the art paper (1).** To be submitted within 2 months of contract signature and will be based on Task 1 above. The paper will not exceed 20 pages (ca. 5,000 words). The State of the Art Paper should summarise the state of knowledge on the specific subject matter. It should include the most recent global and regional theory/debates/models on the subject, identify key challenges and research frontiers within which this research project will be positioned.
- **Interim report with draft concept paper (1).** Within 4 months after the signature of the contract. The report will not exceed 50 pages. It will indicate the progress to date on the various tasks and any corrective action needed. It will also include a draft concept paper (as the basis of the monograph) with initial analysis of the information collected (including references on sources of information used or to be used) and preliminary results against the theoretical background. Finally, it will include a clear indications and detailed planning of the work to be carried out during the rest of the period for the completion of the tasks.
- **Research Monograph (1).** Within 6 months after the signature of the contract. This is the main deliverable and will be a monograph of 140 pages (ca. 35,000 words). It will include all the research results including the case study and the comparative analysis. A style guide for the monograph will be provided by the Cities Alliance. A draft report will be submitted approximately one month before the final report is submitted for approval. The final report should be of publishable standard (peer reviewed if necessary).
- **Policy Brief (1).** Within 6 months after the signature of the contract. A 10-page policy brief (ca. 2,500 words), setting out evidence-based policy implications of the main scientific results of the research project.
- **A Series of Scientific Papers (minimum 2).** At least two articles submitted for peer review in international scientific journals by the end of the contract period – May 2016. These papers should cover respectively an in-depth analysis of the country case study and a comparative analysis situating the major results within the broader field of urban development.
- **Events Reports (minimum 2).** Reports for events under tasks 1, 2, 3 and 4. These reports should demonstrate capacity development of the scientific community in Mozambique.
- **Draft / Final Report and research agenda (1).** A Draft Report to be submitted on or before 1 May 2016. The final report will provide an analysis and assessment of the activities and outputs delivered through this research project. It should also identify and demarcate the promising frontiers and areas of future research that should define the scientific community agenda. The report format will be provided to the service provider by the Cities Alliance.
- **Monthly Reports (5).** A two-page document providing highlights of the project progress. The report format will be provided to the service provider by the Cities Alliance.

**Research Project 2:****The climate change and energy debate in the context of Ethiopia**

24. Cities are at the centre of the climate change debates. Cities are the primary sources of carbon emissions and the primary target for policy interventions to improve energy efficiency and foster low carbon growth. On the other side of the coin, cities and citizens are often the major victims of climate change impacts and related hazards. Climate change and related environmental risks threaten growth and public health thus compelling cities to adapt to the changing environmental circumstances. The urgency of these issues cannot be overstated in the African context as extreme

climatic conditions, rapid urbanisation and fast paced economic growth make the question of how these fast growing cities will power themselves a make-it-or-break-it developmental issue.

25. Ethiopia is the second-most populous country in Africa with a population of approximately 90 million. Economic growth is averaging around 10% per year over the past decade despite 70% of the country's population lacking access to electricity. Future growth in Ethiopia will be driven by cities. According to the World Bank's Urbanisation Review (2015) the rate of urbanisation is one of the fastest in the world at 4.7 percent. It is estimated that by 2037 Ethiopia will be about 40% urbanised resulting in an additional 35 million people living in cities. To sustain Ethiopia's growth cities will need energy and how this will be provided is a critical policy choice.

26. The development of renewable energy sources is central to Ethiopia's efforts to shift towards a green growth path as part of its growth and transformation plan (GTP2). In Ethiopia, the majority of on-grid electricity generation comes from hydropower. Exports of hydro power to East Africa can further encourage low carbon growth. However, there are climate change risks to the Ethiopia's power sector and thus growth ambitions. Ethiopia is highly vulnerable to extreme weather variability, particularly erratic rainfall. According to a World Bank study, climate change will likely increase the frequency of both flooding and droughts in Ethiopia and hydropower generation is the energy source that is most likely to be impacted by climate change because it is sensitive to the amount, timing, and geographical pattern of precipitation as well as temperature. Assessing how climate change factors will shape energy choices and inclusive growth is an important focus of the research.

27. The purpose of this research project is to fill crucial theoretical and evidence gaps, by collecting and analysing data on cities, energy and climate change in Ethiopia, testing the relevant theories/models and feeding the results into the current academic and policy debates at national and international level. City-level data and evidence should be gathered by cities of focus to the FCA project (Dire Dawa and Mekele) but not restricted to them and aggregated at the national scale. It is expected that the results of the Ethiopia case study will be compared African and international scale to further validate and generalise the research results.

28. In addressing the topic the following research questions are of initial guidance to the service provider. It is recognised that the main research question and its sub-questions will need further refinement as part of the Project Initiation / Inception Phase – taking into consideration the more detailed context of the study and likely research challenges. The development of an appropriate framework for analysis should form part of the Inception Report.

- How are climate change factors expected to affect energy consumption, sources and supply in Ethiopian cities in the future?
- What affordable, low-carbon and universal-access energy options are available and viable in Ethiopia?
- What are the implications for city land – use, infrastructure and service delivery of low carbon energy choices and growth strategies?

29. *Tasks.* The research plan should include the following tasks. It is anticipated that these tasks will be refined and operationalised in a detailed work plan as part of the inception phase:

- *Task 1. Inception.* This task will lay the conceptual foundations of the study and the plan to execute research. During the Inception Phase, the service provider will provide a literature review covering the most recent global and regional theory/debates on the subject, identify key challenges, gaps and trends, define the main research questions and sub-questions, define the main hypotheses and models to be tested, and assess the available data sources. The detailed deliverables' description, work plan and project management arrangements will be further developed and specified along with the approach to collaborating and building capacity of the participating national and regional research networks/centres, research institutes/universities and other stakeholders.
- *Task 2. Mobilisation and engagement of the scientific communities.* As part of this task, the service provider is expected to mobilise and engage the existing networks of research professionals/entities in the country (such as AURI where available) as well as the national research entities and other stakeholders in the development, review and dissemination of the



research project. While the national level is the most relevant, engagement should also involve the international scientific community – especially within Africa through AURI or other leading institutions. Engagement should take place at all stages in the research process through a series of workshops, knowledge exchanges, roundtables, seminars etc. in the final modalities and schedule as agreed with the Cities Alliance Secretariat. The critical focus here should be to build long term research capacity within the participating research institutes and to develop a research agenda aimed at strengthening resilience and inclusive growth as part of the urbanisation process.

- *Task 3. Data collection and analysis.* This task includes the collection of the best available secondary data and as practical primary data at the field level for the main case study in the Ethiopian cities (sample should include Dire Dawa and Mekele) as well as nation-wide data. Data will be then be statistically analysed, aggregated and structured to test the research hypothesis and models related to climate change and energy. Methods of analysis should be quantitative to the extent viable. Qualitative data should be used to triangulate and complement information where relevant. Data collection might also include secondary data and other data gathered from the other FCA countries and other relevant regional example for cross comparison, testing and induction purposes.
- *Task 4. Write up and dissemination.* This task includes the finalisation of the different deliverables, most notably the monograph of the case study as well as activities finalised at the dissemination and ownership by the scientific community of the research project outputs. This task should also define potential research frontiers and setting future priorities for a country research agenda.

30. *Deliverables.* The deliverables for this research project will include:

- **Inception report (1).** Within 1 month of contract signature. The report will not exceed 50 pages (ca. 12,500 words). The substantive part of the report will be based on Task 1 above. The report should include: Preliminary literature review, including available data and existing gaps; proposed methodology for the study; refined set of research questions; detailed work plan and deliverable description; research engagement strategy to mobilise AURI and/or local research networks and national research entities; dissemination plan to generate debate within the scientific community in the country and the policy makers as well as relevant international stakeholders; quality management and assurance strategy for data gathering, validation and storage; reporting on initial operation activities including early mobilisation.
- **State of the art paper (1).** To be submitted within 2 months of contract signature and will be based on Task 1 above. The paper will not exceed 20 pages (ca. 5,000 words). The State of the Art Paper should summarise the state of knowledge on the specific subject matter. It should include the most recent global and regional theory/debates/models on the subject, identify key challenges and research frontiers within which this research project will be positioned.
- **Interim report with draft concept paper (1).** Within 4 months after the signature of the contract. The report will not exceed 50 pages. It will indicate the progress to date on the various tasks and any corrective action needed. It will also include a draft concept paper (as the basis of the monograph) with initial analysis of the information collected (including references on sources of information used or to be used) and preliminary results against the theoretical background. Finally, it will include a clear indications and detailed planning of the work to be carried out during the rest of the period for the completion of the tasks.
- **Research Monograph (1).** Within 6 months after the signature of the contract. This is the main deliverable and will be a monograph of 140 pages (ca. 35,000 words). It will include all the research results including the case study and the comparative analysis. A style guide for the monograph will be provided by the Cities Alliance. A draft report will be submitted approximately one month before the final report is submitted for approval. The final report should be of publishable standard (peer reviewed if necessary).
- **Policy Brief (1).** Within 6 months after the signature of the contract. A 10-page policy brief (ca. 2,500 words), setting out evidence-based policy implications of the main scientific results of the research project.

- **A Series of Scientific Papers (minimum 2)**. At least two articles submitted for peer review in international scientific journals by the end of the contract period – May 2016. These papers should cover respectively an in-depth analysis of the country case study and a comparative analysis situating the major results within the broader field of urban development.
- **Events Reports (minimum 2)**. Reports for events under tasks 1, 2, 3 and 4. These reports should demonstrate capacity development of the scientific community in Mozambique.
- **Draft / Final Report and research agenda (1)**. A Draft Report to be submitted on or before 1 May 2016. The final report will provide an analysis and assessment of the activities and outputs delivered through this research project. It should also identify and demarcate the promising frontiers and areas of future research that should be defined by the scientific community agenda. The report format will be provided to the service provider by the Cities Alliance.
- **Monthly Reports (5)**. A two-page document providing highlights of the project progress. The report format will be provided to the service provider by the Cities Alliance.

<b>Research Project 3: Urban Governance and Service Delivery in the context of Ghana</b>
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31. Under the impacts of globalisation, urbanisation and decentralisation, the relationship between national government, local government, civil society and private sector in shaping urban development has been subject of extensive research. Nonetheless, the balance of the different public and private role players and the definition of what constitutes an effective model of governance able to deliver equitable growth is still the subject of much dispute. In the African context, the roles, powers and core values of businesses, municipalities and social capital structures undergo dramatic variations across cities especially as they come to interplay or contend in the provision of basic services where interests and livelihoods are at stake. In addition urban services that need to be managed as integrated systems that cut across administrative boundaries such as drainage, water and waste removal are increasingly hampered by administrative fragmentation.

32. Within Ghana's major cities, recent years have witnessed a trend toward diminished relative access to basic services (as a share of urban population). As urban areas have greater service provision than rural areas, Ghana's rapid urbanisation has resulted in a greater overall share of the population with access to basic services. Within urban areas, however, resident demand and population growth has outpaced service supply, leading to a lower share of the urban population with access to piped water, sanitation, and toilet facilities.

33. The efficiency of urban service delivery is largely influenced by the institutional human resource capacity of service providers and the provision of adequate financing. The evidence suggests that both available human resource capacity and fiscal transfer and municipal revenues however are insufficient for the scaling up of needed infrastructure investments. To fill the gap within informal areas self-supply and informal systems are dominant and highly based on the self-organisation of local communities and support of civil society. In addition even though few examples exist the Ghana Shared Growth and Development Agenda 2010-2013 (GSGDA) mentions public-private partnerships (PPP) as a vehicle for improving service delivery and infrastructure.

34. In other terms, there is limited understanding of the scale of the problem, its causes and effects and what modes of governance are available and realistic and in a context of rapid urbanisation and GDP growth such as Ghana. The purpose of this research project is therefore to fill crucial theoretical and evidence gap, by collecting and analysing data on urban governance models, cities and service delivery, testing the relevant theories/models/hypothesis and feeding the results into the current academic and policy debates at national and international level. City-level data and evidence should be gathered by, but not limited to, cities of focus to the FCA project (Accra, Tema and Gama city region) and aggregated at the national scale. It is expected that the results of the Ghana case study are also compared at the continental and international scale to further validate and generalise the research results.

35. In addressing the topic the following research questions are of initial guidance to the service provider. It is recognised that the main research question and its sub-questions will need further refinement as part of the Project Initiation / Inception Phase – taking into consideration the more

detailed context of the study and likely research challenges. The development of an appropriate framework for analysis should form part of the Inception Report.

- What are the main causes and consequences of the incomplete and unbalanced provision of basic services in Ghanaian Cities?
- A comparative analysis of governance systems (institutional framework and current practices) in Ghana vis-à-vis African cities in provision of basic services.

36. *Tasks.* The research plan should include the following tasks. It is anticipated that these tasks will be refined and operationalised in a detailed work plan as part of the inception phase:

- *Task 1. Inception.* This task will lay the conceptual foundations of the study and the plan to execute research. During the Inception Phase, the service provider will provide a literature review covering the most recent global and regional theory/debates on the subject, identify key challenges, gaps and trends, define the main research questions and sub-questions, define the main hypotheses and models to be tested, and assess the available data sources. The detailed deliverables' description, work plan and project management arrangements will be further developed and specified along with the approach to collaborating and building capacity of the participating national and regional research networks/centres, research institutes/universities and other stakeholders.
- *Task 2. Mobilisation and engagement of the scientific communities.* As part of this task, the service provider is expected to mobilise and engage the existing networks of research professionals/entities in the country (such as AURI where available) as well as the national research entities and other stakeholders in the development, review and dissemination of the research project. While the national level is the most relevant, engagement should also involve the international scientific community – especially within Africa through AURI or other leading institutions. Engagement should take place at all stages in the research process through a series of workshops, knowledge exchanges, roundtables, seminars etc. in the final modalities and schedule as agreed with the Cities Alliance Secretariat. The critical focus here should be to build long term research capacity within the participating research institutes and to develop a research agenda aimed at strengthening resilience and inclusive growth as part of the urbanisation process.
- *Task 3. Data collection and analysis.* This task includes the collection of the best available secondary data and as practical primary data at the field level for the main case study in the Ghanaian cities (sample should include Accra, Tema and Gama city region) as well as nationwide data. Data will be then be statistically analysed, aggregated and structured to test the research hypothesis and models related to urban governance and service delivery. Methods of analysis should be quantitative to the extent viable. Qualitative data should be used to triangulate and complement information where relevant. Data collection might also include secondary data and other data gathered from the other FCA countries and other relevant regional example for cross comparison, testing and induction purposes.
- *Task 4. Write up and dissemination.* This task includes the finalisation of the different deliverables, most notably the monograph of the case study as well as activities finalised at the dissemination and ownership by the scientific community of the research project outputs. This task should also define potential research frontiers and setting future priorities for a country research agenda.

37. *Deliverables.* The deliverables for this research project will include:

- **Inception report (1).** Within 1 month of contract signature. The report will not exceed 50 pages (ca. 12,500 words). The substantive part of the report will be based on Task 1 above. The report should include: Preliminary literature review, including available data and existing gaps; proposed methodology for the study; refined set of research questions; detailed work plan and deliverable description; research engagement strategy to mobilise AURI and/or local research networks and national research entities; dissemination plan to generate debate

- within the scientific community in the country and the policy makers as well as relevant international stakeholders; quality management and assurance strategy for data gathering, validation and storage; reporting on initial operation activities including early mobilisation.
- **State of the art paper (1)**. To be submitted within 2 months of contract signature and will be based on Task 1 above. The paper will not exceed 20 pages (ca. 5,000 words). The State of the Art Paper should summarise the state of knowledge on the specific subject matter. It should include the most recent global and regional theory/debates/models on the subject, identify key challenges and research frontiers within which this research project will be positioned.
  - **Interim report with draft concept paper (1)**. Within 4 months after the signature of the contract. The report will not exceed 50 pages. It will indicate the progress to date on the various tasks and any corrective action needed. It will also include a draft concept paper (as the basis of the monograph) with initial analysis of the information collected (including references on sources of information used or to be used) and preliminary results against the theoretical background. Finally, it will include a clear indications and detailed planning of the work to be carried out during the rest of the period for the completion of the tasks.
  - **Research Monograph (1)**. Within 6 months after the signature of the contract. This is the main deliverable and will be a monograph of 140 pages (ca. 35,000 words). It will include all the research results including the case study and the comparative analysis. A style guide for the monograph will be provided by the Cities Alliance. A draft report will be submitted approximately one month before the final report is submitted for approval. The final report should be of publishable standard (peer reviewed if necessary).
  - **Policy Brief (1)**. Within 6 months after the signature of the contract. A 10-page policy brief (ca. 2,500 words), setting out evidence-based policy implications of the main scientific results of the research project.
  - **A Series of Scientific Papers (minimum 2)**. At least two articles submitted for peer review in international scientific journals by the end of the contract period – May 2016. These papers should cover respectively an in-depth analysis of the country case study and a comparative analysis situating the major results within the broader field of urban development.
  - **Events Reports (minimum 2)**. Reports for events under tasks 1, 2, 3 and 4. These reports should demonstrate capacity development of the scientific community in Mozambique.
  - **Draft / Final report and research agenda (1)**. A Draft Report to be submitted on or before 1 May 2016. The final report will provide an analysis and assessment of the activities and outputs delivered through this research project. It should also identify and demarcate the promising frontiers and areas of future research that should define the scientific community agenda. The report format will be provided to the service provider by the Cities Alliance.
  - **Monthly Reports (5)**. A two-page document providing highlights of the project progress. The report format will be provided to the service provider by the Cities Alliance.

**Research Project 4:****The role of the informal economy in city growth in the context of Uganda**

38. Throughout the developing world a majority of people gain access to land, services and employment through informal systems resulting from a process of urbanisation not as clearly associated with the pull of formal job opportunities. Historically the official response to informality has been to ignore it, as being outside the legal system, resulting in the majority of people effectively being denied rights to the city, criminalised with mass evictions and the destruction of livelihoods.

39. This theme emphasises the need to move beyond the dualistic conceptualisation of urban practices (formal/informal) to understanding informality within a more dynamic and complex urban perspective. While the formal economic and planning systems have not been responsive in meeting the demand for land, services and jobs the informal systems have done so efficiently but not effectively resulting in high negative environmental, spatial, economic and social costs. A major policy challenge to Uganda and African cities alike is the need is to bridge the gap between the formal and informal by introducing pro-poor regulation and planning responses that integrate elements of land, economy, services, housing, transport, voice and public space.

40. There has been a long track record of dealing with informality through a focus on slum dwellers, land, spatial planning and the upgrading of slums. Increasingly the importance of jobs/work has been raised both by slum dwellers - mostly unemployed youth - seeking income and by local authorities prioritising the growth of the city economy to increase domestic revenues. Slums themselves are an increasingly a mix of reproduction and production spaces. It is subject of debate whether in this context the traditional definitions of level of service and housing quality are insufficient and need to be expanded to include requirements for manufacture, hazardous waste disposal and access to supply chains and markets. Experience elsewhere suggests that by focusing on the reproductive and productive components of informality will better ensure that the informal economy is better linked into the broader city planning process and economy, and included into local development plans. With a growing and supported local economy the potential exists to increase household incomes and disposable income to pay for service charges.

41. An estimated 60% of the employment in developing countries is generated through the informal economy. The reality for the majority of workers is therefore characterised by unskilled work, vulnerability in employment status, a low degree of protection, unstable earnings, limited property and inheritance rights, education, skill sets and access to credit. Workers in this sector often comprise groups of home-based workers, street vendors, waste pickers and construction workers. In the urban informal sector, women specifically continue to be largely self-employed home-based workers or street traders and also work in many high-risk sectors, for example as waste-pickers or construction workers, which in turn poses a number of specific occupational health and safety risks. Economic participation of urban women is substantially lower than men in many cities and gender gaps in wages and earnings are quite significant in urban areas. For any economy to be functioning at its full potential, women's skills and talents should be valued and engaged in activities that make the best use of those abilities.

42. The informal economy is a major force in African cities contributing significantly to both the national gross domestic product (GDP) and employment. Informal workers however face lower earnings and higher risks, are less likely to enjoy economic opportunities and legal protections, and are less able to exercise economic rights and collective voice. Uganda is not an exception. According to the Ugandan Bureau of Statistics (UBOS) the 'informal sector is the fastest growing sector in Uganda, accounting for 43 per cent of the total economy'. This necessitates a better understanding of how economic growth is happening in the context of local markets, how policies and institutions affect, in different ways, formal and informal enterprises and what are the constraints and risks faced by informal workers, especially the working poor in African cities.

43. It is important to understand how informal economies necessitates understanding a complete market system and the ways in which informal enterprises and workers produce goods and services that directly link into the formal economy. In addition it requires understanding informality in the framework of the global economy. This entails a major shift in attitude from seeing informal traders as being illegal and illegitimate towards a perspective that views them as market drivers and entrepreneurs.

44. The purpose of this research project is therefore to fill crucial theoretical and evidence gaps, by collecting and analysing data on the informal economy and cities' growth in Uganda, testing the relevant theories/models/hypothesis and feeding the results into the current academic and policy debates at national and international level. City-level data and evidence should be gathered by cities of focus to the FCA programme (a sub-set of 14 participating secondary cities to be identified) but not restricted to them and aggregated at the national scale. It is expected that the results of the Uganda case study are also compared at the continental and international scale to further validate and generalise the research results.

45. In addressing the topic the following research questions are of initial guidance to the service provider. It is recognised that the main research question and its sub-questions will need further refinement as part of the Project Initiation / Inception Phase – taking into consideration the more detailed context of the study and likely research challenges. The development of an appropriate framework for analysis should form part of the Inception Report.

- What is the role of the informal sector in cities' growth?

- What are the pathways that will both support the informal sector and incorporate it within the city economy?

46. *Tasks.* The research plan should include the following tasks. It is anticipated that these tasks will be refined and operationalised in a detailed work plan as part of the inception phase:

- *Task 1. Inception.* This task will lay the conceptual foundations of the study and the plan to execute research. During the Inception Phase, the service provider will provide a literature review covering the most recent global and regional theory/debates on the subject, identify key challenges, gaps and trends, define the main research questions and sub-questions, define the main hypotheses and models to be tested, and assess the available data sources. The detailed deliverables' description, work plan and project management arrangements will be further developed and specified along with the approach to collaborating and building capacity of the participating national and regional research networks/centres, research institutes/universities and other stakeholders.
- *Task 2. Mobilisation and engagement of the scientific communities.* As part of this task, the service provider is expected to mobilise and engage the existing networks of research professionals/entities in the country (such as AURI where available) as well as the national research entities and other stakeholders in the development, review and dissemination of the research project. While the national level is the most relevant, engagement should also involve the international scientific community – especially within Africa through AURI or other leading institutions. Engagement should take place at all stages in the research process through a series of workshops, knowledge exchanges, roundtables, seminars etc. in the final modalities and schedule as agreed with the Cities Alliance Secretariat. The critical focus here should be to build long term research capacity within the participating research institutes and to develop a research agenda aimed at strengthening resilience and inclusive growth as part of the urbanisation process.
- *Task 3. Data collection and analysis.* This task includes the collection of the best available secondary data and as practical primary data at the field level for the main case study in the Ugandan cities (a sub-set of 14 participating secondary cities to be identified as well as nationwide data. Data will be then be statistically analysed, aggregated and structured to test the research hypothesis and models related to informal economy and economic growth. Methods of analysis should be quantitative to the extent viable. Qualitative data should be used to triangulate and complement information where relevant. Data collection might also include secondary data and other data gathered from the other FCA countries and other relevant regional example for cross comparison, testing and induction purposes.
- *Task 4. Write up and dissemination.* This task includes the finalisation of the different deliverables, most notably the monograph of the case study as well as activities finalised at the dissemination and ownership by the scientific community of the research project outputs. This task should also define potential research frontiers and setting future priorities for a country research agenda.

47. *Deliverables.* The deliverables for this research project will include:

- **Inception report (1).** Within 1 month of contract signature. The report will not exceed 50 pages (ca. 12,500 words). The substantive part of the report will be based on Task 1 above. The report should include: Preliminary literature review, including available data and existing gaps; proposed methodology for the study; refined set of research questions; detailed work plan and deliverable description; research engagement strategy to mobilise AURI and/or local research networks and national research entities; dissemination plan to generate debate within the scientific community in the country and the policy makers as well as relevant international stakeholders; quality management and assurance strategy for data gathering, validation and storage; reporting on initial operation activities including early mobilisation.
- **State of the art paper (1).** To be submitted within 2 months of contract signature and will be based on Task 1 above. The paper will not exceed 20 pages (ca. 5,000 words). The State of the Art Paper should summarise the state of knowledge on the specific subject matter. It

should include the most recent global and regional theory/debates/models on the subject, identify key challenges and research frontiers within which this research project will be positioned.

- **Interim report with draft concept paper (1)**. Within 4 months after the signature of the contract. The report will not exceed 50 pages. It will indicate the progress to date on the various tasks and any corrective action needed. It will also include a draft concept paper (as the basis of the monograph) with initial analysis of the information collected (including references on sources of information used or to be used) and preliminary results against the theoretical background. Finally, it will include a clear indications and detailed planning of the work to be carried out during the rest of the period for the completion of the tasks.
- **Research Monograph (1)**. Within 6 months after the signature of the contract. This is the main deliverable and will be a monograph of 140 pages (ca. 35,000 words). It will include all the research results including the case study and the comparative analysis. A style guide for the monograph will be provided by the Cities Alliance. A draft report will be submitted approximately one month before the final report is submitted for approval. The final report should be of publishable standard (peer reviewed if necessary).
- **Policy Brief (1)**. Within 6 months after the signature of the contract. A 10-page policy brief (ca. 2,500 words), setting out evidence-based policy implications of the main scientific results of the research project.
- **A Series of Scientific Papers (minimum 2)**. At least two articles submitted for peer review in international scientific journals by the end of the contract period – May 2016. These papers should cover respectively an in-depth analysis of the country case study and a comparative analysis situating the major results within the broader field of urban development.
- **Events Reports (minimum 2)**. Reports for events under tasks 1, 2, 3 and 4. These reports should demonstrate capacity development of the scientific community in Mozambique.
- **Draft / Final report and research agenda (1)**. A Draft Report to be submitted on or before 1 May 2016. The final report will provide an analysis and assessment of the activities and outputs delivered through this research project. It should also identify and demarcate the promising frontiers and areas of future research that should define the scientific community agenda. The report format will be provided to the service provider by the Cities Alliance.
- **Monthly Reports (5)**. A two-page document providing highlights of the project progress. The report format will be provided to the service provider by the Cities Alliance.

## TIMELINE

Each of the four research projects will have the same time lines and completion date - 15 May 2016. The table below provides the schedule of deliverables for a single research project. It is expected that a detailed workplan will be provided as part of the technical proposal and will be further refined during the inception phase.

DELIVERABLES	DUE MONTH (LATEST)
Inception report (1)	1
State of the art paper (1)	2
Interim report with draft concept paper (1)	4
Research Monograph (1)	7
Policy Brief (1)	7
A Cluster of Scientific Papers (minimum 2) [submitted for peer review]	8
Final Events Reports (minimum 2)	7
Draft / Final report and research agenda (1)	7/8
Monthly reports (5)	Monthly basis

## ADDITIONAL INFORMATION

Background information on the Cities Alliance (including its Charter, annual reports, evaluations, and list of activities financed) can be obtained from its website: [www.citiesalliance.org](http://www.citiesalliance.org)

**Request For Proposal**  
**Research and coordination services for four research projects**  
**RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015**

**Section 5: UNOPS General Conditions of Contract**

In the event of an order, the following conditions of contract will apply:

- [UNOPS General Conditions of Contract for services](#)



## Request For Proposal

### Research and coordination services for four research projects

#### RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015

### Section 6: UNOPS Contract form for services

#### Contract for Services

Dear Sir/Madam,

Ref.: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ [Insert project number and title]

The United Nations Office for Project Services (hereinafter referred to as "UNOPS"), wishes to engage your [company/organization/institution], duly incorporated under the Laws of [insert name of country] (hereinafter referred to as the "Consultant") in order to perform consulting services in respect of [insert summary description of the services] (hereinafter referred to as the "Services"), in accordance with the following Contract:

#### 1 Contract documents

- 1.1 This Contract is subject to the UNOPS General Conditions for Professional Services, (Rev. 08, 16 June 1997), attached hereto as Annex I. The provisions of such Annex shall control the interpretation of this Contract and in no way shall be deemed to have been derogated by the contents of this letter and any other Annexes, unless otherwise expressly stated under section 4 of this letter, entitled "Special Conditions".
- 1.2 The Consultant and UNOPS also agree to be bound by the provisions contained in the following documents, which shall take precedence over one another in case of conflict in the following order:
  - a) this letter;
  - b) UNOPS' Request for Proposal, reference [insert reference number], dated [insert reference date], and subsequent amendments and clarifications, assumed to be known to both parties, including the Statement of Work / Terms of Reference, attached hereto as Annex II;
  - c) the Consultant's technical proposal [reference [insert reference number], dated [insert reference date], as clarified by the agreed minutes of the negotiation meeting [dated [insert meeting date]], both documents not attached hereto but known to and in the possession of both parties.
- 1.3 All the above shall form the Contract between the Consultant and UNOPS, superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Contract.

#### 2 Obligations of the consultant

- 2.1. The Consultant shall perform and complete the Services described in Annex II with due diligence and efficiency and in accordance with the Contract.
- 2.2. The Consultant shall provide the services of the following key personnel:

Name	Specialization	Nationality	Period of service
[insert name]	[insert specialization]	[insert nationality]	[insert period of service]
[insert name]	[insert specialization]	[insert nationality]	[insert period of service]

2.3. Any changes in the above key personnel shall require prior written approval of the Director, [insert name of Director] RO/OC UNOPS.

2.4. The Consultant shall also provide all technical and administrative support needed in order to ensure the timely and satisfactory performance of the Services.

2.5. The Consultant shall submit to UNOPS the deliverables specified hereunder according to the following schedule:

**[LIST DELIVERABLES]                      [INDICATE DELIVERY DATES]**

e.g.

Progress report	..../..	..../..
.....	..../..	..../..
Final report	..../..	

2.6. All reports shall be written in the English language, and shall describe in detail the services rendered under the Contract during the period of time covered in such report. All reports shall be transmitted by the Consultant by [MAIL, COURIER AND/OR FAX] to the address specified in 9.1 below.

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

## Option 1 (fixed price)

### 3 Price and payment

3.1. In full consideration for the complete and satisfactory performance of the Services under this Contract, UNOPS shall pay the Consultant a fixed contract price of [insert currency and amount in figures and words].

3.2. The price of this Contract is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the Consultant in the performance of the Contract.

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

3.4. UNOPS shall effect payments to the Consultant after acceptance by UNOPS of the invoices submitted by the Consultant to the address specified in 9.1 below, upon achievement of the corresponding milestones and for the following amounts:

Milestone	Amount	Target date
[insert milestone]	[insert amount]	[insert date]
[insert milestone]	[insert amount]	[insert date]

## Option 2 (cost reimbursement)

### 4 Price and payment

- 4.1. In full consideration for the complete and satisfactory performance of the Services under this Contract, UNOPS shall pay the Consultant a price not to exceed [insert currency and amount in figures and words].
- 4.2. The amount contained in 3.1 above is the maximum total amount of reimbursable costs under this Contract. The Breakdown of Costs in Annex [insert Annex number] contains the maximum amounts per cost category that are reimbursable under this Contract. The Consultant shall reflect in his invoices the amount of the actual reimbursable costs incurred in the performance of the Services.
- 4.3. The Consultant shall not do any work, provide any equipment, materials and supplies, or perform any other services which may result in any costs in excess of the amount under 3.1 or of any of the amounts specified in the Breakdown of Costs for each cost category without the prior written agreement of the Director, [insert name of Director] RO/OC, UNOPS.
- 4.4. Payments effected by UNOPS to the Consultant shall be deemed neither to relieve the Consultant of its obligations under this Contract nor as acceptance by UNOPS of the Consultant's performance of the Services.
- 4.5. The Consultant shall submit invoices for the work done every [insert period of time or milestones].

OR

- 3.5 The Consultant shall submit an invoice for [insert amount and currency of the advance payment in figures & words] upon signature of this Contract by both parties and invoices for the work done every [insert period of time or milestones].
- 4.6. Progress and final payments shall be effected by UNOPS to the Consultant after acceptance of the invoices submitted by the Consultant to the address specified in 9.1 below, together with whatever supporting documentation of the actual costs incurred is required in the Breakdown of Costs or may be required by UNOPS. Such payments shall be subject to any specific conditions for reimbursement contained in the Breakdown of Costs.

### 5 Special conditions

- 5.1. No special conditions shall apply.

### 6 Submission of invoices

- 6.1. An original invoice shall be submitted by mail by the Consultant for each payment under the Contract to the following address:

[insert address]  
[insert address]  
[insert address]

6.2. Invoices submitted by fax shall not be accepted by UNOPS.

## 7 Time and manner of payment

7.1. Invoices shall be paid within thirty (30) days of the date of their receipt and acceptance by UNOPS.

7.2. All payments shall be made by UNOPS to the following Bank account of the Consultant:

[Name of the bank]  
[Account number]  
[Address of the bank]

## 8 Entry into force. Time limits.

8.1. The Contract shall enter into force upon its signature by both parties.

8.2. The Consultant shall commence the performance of the Services not later than [insert date] and shall complete the Services within [insert number of days or months] of such commencement.

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

## 9 Modifications

9.1. Any modification to this Contract shall require an amendment in writing between both parties duly signed by the authorized representative of the Consultant and the Director, [.....] UNOPS.

## 10 Notifications

10.1. For the purpose of notifications under the Contract, the addresses of UNOPS and the Consultant are as follows:

For UNOPS:

[Insert name of RO/OC Director]  
Director  
[RO/OC.....]  
UNOPS  
Address  
Ref. \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
[Insert contract reference and number]  
Phone: [Insert phone number]  
Fax: [Insert fax number]  
Email: [Insert email address]

For the Consultant:

[Insert name, address, phone, and fax/email]

## 11 Good faith

- 11.1. The Parties undertake to act in good faith with respect to each other's rights and obligations under this Contract and to adopt all reasonable measures to ensure the realization of the objectives of this Contract.

If the above terms and conditions meet with your agreement as they are typed in this letter and in the Contract Documents, please initial every page of this letter and its attachments and return to this office one original of this Contract, duly signed and dated.

Yours sincerely,

[Insert name of RO/OC Director]

Director  
[.....] RO/OC

For [Insert name of the company/organization]

Agreed and Accepted:

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

**ANNEX I****UNOPS General conditions of contract for professional services**

<https://www.unops.org/SiteCollectionDocuments/Procurement/GCCs%20For%20Professional%20Services.pdf>

**ANNEX II****Terms of Reference (TOR)**

**ANNEX III****BREAKDOWN OF COSTS**



**ANNEX A****Request For Proposal  
Research and coordination services for four research projects  
RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015****Proposal/No Proposal Confirmation Form**

If after assessing this opportunity you have made the determination not to submit your proposal, we would appreciate if you could return this form indicating your reasons for non-participation.

Date:

To: UNOPS  
DAVID DAEPP  
PROGRAMME OFFICER, CAC – GPSO  
UNOPS

email [davidda@unops.org](mailto:davidda@unops.org)

From: \_\_\_\_\_  
\_\_\_\_\_

Subject RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015

YES, we intend to submit an offer.

NO, we are unable to submit a proposal in response to the above mentioned Request for Proposal due to the reason(s) listed below:

- The requested products are not within our range of services/supply
- We are unable to submit a competitive offer for the requested products at the moment
- The requested products are not available at the moment
- We cannot meet the requested terms of reference
- We cannot offer the requested type of packing
- The information provided for quotation purposes is insufficient
- Your RFP is too complicated
- Insufficient time is allowed to prepare a quotation
- We cannot meet the delivery requirements
- We cannot adhere to your terms and conditions (please specify: payment terms, request for performance security, etc.)
- We are closed during the holiday season
- We had to give priority to other clients' requests
- Other (please provide reasons) \_\_\_\_\_
- We would like to receive future RFPs for this type of services \_\_\_\_\_

If UNOPS has questions to the offeror concerning this NO PROPOSAL, UNOPS should contact Mr./Ms. \_\_\_\_\_, phone/email \_\_\_\_\_, who will be able to assist.

## ANNEX B

### Request For Proposal Research and coordination services for four research projects RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015

#### Mandatory Requirements/Pre-qualification Criteria

Offerors are requested to complete this form and return it as part of their submission.

Offerors will receive a pass/fail rating on this section. In order to be considered for Phase I, offerors must meet all the mandatory criteria described below. All questions should be answered on this form or an exact duplicate thereof. UNOPS reserves the right to verify any information contained in the offeror's response, or to request additional information after the proposal is received. Incomplete or inadequate responses, lack of response or misrepresentation in responding to any questions, will affect the evaluation of proposals.

Mandatory requirements/pre-qualification criteria	Offerors' response
<p>1.1. Implementation of research and coordination projects:</p> <p>Offeror confirms at least 3 completed similar assignments – and provides brief description of assignments (more detailed description of previous related experience/assignments will be useful in the full technical proposal)</p> <p>Note: Maximum ½ page per example including project name, total USD value, funding source, country(ies) of implementation, main deliverables with link to any relevant websites</p>	<p>Assignment Example 1:</p> <p>Assignment Example 2:</p> <p>Assignment Example 3:</p>
<p>1.2. Offeror confirms that it has been in business/legal existence for at least five (5) years</p>	<p>Yes/No</p>
<p>1.3 Offeror confirms that it has the resources to deliver the services outlined in its proposal in the timeline stipulated in this RFP</p>	<p>Yes/No</p>

## ANNEX C

### Request For Proposal Research and coordination services for four research projects RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015

#### Technical Proposal Submission Form

- a. This Technical Proposal Submission Form must be completed in its entirety.
- b. This Technical Proposal Submission Form consists of this cover page, the Certificate of the Offeror's Eligibility and Authority to sign the Proposal, and the Technical Proposal itself.
- c. The entire Technical Proposal and all required and optional documentation related to the technical component of the proposal, must be included in an email attachment marked:  
*RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015 – Technical proposal- (name and address of Offeror)*

The email subject line should read:

*RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015 - (Name of Offeror) - Technical proposal*

- d. The Technical Proposal is herewith submitted in accordance with the instructions given in the Request for Proposal.
- e. The completed and signed Technical Proposal Submission Form, together with the mandatory requirements / pre-qualification criteria document completed by me (Appendix 1 to this offer), together with any other supporting documentation submitted in accordance with this RFP and/or voluntarily constitutes the offeror's Technical Proposal and fully responds to the Request for Proposal No *RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015*

Offeror Eligibility Confirmation and Information	Offeror's Response
1. What year was your firm/organization established?	
2. In what province/state/country is your firm/organization established?	
3. Has your organization ever filed or petitioned for bankruptcy? (If YES, explain in detail the reasons why, filing date, and current status.)	Yes ____; No ____
4. Have your organization ever been terminated for non-performance on a contract? If YES, describe in detail.	Yes ____; No ____
5. Have you ever been suspended or debarred by any government, a UN agency or other international organization? If YES, provide details, including date of reinstatement, if applicable.	
6. It is UNOPS policy to require that offerors and their sub-contractors observe the highest standard of ethics during the selection and execution of contracts. In this context, any action taken by a offeror or a sub-contractor to influence the selection process or contract execution for undue advantage is improper.	Confirm Yes ____; No ____
<p>In pursuance of this policy, UNOPS:</p> <p>(a) defines, for the purposes of this provision, the terms set forth below as follows:</p>	

Offeror Eligibility Confirmation and Information	Offeror's Response
<p>(i) "corrupt practice" is the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;</p> <p>(ii) "fraudulent practice" is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;</p> <p>(iii) "collusive practices" is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;</p> <p>(iv) "coercive practices" is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;</p> <p>(v) "obstructive practice" is</p> <p>(aa) deliberately destroying, falsifying, altering or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or</p> <p>(bb) acts intended to materially impede the exercise of UNOPS' inspection and audit rights.</p> <p>Confirm that the offeror and its sub-contractors have not engaged in any corrupt, fraudulent, collusive, coercive or obstructive practices in competing for this solicitation.</p>	
<p>7. Officials not to benefit: Confirm that no official of UNOPS has received or will be offered by the offeror or its sub-contractors, any direct or indirect benefit arising from this solicitation or any resulting contracts.</p>	<p>Confirm</p> <p>Yes _____; No _____</p>
<p>8. Confirm that the offeror supports the principles of the United Nations Global Compact, which includes respecting fundamental human- and labour rights and advancing environmental responsibility.</p>	<p>Confirm</p> <p>Yes _____; No _____</p>
<p>9. Confirm that the offeror is not engaged in any activity that would put it, if selected for this assignment, in a conflict of interest with UNOPS.</p>	<p>Confirm</p> <p>Yes _____; No _____</p>
<p>10. Confirm that the offeror and your sub-contractors have not been associated, or had been involved in any way, directly or indirectly, with the preparation of the design, terms of references and / or other documents used as a part of this solicitation.</p>	<p>Confirm</p> <p>Yes _____; No _____</p>
<p>11. UNOPS policy restricts companies from bidding on or receiving UNOPS contracts if a UNOPS staff member or their immediate family are an owner, officer, partner or board member or in which the staff member or their immediate family has a financial interest. Confirm that no UNOPS staff member or their immediate family are an owner, officer, partner or board member or have a financial interest in either the offeror or its sub-contractors.</p>	<p>Confirm</p> <p>Yes _____; No _____</p>

I, \_\_\_\_\_ (name of signing official), certify that I am  
\_\_\_\_\_ (position) of \_\_\_\_\_ (legal name of company); that by  
signing this RFP bid for and on behalf of \_\_\_\_\_ (legal name of company) I am certifying  
that all information contained herein is accurate and truthful and that the signing of this bid is within the  
scope of my powers.

\_\_\_\_\_  
(Signature)\_\_\_\_\_  
(Name)\_\_\_\_\_  
(Title)\_\_\_\_\_  
(Date)

Provide the name and contact information for the primary contact from your company for this quotation:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Mailing address (street name/number/city/town/province/state): \_\_\_\_\_  
\_\_\_\_\_

Tel. no: \_\_\_\_\_ Fax no: \_\_\_\_\_

Email address: \_\_\_\_\_

Offer valid until: \_\_\_\_\_ (date) Must be at least 90 days

Currency of offer: (state currency) Payment terms 30 days accepted: Are you a UNOPS registered vendor?  Yes  No If yes, provide vendor number: \_\_\_\_\_

## Technical Proposal Submission Form

The offeror's proposal must be organized to follow the format of this RFP. Each offeror must respond to every stated request or requirement, and indicate that the offeror confirms acceptance of, and understands UNOPS stated requirements. The offeror should identify any substantive assumption made in preparing its proposal. The deferral of a response to a question or issue to the contract negotiation stage is not acceptable. Any item not specifically addressed in the offeror's proposal will be deemed as accepted by the offeror. The terms "offeror" and "contractor" refer to those companies that submit a proposal pursuant to this RFP.

Where the offeror is presented with a requirement or asked to use a specific approach, the offeror must not only state its acceptance, but also describe, where appropriate, how it intends to comply. Failure to provide an answer to an item will be considered an acceptance of the item. Where a descriptive response is requested, failure to provide the same will be viewed as non-responsive. Where a statement of non-compliance is provided, the offeror must indicate its reasons and explain its proposed alternative, if applicable, and the advantages and disadvantages to UNOPS of such proposal.

### Important Notes:

1. For Technical Proposals for more than 1 research project/lot, each proposal for each research project/lot should be clearly delineated within the overall technical proposal to enable stand-alone evaluation;
2. For offerors submitting Technical Proposals for more than 1 research project/lot, the benefits of the proposed approach should be described in clear detail.
3. Technical Proposals covering the sections detailed below should be no longer than 40 pages (12 point font) per research project, excluding CVs, mandatory RFP submission forms

### Technical Proposal outline:

Section	
1.	<p><b>Past performance</b></p> <p>A description of the Offeror's organization and an outline of relevant experience (last 5 years) on projects of a similar nature.</p> <p>For each assignment, the outline should specify the scope of work and deliverables, the names of the personnel who participated and their organizational affiliation, the duration of the assignment, the contract amount and the Offeror's role/involvement.</p>
2.	<p><b>Proposed approach</b></p> <p>Offerors must provide a clear and in-depth understanding of the objectives of the specific research project(s), outline the offeror's approach to successfully meet the objectives through a detailed description of the scientific/technical approach, methodology to deliver the expected outputs and management arrangements.</p> <p>The rationale for the selected research design (tools and approaches for data collection and analysis) should be provided. For each research project/lot, quality control processes, risks / risk mitigation measures and research monitoring mechanisms should also be described.</p>

Section	
3.	<p><b><i>Work Plan and Team Structure</i></b></p> <p>For each research project/lot, offerors should provide a detailed work plan with main activities/tasks, milestones, delivery dates, dependencies and other relevant parameters in the form of a Gantt chart.</p> <p>Please outline the composition of the proposed team (management, technical experts, research / research support and administrative support staff) which you propose - clearly differentiating between head office staff and those in - country / in partner organisations. The roles and activities assigned to each named team member should be clearly assigned as well as level of effort.</p> <p>An organigram illustrating the accountability and reporting lines, together with a description of your team structure, should support your proposal. The ability to mobilise and deploy the capacity within the timelines of the contract should be clearly demonstrated.</p>
4.	<p><b>Proposed Personnel</b></p> <p>The curriculum vitae of all the proposed personnel must be submitted with your proposal. CV's should cover relevant education, training, experience and publications.</p>





## Financial proposal submission form

Important reminder: as explained earlier in this document, for proposals for more than 1 lot (i.e. more than one of the research projects described herein), offerors are required to **submit separate financial proposals in separate email attachments labelled accordingly** (labelled: "Financial Proposal, (Lot 1), RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015 – (offeror name))

**Indicative Budgetary Envelope: \$250,000 USD per Research Project/Lot**

### Section 1: Travel

Country/Region		Quantity	Rate \$	COST \$
From:	To:			
<i>Please state Country/Region and, where applicable, Airport</i>	<i>Please state Country/Region and, where applicable, Airport</i>	<i>Please state the total quantity of expected journeys over the life of the project</i>	<i>Please specify the Cost of each journey</i>	

*Example*

<i>Origin</i>	<i>Destination</i>	<i>10</i>	<i>\$ 500.00</i>	<i>\$ 5,000.00</i>
---------------	--------------------	-----------	------------------	--------------------

<b>International</b>				\$
				\$
				\$
				\$
				\$
				\$
<b>Domestic</b>				\$
				\$
				\$
				\$
				\$
				\$
<b>TOTAL TRAVEL COST:</b>				<b>\$</b>

**Section 2: Personnel**

Role	Name	Job Title	Country	Qty of Days	Total Daily Rate	Cost \$
	<i>Name of each proposed personnel</i>	<i>Job Title for each of the proposed personnel</i>	<i>the Country in which the personnel will carry out the majority of their work</i>		<i>Please enter the total daily rate inclusive of profit and overheads</i>	

<i>Example</i>	<i>James Smith</i>	<i>Research Manager</i>	<i>Ethiopia</i>	<i>50</i>	<i>\$ 410.00</i>	<i>\$20,500.00</i>
----------------	--------------------	-------------------------	-----------------	-----------	------------------	--------------------

<b>a) Project Leadership</b>						\$
						\$
						\$
						\$
<b>b) Project Admin</b>						\$
						\$
						\$
						\$
<b>c) Project Coordination</b>						\$
						\$
						\$
						\$
<b>d) Technical Experts</b>						\$
						\$
						\$
						\$
<b>TOTAL PERSONNEL COST:</b>						\$

**Section 3: Other expenses (please detail all relevant assumptions)**

	Cost (USD)
<b>Total Travel Cost</b>	\$
<b>Total Personnel Cost</b>	\$
<b>Other expenses (please define clearly above)</b>	\$
<b>TOTAL FINANCIAL PROPOSAL for LOT (x)</b>	USD \$

## ANNEX E

### **Request For Proposal Research and coordination services for four research projects RFP No. RFP/CAC/FCA/E4C-Output2/UNOPS/Aug2015**

#### **UNGM Vendor Registration Form**

As part of the bid, it is desired that the offeror goes to the United Nations Global Marketplace (UNGM) registration website: <https://www.ungm.org/Registration/RegisterSupplier.aspx> and fills out the registration. If the offeror is already registered with UNGM, please provide your UNGM registration number (\_\_\_\_\_). Please ensure that your firm's information on UNGM is current.

The offeror may still bid even if not registered with the UNGM. However, if the offeror is selected for contract award, the offeror must register on the UNGM prior to contract signature.

All suppliers are required to adhere to the principles of the [United Nations Supplier Code of Conduct](#). UNOPS also expects all its suppliers to adhere to the principles of the [United Nations Global Compact](#) and strongly encourages them to subscribe to it.

## ANNEX F

### Regarding Consortium/Joint Proposals

1. The offeror shall submit only one Proposal for each requirement/research project. An offeror bidding individually or as a member of a Consortium shall not be entitled to submit another offer/proposal either individually or as a member of any other Consortium, as the case may be.

2. For determining the eligibility of Offerors, the following shall apply:

(a) The Offeror may be a single entity or a group of entities (the "Consortium"), coming together to implement the Project.

(b) Members of the Consortium shall nominate one member as the lead member (the "Lead Member"),

(c) The nomination of the Lead Member shall be supported by the Joint Bidding Agreement (included below), completed and signed by all the other members of the consortium

(d) Members of the Consortium shall enter into a binding Joint Bidding Agreement (the "Joint Bidding Agreement" hereafter) for the purpose of submitting the Bid.

The Joint Bidding Agreement shall, inter alia:

(i) Convey the intent to form a consortium in accordance with this RFP and subsequently carry out all the responsibilities in case any requirement(s) is/are awarded to the Consortium;

(ii) Include a statement to the effect that all Members of the Consortium shall, till the termination of the Concession Agreement, be liable jointly and severally for all obligations in relation to the awarded requirements.

3. No change in the composition of the Consortium is allowed subsequent to the submission of the Proposal.

4. In case of a Consortium, the information in the table below (1-4) should be provided for all the Members of the Consortium.

No	Criteria	Yes	No
1	Has the Offeror/ constituent of the Consortium been barred by the [Central/ State] Authority, or any entity controlled by it, from participating in any project.		
2	If the answer to 1 is yes, does the bar subsist as on the date of Proposal.		
3	Has the Offeror/ constituent of the Consortium paid liquidated damages of more than 5% of the contract value in a contract due to delay or has been penalised due to any other reason in relation to execution of a contract, in the last three years?		

**TEMPLATE - Joint Bidding Agreement**

THIS JOINT BIDDING AGREEMENT is entered into on this the ..... day of .....20...

AMONGST

1. {..... Limited, a company/organization incorporated/registered under the .....} and having its registered office at ..... (hereinafter referred to as the " First Part " which expression shall, unless repugnant to the context include its successors and permitted assigns)

AND

2. {..... Limited, a company/organization incorporated/registered under the .....} and having its registered office at ..... (hereinafter referred to as the " Second Part " which expression shall, unless repugnant to the context include its successors and permitted assigns)

The above mentioned parties of the FIRST and SECOND PART are collectively referred to as the "Parties" and each is individually referred to as a "Party"

WHEREAS ,

(A) The Parties are interested in jointly bidding for the Project as members of a Consortium and in accordance with the terms and conditions of the RFP document and other bid documents in respect of the Project, and

(B) It is a necessary condition under the RFP document that the members of the Consortium shall enter into a Joint Bidding Agreement and furnish a copy thereof with the Application.

The Number of Parties are reflected here, as applicable.

NOW IT IS HEREBY AGREED as follows:

**1. Definitions and Interpretations**

In this Agreement, the capitalised terms shall, unless the context otherwise requires, have the meaning ascribed thereto under the RFP.

**2. Consortium**

2.1 The Parties do hereby irrevocably constitute a consortium (the "Consortium") for the purposes of jointly participating in the Bidding Process for the Project.

2.2 The Parties hereby undertake to participate in the Bidding Process only through this Consortium and not individually and/ or through any other consortium constituted for this Project, either directly or indirectly or through any of their Associates.

**3. Role of the Parties**

The Parties hereby undertakes that Party of the First Part shall be the Lead member of the Consortium and shall have the power from all Parties for conducting all business for and on behalf of the Consortium during the Bidding Process and until the Appointed Date shall become effective.

#### 4. Joint and Several Liability

The Parties do hereby undertake to be jointly and severally responsible for all obligations and liabilities relating to the Project and in accordance with the terms of the RFP

#### 5. Representation of the Parties

Each Party represents to the other Parties as of the date of this Agreement that:

(a) Such Party is duly organised, validly existing and in good standing under the laws of its incorporation and has all requisite power and authority to enter into this Agreement;

(b) The execution, delivery and performance by such Party of this Agreement has been authorised by all necessary and appropriate corporate or Authority action

#### 6. Miscellaneous

6.1 The Parties acknowledge and accept that this Agreement shall not be amended by the Parties without the prior written consent of the Authority.

IN WITNESS WHEREOF THE PARTIES ABOVE NAMED HAVE EXECUTED AND DELIVERED THIS AGREEMENT AS OF THE DATE FIRST ABOVE WRITTEN.

For and on behalf of:

#### **LEAD MEMBER:**

\_\_\_\_\_  
Signature

Name:  
Title:  
Organization:  
Date:

#### **OTHER PARTIES:**

\_\_\_\_\_  
Signature

Name:  
Title:  
Organization:  
Date:

\_\_\_\_\_  
Signature

Name:  
Title:  
Organization:  
Date:



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