##### logo

##### **AFRICAN UNION COMMISSION**

**REQUEST FOR PROPOSALS**

**for**

**CONSULTANCY SERVCIES**

**TO DEVELOP THE AGENDA 2063 FINANCING, DOMESTIC RESOURCE MOBILIZATION, AND PARTNERSHIP GUIDE AND IMPLEMENT THE AUC/PRIVATE SECTOR ENGAGEMENT RESOURCE MOBILIZATION STRATEGY ACTIVITIES**

**Reference No.: AUC/SPPMERM/C/001**

**Issued on: 26th August 2019**

# CONTENTS

CONTENTS 2

SECTION 1 Invitation letter 3

Section 2 Information to Consultants 4

1. Introduction 5

2. Clarification and Amendment of RFP Documents 8

3. Preparation of Proposal 9

4. Submission, Receipt, and Opening of Proposals 11

5. Proposal Evaluation 12

6. Negotiations 14

7. Award of Contract 15

8. Confidentiality 15

Section 3 - Data Sheet 16

Section 4. Technical Proposal - Standard Forms 20

SECTION 5 - FINANCIAL PROPOSAL - STANDARD FORMS 30

Section 6 - Terms of Reference 1

# Section 2 Information to Consultants

|  |  |
| --- | --- |
| 1. Introduction | 1.1 The Client named in the Data Sheet will select a firm from those listed in the Letter of Invitation, in accordance with the method of selection specified in the Data Sheet.1.2 The Consultants are invited to submit a Technical Proposal and a financial proposal, as specified in the Data Sheet for services required for the assignment named in the Data Sheet. The proposal will be the basis for contract negotiations and ultimately for a signed contract with the selected firm.1.3 The assignment shall be implemented in accordance with any phasing indicated in the Data Sheet. When the assignment includes several phases, the performance of Consultant under each phase must be to the Client's satisfaction before work begins on the next phase.1.4 The Consultants must familiarise themselves with local (African) conditions and take them into account in preparing their proposals. To obtain first-hand information on the assignment and on the local conditions, Consultants are encouraged to visit the Client before submitting a proposal and to attend a pre-proposal conference if one is specified in the Data Sheet. Attending any specified pre-proposal conference is optional. Consultants representative should contact the officials named in the Data Sheet to arrange for their visit or to obtain additional information on any pre-proposal conference. Consultants should ensure that these officials are advised of the visit in adequate time to allow them to make appropriate arrangements.1.5 The Client will provide the inputs specified in the Data Sheet, assist the firm in obtaining requirements needed to carry out the services, and make available relevant project data and reports.1.6 Note that: (i) the costs of preparing the proposal and of negotiating the contract, including a visit to the Client, are not reimbursable as a direct cost of the assignment; and (ii) the Client is not bound to accept any of the proposals submitted.1.7 African Union policy requires Consultants to provide professional, objective, and impartial advice, and at all times hold the Client’s interests paramount, without any consideration for future work, and strictly avoid conflicts with other assignments or their own corporate interests. Consultants shall not be hired for any assignment that would be in conflict with their prior or current obligations to other clients, or that may place them in a position of not being able to carry out the assignment in the best interests of the Client. 1.7.1 Without limitation on the generality of this rule, Consultants shall not be hired under the circumstances set forth below:1. Conflict between contracting activities and procurement of goods, works or services: A firm that has been engaged to provide goods, works, or services for a project, and each of its affiliates, shall be disqualified from providing consulting services related to those goods, works or services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, and each of its affiliates, shall be disqualified from subsequently providing goods, works or services resulting from or directly related to the firm’s contracting services for such preparation or implementation (other than a continuation of the firms earlier consulting services for the same project).
2. Conflict among contracting assignments: Neither Consultants (including their personnel and sub-Consultants) nor any of their affiliates shall be hired for any assignment that, by its nature, may be in conflict with another assignment of the Consultants.
3. Relationship with AUC staff: Consultants (including their personnel and sub-Consultants) that have a business or family relationship with a member of AUC staff (or of the Client staff, or of a beneficiary of the assignment) who are directly or indirectly involved in any part of: (i) the preparation of the TOR of the contract, (ii) the selection process for such contract, or (iii) supervision of such contract may not be awarded a contract.
	* 1. As indicated in paragraph 1.7.1 (a) above, Consultants may be hired for downstream work, when continuity is essential, in which case this possibility shall be indicated in the Data Sheet and the factors used for the selection of the consultant should take the likelihood of continuation into account. It will be the exclusive decision of the Client whether or not to have the downstream assignment carried out, and if it is carried out, which consultant will be hired for the purpose.
		2. In the event of 1.7.2. and in order to ensure fairness and transparency in the selection process, it is required that Consultants or their affiliates competing for a specific assignment do not derive a competitive advantage from having provided consulting services related to the assignment in question. To that end, all information that would in that respect give a consultant a competitive advantage shall be made available to all the short-listed Consultants together with the request for proposals.

1.8 The African Union requires that Officers of the AU, as well as Consultants/ Consultnats/ Contractors/ observe the highest standard of ethics during the procurement and execution of such contracts.[[1]](#footnote-1) In pursuance of this policy the AU:(a) defines, for the purposes of this provision, the terms set forth below as follows:(i) “corrupt practice”[[2]](#footnote-2) is the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party; 1. “fraudulent practice”[[3]](#footnote-3) is any act or omission including a misrepresentation that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation;
2. “collusive practice”[[4]](#footnote-4) is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
3. “coercive practice”[[5]](#footnote-5) 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;
4. “obstructive practice” is deliberately destroying, falsifying, altering or concealing of evidence material to any investigation or making false statements to investigators in order to materially impede any 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;

(b) will reject a recommendation for award of contract if it determines that the Consultant recommended for award has, directly or through an agent, engaged in corrupt, fraudulent, collusive, coercive or obstructive practices in competing for the contract in question;(c) will declare a firm ineligible, either indefinitely or for a stated period of time, to be awarded an African Union financed contract if it at any time determines that the firm has, directly or through an agent, engaged in corrupt, fraudulent, collusive, coercive or obstructive practices in competing for, or in executing, an African Union financed contract.1.9 Consultants shall not be under a declaration of ineligibility for corrupt, fraudulent, collusive, coercive or obstructive practices issued by the AUC in accordance with the above sub-paragraph 1.8.1.10 1.11 Consultants shall be aware of the provisions on fraud and corruption stated in the Standard Contract under the clauses indicated in the Data Sheet. |
| 2. Clarification and Amendment of RFP Documents | 2.1 Consultants may request a clarification of any of the RFP documents up to the number of days indicated in the Data Sheet before the proposal submission date. Any request for clarification must be sent in writing by mail, facsimile, or electronic mail to the Client’s address indicated in the Data Sheet. The Client will respond by facsimile, courier or electronic mail to such requests and will send written copies of the response (including an explanation of the query but without identifying the source of inquiry) to all invited Consultants who intend to submit proposals.2.2 At any time before the submission of proposals, the Client may, for any reason, whether at its own initiative or in response to a clarification requested by an invited firm, amend the RFP. Any amendment shall be issued in writing through addenda. Addenda shall be sent by mail, facsimile, or electronic mail to all invited Consultants and will be binding on them. The Client may at its discretion extend the deadline for the submission of proposals. |
| 3. Preparation of Proposal | 3.1 Consultants are requested to submit a proposal (paragraph 1.2) written in the language(s) specified in the Data Sheet. |
| **Technical Proposal** | 3.2 In preparing the Technical Proposal, Consultants are expected to examine the documents constituting this RFP in detail. Material deficiencies in providing the information requested may result in rejection of a proposal.3.3 While preparing the Technical Proposal, Consultants must give particular attention to the following:(i) If a Consultant considers that it does not have all the expertise for the assignment, it may obtain a full range of expertise by associating with individual consultant(s) and/or other Consultants or entities in a joint venture or sub-consultancy, as appropriate. Consultants may associate with the other Consultants invited for this assignment only with approval of the Client as indicated in the Data Sheet. (ii) For assignments on a staff-time basis, the estimated number of professional staff-months is given in the Data Sheet. The proposal shall, however, be based on the number of professional staff-months estimated by the firm. For fixed-budget-based assignments, the available budget is given in the Data Sheet, and the Financial Proposal shall not exceed this budget.(iii) It is desirable that the majority of the key professional staff proposed be permanent employees of the firm or have an extended and stable working relationship with it.(iv) Proposed professional staff must, at a minimum, have the experience indicated in the Data Sheet, preferably working under conditions similar to those prevailing in the Country specified for Performance of the Services.(v) Alternative professional staff shall not be proposed, and only one Curriculum Vitae (CV) may be submitted for each position.(vi) Reports to be issued by the Consultants as part of this assignment must be in the language(s) specified in the Data Sheet. 3.4 The Technical Proposal shall provide the following information using the Standard Forms attached in Section 4:(i) A brief description of the firm’s organisation and an outline of recent experience on assignments (Section 4B) of a similar nature. For each assignment, the outline should indicate, inter-alia, the profiles of the staff proposed, duration of the assignment, contract amount, and the firm’s involvement.(ii) Any comments or suggestions on the Terms of Reference and on the data, a list of services, and facilities to be provided by the Client (Section 4C).(iii) A description of the methodology and work plan for performing the assignment (Section 4D).(iv) The list of the proposed staff team by specialty, the tasks that would be assigned to each staff team member, and their timing (Section 4E).(v) CVs recently signed by the proposed professional staff and the authorized representative submitting the proposal (Section 4F). Key information should include number of years working for the firm/entity and degree of responsibility held in various assignments during the last ten (10) years.(vi) Estimates of the total staff input (professional and support staff; staff time) needed to carry out the assignment, supported by bar-chart diagrams showing the time proposed for each professional staff team member (Sections 4E and 4G).(vii) A detailed description of the proposed methodology, staffing, and monitoring of training, if the Data Sheet specifies training as a major component of the assignment.(viii) Any additional information requested in the Data Sheet.3.5 The Technical Proposal shall not include any financial information. |
| **Financial Proposal** | 3.6 In preparing the Financial Proposal, Consultants are expected to take into account the requirements and conditions outlined in the RFP documents. The Financial Proposal should follow the Standard Forms in Section 5. These list all costs associated with the assignment, including (a) remuneration for staff, (foreign and local, in the field and at headquarters); and (b) reimbursable expenses such as subsistence (per diem, housing), transportation (international and local, for mobilisation and demobilisation), services and equipment (vehicles, office equipment, furniture, and supplies), office rent, insurance, printing of documents, surveys, and training, if it is a major component of the assignment. Where appropriate, these costs should be broken down by activity, and, if appropriate, into foreign and local expenditures.3.7 The Financial Proposal shall include all the costs the consultant incurs to provide the services (including travel expenses, translation, printing and the taxes the consultant pays for its business requirements by the law of the domicile country of the consultant), but shall exclude all local taxes levied within African Union Member States on the invoice issued by the consultant (such as local sales tax, services tax or withholding tax). 3.8 Consultants may express the price of their services in any freely convertible currency. The Consultants may not use more than three foreign currencies. The Client may require Consultants to state the portion of their price representing local costs in the Currency of the Country specified for performance of the Services if so indicated in the Data Sheet. 3.9 Commissions and gratuities, if any, paid or to be paid by Consultants and related to the assignment will be listed in the Financial Proposal submission form (Section 5A).3.10 The Data Sheet indicates how long the proposals must remain valid after the submission date. During this period, the consultant is expected to keep available the professional staff proposed for the assignment. The Client will make its best effort to complete negotiations within this period. If the Client wishes to extend the validity period of the proposals, the Consultants who do not agree have the right not to extend the validity of their proposals.  |
| 4. Submission, Receipt, and Opening of Proposals | 4.1 The original proposal (Technical Proposal and, if required, Financial Proposal; see paragraph 1.2) shall be prepared in indelible ink. It shall contain no interlineations or overwriting, except as necessary to correct errors made by the firm itself. Any such corrections must be initialled by the persons or person signing the proposal.4.2 An authorised representative of the firm initials all pages of the proposal. The representative’s authorisation is confirmed by a written power of attorney accompanying the proposal.4.3 For each proposal, the Consultants shall prepare the number of copies indicated in the Data Sheet. Each Technical Proposal and Financial Proposal shall be marked “Original” or “Copy” as appropriate. If there are any discrepancies between the original and the copies of the proposal, the original will govern.4.4 The original and all copies of the Technical Proposal shall be placed in a sealed envelope clearly marked “Technical Proposal,” and the original and all copies of the Financial Proposal if required (see paragraph 1.2 in a sealed envelope clearly marked “Financial Proposal” and warning: “Do Not Open with the Technical Proposal.” Both envelopes shall be placed into an outer envelope and sealed. This outer envelope shall bear the submission address and other information indicated in the Data Sheet and be clearly marked, “Do Not Open, Except in Presence of the Tender Opening Committee.”4.5 The completed Technical and Financial Proposals if required (see paragraph 1.2) must be delivered at the submission address on or before the time and date stated in the Data Sheet. Any proposal received after the closing time for submission of proposals shall be returned unopened.4.6 After the deadline for submission of proposals, the Technical Proposal shall be opened immediately by the Tender Opening Committee. The Financial Proposal shall remain sealed and retained securely until all submitted proposals are opened publicly.* 1. The Firm may withdraw its Proposal after the Proposal’s submission, provided that the written notice of the withdrawal is received by the Client prior to the deadline prescribed for submission of Proposals. The Firms’ withdrawal notice shall be prepared, sealed, marked, and dispatched in accordance with the provisions of clause Deadline for Submission of Proposals. The withdrawal notice may also be sent by telex or fax but followed by a signed confirmation copy. No Proposal may be modified subsequent to the deadline for submission of proposals. No Proposal may be withdrawn in the Interval between the deadline for submission of proposals and the expiration of the period of proposal validity specified by the firm on the Proposal Submission Form.
 |
| 5. Proposal Evaluation |  |
| **General** | 5.1 From the time the Proposals are opened to the time the contract is awarded, if any consultant wishes to contact the Client on any matter related to its proposal, it should do so in writing at the address indicated in the Data Sheet. Any effort by the firm to influence the Client in proposal evaluation, proposal comparison or contract award decisions may result in the rejection of the Consultant’s proposal.5.2 Evaluators of Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is completed. |
| **Evaluation of Technical Proposals** | 5.3 The evaluation committee appointed by the Client, as a whole, and each of its members individually, will evaluate the proposals on the basis of their responsiveness to the Terms of Reference, applying the evaluation criteria, sub-criteria (typically not more than three per criteria), and point system specified in the Data Sheet. Each responsive proposal will be given a technical score (St). A proposal shall be rejected if it does not respond to important aspects of the Terms of Reference or if it fails to achieve the minimum technical score indicated in the Data Sheet.5.4 In the case of Quality-Based Selection, Selection Based on Consultant’s Qualifications, and Single-Source Selection, the highest ranked firm, or the firm selected on a single-source basis, is invited to negotiate a contract on the basis of the Technical Proposal and the Financial Proposal submitted in accordance with the instructions given in paragraph 1.2 and the Data Sheet. |
| **Public Opening and Evaluation of Financial Proposals: Ranking (QCBS, Fixed-Budget, and Least-Cost Selection Methods Only)**  | 5.5 After the evaluation of technical quality is completed, the Client shall notify those Consultants whose proposals did not meet the minimum qualifying score or were considered non-responsive to the RFP and Terms of Reference,. The notification may be sent by registered letter, facsimile, or electronic mail.5.6 The Financial Proposals shall be opened publicly in the presence of the Consultants’ representatives who choose to attend. The name of the consultant, the technical scores, and the proposed prices shall be read aloud and recorded as the Financial Proposals are opened. The Client shall prepare minutes of the public opening. 5.7 The evaluation committee will determine whether the Financial Proposals are complete (i.e., whether they have cost all items of the corresponding Technical Proposals; if not, the Client will cost them and add their cost to the initial price), correct any computational errors, and convert prices in various currencies to the single currency specified in the Data Sheet. The official selling rates used, provided by the source indicated in the Data Sheet, will be those in effect on the date indicated in the Data Sheet. The evaluation shall exclude those taxes, duties, fees, levies, and other charges imposed that are subject to the African Union exemption on the payment of taxes and duties, and estimated as per paragraph 3.7. 5.8 In case of QCBS*,* the lowest priced Financial Proposal (Fm) will be given a financial score (Sf) of 100 points. The financial scores (Sf) of the other Financial Proposals will be computed as indicated in the Data Sheet.Proposals will be ranked according to their combined technical (*St*) and financial (*Sf*) scores using the weights (T = the weighting for the Technical Proposal; P = the weighting for the Financial Proposal as indicated in the Data Sheet. T + P = 1); The firm achieving the highest combined technical and financial score using the formula below would be invited for negotiations 5.9. In the case of Fixed-Budget Selection, the Client will select the firm that submitted the highest ranked Technical Proposal within the indicated budget price. Proposals that exceed the indicated budget will be rejected. In the case of the Least-Cost Selection, the Client will select the lowest evaluated cost proposal among those that passed the minimum technical score. The selected firm will be invited for negotiations. |
| 6. Negotiations | 6.1 Negotiations will be held at the address indicated in the Data Sheet. The aim is to reach agreement on all points and sign a contract.6.2 Negotiations will include a discussion of the Technical Proposal, the proposed methodology (work-plan), staffing, and any suggestions made by the firm to improve the Terms of Reference. The Client and firm will then agree final Terms of Reference, staffing, and bar charts indicating activities, staff, periods in the field and in the home office, staff-months, logistics, and reporting. The agreed work plan and final Terms of Reference will then be incorporated in the “Description of Services” and form part of the contract. Special attention will be paid to getting the most the firm can offer within the available budget and to clearly defining the inputs required from the Client to ensure satisfactory implementation of the assignment.6.3 6.4 Having selected the firm on the basis including an evaluation of proposed key professional staff, the Client expects to negotiate a contract on the basis of the experts named in the proposal. Before contract negotiations, the Client will require assurances that the proposed experts will be actually available. The Client will not consider substitutions during contract negotiations unless both parties agree that undue delay in the selection process makes such substitution unavoidable or that such changes are critical to meet the objectives of the assignment. If this is not the case and if it is established that key staff were offered in the proposal without confirming their availability, the firm may be disqualified.6.5 The negotiations will conclude with a review of the draft form of the contract. On completion of negotiations, the Client and the firm will initial the agreed contract. If negotiations fail, the Client will invite the firm whose proposal received the second highest score to negotiate a Contract. |
| 7. Award of Contract | 7.1 The contract will be awarded following negotiations. After negotiations are completed, the Client will promptly notify other Consultants on the shortlist that they were unsuccessful and return the unopened Financial Proposals of those Consultants who did not pass the technical evaluation (paragraph 5.3).7.2 The firm is expected to commence the assignment on the date and at the location specified in the Data Sheet. |
| 8. Confidentiality | 8.1 Information relating to the evaluation of proposals and recommendations concerning awards shall not be disclosed to the Consultants who submitted the proposals or to other persons not officially concerned with the process, until the winning firm has been notified that it has been awarded the contract. |

# Section 3 - Data Sheet

|  |  |
| --- | --- |
| **ITC Clause Reference** | **Description** |
| ITC Clause 1.1 | The name of the Client is: **African Union Commission** The method of selection is: **Quality and Cost Based Selection Method**  |
| ITC Clause 1.2 | **Financial Proposal shall be submitted together with the Technical Proposal**, i**n separate sealed envelopes****DEVELOP THE AGENDA 2063 FINANCING, DOMESTIC RESOURCE MOBILIZATION, AND PARTNERSHIP GUIDE AND IMPLEMENT THE AUC/PRIVATE SECTOR ENGAGEMENT RESOURCE MOBILIZATION STRATEGY ACTIVITIES**The Name, and RFP No. of the assignment are:**RFP No. : AUC/SPPMERM/C/001** |
| ITC Clause 1.5 | The Client will provide the following: * Please refer the TOR for details
 |
| ITC Clause 2.1 | For Clarification of bid purposes only, the Purchaser’s address is:Attention: Ms. Carine Toure Yemitia,Head, Procurement, Travel and Stores DivisionAddress: African Union CommissionFloor/ Room number:3rd Floor City: Addis AbabaZIP Code: P.O Box 3243Country: Ethiopia Tel: +251 11 551 77 00, Ext 4526/4305Facsimile number: +251 11 551 78 44 or +251 11 551 87 18 Electronic mail address: tender@africa-union.orgRequests for clarification should be received by the Employer no later than: **two weeks** to the deadline of the RFP.  |
| ITC Clause 3.1 | **This RFP has been issued in the AU language.****Proposals shall be submitted in AU language.** **All correspondence exchange shall be in AU language.** |
| ITC Clause 3.3(iv) | The **minimum required proposed professional** **staff** and miminum **Estimated input** of Key Experts’ time-input: **10** man-months.1. **Team Leader / Lead Consultant – (estimated man-month 2)**
2. **Key Experts 2 (estimated man-month is 4/each key expert)**

**The Consultning firm may propose additional key experts, if required.**  |
| ITC Clause 3.3(vi) | Reports that are required under the assignment shall be submitted in **English Language.** |
| ITC Clause 3.4(viii) | Additional information required in the Technical Proposal is: **None** |
| ITC Clause 3.10 | Proposals must remain valid for **90 days** after the submission date. |
| ITC Clause 4.3 | **The Consultant must submit: A sealed and signed with official stamp on the envelop as follows:** (a) **Technical Proposal:** one (1) original and three (3) copies;(b) **Financial Proposal:** one (1) originalConsultants **shall use** the standard templets provided under Section 4 and Section 5 of the RFP. The consultant should indicate the title and reference number on the envelops both techcnial and financial proposals.  |
| ITC Clause 4.4 | The address for submission of proposals is: **Attention: Head Procurement, Travel and Stores Division****Street Address: African Union Commission, Roosevelt Street** **Floor/ Room number: 3rd Floor, Building C** **City: Addis Ababa** **ZIP/Postal Code: P.O Box 3243** **Country: Ethiopia**Information on the outer of **each envelope** should also include: on the top left side, boldly written**;** * **Name of the Assignment,**
* **Refernce Nubmer and**
* **clearly mark with Finanical or Techcnial Proposal.**

In the middle of the envelope should be the address. At the bottom right corner; write “Do not open, except in the presence of AU Tender Opening Committee”  |
| ITC Clause 4.5 | Proposals must be submitted no later than: **Date:** September 24, 2019**Time:** 15:00 Local Time (Addis Ababa Time)Late submission shall be rejected. The opening shall take place at:**African Union Commission , Roosevelt Street****Floor/ Room number: 3rd Floor Building C, AHRM Meeting Room****City: Addis Ababa****Country: Ethiopia****Date**: September 24, 2019**Time:** 15:30 Local Time (Addis Ababa Time) |
| ITC Clause 5.1 | The addresses for communications to the Client is: **Mrs. Carine Toure Yemitia****Head Procurement, Travel and Stores Division****Street Address: African Union Commission, Roosevelt Street** **Floor/ Room number: 3rd Floor, Building C** **City: Addis Ababa** **ZIP/Postal Code: P.O Box 3243** **Email:** **tender@africa-union.org****Country: Ethiopia** |
| ITC Clause 5.3 | The number of points to be given under each of the technical evaluation criteria are:  |
| The points given to evaluation criteria are:

|  |
| --- |
| Technical Proposal Evaluation  points |
| 1 | Specific experience of the Consultant (as a firm) relevant to the Assignment and number of years:  | 10 |
| Adequacy and quality of the proposed methodology, and  work plan in responding to the Terms of Reference (TORs) - |
| 1. | Adequacy of the proposed Technical approach and methodology in responding to the terms of reference | 30 |
| 2. | Draft Work plan in responding to the terms of reference | 10 |
| Key  Experts’ qualifications and competence for the Assignment |
|  | Team leader / Lead Consultant  | 20 |
|  | Key Experts 2 (Each will be evaluated out of 15) | 30 |
|  | **Total**  | **100** |
| **#** | **Assessment Criteria for the Key Experts** | **Points** |
| 1 | General qualifications (general education and Professional Qualification / SAP Certification) and Language  | **30%** |
| 2 | Adequacy for the Assignment (Relevant experience in the similar assignments / No of projects involved) | **70%** |

**The minimum technical score required to pass is: 70** **points** |
| ITC Clause 5.7 | **The single currency for the conversion of all prices expressed in various currencies into a single one is**: United States Dollar (USD)**The official source of the selling (exchange) rate is**:UN Operational Rates of Exchange*http://treasury.un.org/operationalrates/OperationalRates.aspx* **The date of the exchange rate is:** Proposal opening date |
| ITC Clause 6.1 | Negotiations and further discussions with successful Consultant, if required will be held at :**African Union Commission , Roosevelt Street****Floor/ Room number: 3rd Floor Building C, AHRM Meeting Room****City: Addis Ababa****Country: Ethiopia****Expected date and address for contract negotiations:** **Date**: October 14, 2019 |
| ITC Clause 7.2 | **Expected date for the commencement of the Services:****Date**: October 24, 2019 **at**: African Union Commission |

# Section 4. Technical Proposal - Standard Forms

4A. Technical Proposal Submission Form.

4B. Consultants Information form

4C. Comments and suggestions of Consultants on the Terms of Reference and on data, services, and facilities to be provided by the Client.

4D. Description of Approach, Methodology, and Work Plan in Responding to the Terms of Reference

4E. Team Composition and Task Assignments.

4F. Format of Curriculum Vitae (CV) for Proposed Professional Staff.

4G. Time Schedule for Professional Personnel.

4H. Activity (work) schedule.

4**A. TECHNICAL PROPOSAL SUBMISSION FORM**

{*Location, Date*}

To: {*Name and address of Client*}

Sir / Madam:

 We, the undersigned, offer to provide the services for {*Title of services to provide and Procurement Number*} in accordance with your Request for Proposals dated {*Date*} and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal sealed in a separate envelope.

We declare that we have no conflict of interest as defined by Section 1.7 of the Information to Consultants in relationship to performance of this assignment.

 If negotiations are held during the period of validity of the Proposal, i.e., before {*Date*} we undertake to negotiate on the basis of the proposed staff. Our Proposal is binding upon us and subject to the modifications resulting from Contract negotiations.

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

 We remain,

Yours sincerely,

Authorised Signature:

Name and Title of Signatory:

Name of Firm:

Address:

4B. Consultant Information Form

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

Ref.: *[insert number of bidding process]*

|  |
| --- |
| 1. Consutlant’s Name  |
| 2. Consutlant’s actual or intended country of registration: *[insert actual or intended country of registration]* |
| 3. Consutlant’s year of registration: *[insert Consutlant’s year of registration]* |
| 4. Consutlant’s Address in country of registration: *[insert Consutlant’s legal address in country of registration]* |
| 5. Consutlant’s Authorized Representative Information – for the Goods part Name: *[insert Authorized Representative’s name]* Address: *[insert Authorized Representative’s Address]* Telephone/Fax numbers: *[insert Authorized Representative’s telephone/fax numbers]* Email Address: *[insert Authorized Representative’s email address]* |
| 6. Attached are copies of original documents of*[check the box(es) of the attached original documents]** Legal and financial autonomy
* Operation under commercial law

Included are the organizational chart, a list of Board of Directors, and the beneficial ownership. |

**4C. Comments and Suggestions of Consultants on the Terms of Reference and on Data, Services, and Facilities to be Provided by the Client**

Comments and suggestions on the Terms of Reference that could improve the quality/effectiveness of the assignment; and on requirements for counterpart staff and facilities, which are provided by the Client, including: administrative support, office space, local transportation, equipment, data, etc.

**A - On the Terms of Reference**

{improvements to the Terms of Reference, if any}

**B - On Counterpart Staff and Facilities**

{comments on counterpart staff and facilities to be provided by the Client. For example, administrative support, office space, local transportation, equipment, data, background reports, etc., if any}

**4D. Description of Approach, Methodology, and Work Plan in Responding to the Terms of Reference**

A description of the approach, methodology and work plan for performing the assignment, including a detailed description of the proposed methodology and staffing for training, if the Terms of Reference specify training as a specific component of the assignment.

{Suggested structure of your Technical Proposal}:

1. Technical Approach and Methodology
2. Work Plan
3. Organization and Staffing}

a) ***Technical Approach and Methodology.***{Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TORs), the technical approach, and the methodology you would adopt for implementing the tasks to deliver the expected output(s), and the degree of detail of such output. Please do not repeat/copy the TORs in here.}

b) ***Work Plan.***{Please outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and tentative delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing your understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule Form.}

c) ***Organization and Staffing.***{Please describe the structure and composition of your team, including the list of the Key Experts, Non-Key Experts and relevant technical and administrative support staff.}

**4E. TEAM COMPOSITION AND TASK ASSIGNMENTS**

|  |  |  |
| --- | --- | --- |
| **1. Key Experts** |  |  |
| Name | Position | Task |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

|  |
| --- |
| **2. Non-Key Experts, if any** |
| Name | Position | Task |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**4F. FORMAT OF CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF**

|  |  |
| --- | --- |
| **Position Title and No.** | {e.g., K-1, TEAM LEADER} |
| **Name of Expert:** | {Insert full name} |
| **Date of Birth:** | {day/month/year} |
| **Country of Citizenship/Residence** |  |

**Education:** {List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained}

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Employment record relevant to the assignment:** {Starting with present position, list in reverse order. Please provide dates, name of employing organization, titles of positions held, types of activities performed and location of the assignment, and contact information of previous clients and employing organization(s) who can be contacted for references. Past employment that is not relevant to the assignment does not need to be included.}

|  |  |  |  |
| --- | --- | --- | --- |
| **Period** | **Employing organization and your title/position. Contact infor for references** | **Country**  | **Summary of activities performed relevant to the Assignment** |
| [e.g., May 2005-present] | [e.g., Ministry of ……, advisor/consultant to…For references: Tel…………/e-mail……; Mr. Hbbbbb, deputy minister] |  |  |
|  |  |  |  |
|  |  |  |  |

**Membership in Professional Associations and Publications: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Language Skills (indicate only languages in which you can work): \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Adequacy for the Assignment:**

|  |  |
| --- | --- |
| **Detailed Tasks Assigned on Consultant’s Team of Experts:**  | **Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks** |
| **{List all deliverables/tasks as in TECH- 5 in which the Expert will be involved)** |  |
|  |  |
|  |  |

**Expert’s contact information:** (e-mail…………………., phone……………)

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by the Bank.

 {day/month/year}

Name of Expert Signature Date

 {day/month/year}

Name of authorized Signature Date

Representative of the Consultant

(the same who signs the Proposal)

**4G. TIME SCHEDULE FOR PROFESSIONAL PERSONNEL**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  | Months (in the Form of a Bar Chart) |
| Name | Position | Reports Due/Activities | 1 | 2 | 3 | 4 |  |  |  |  | Number of Weeks |
|  |  |  |  |  |  |  |  |  |  |  | Subtotal (1) |
|  |  |  |  |  |  |  |  |  |  | Subtotal (2) |
|  |  |  |  |  |  |  |  |  |  | Subtotal (3) |
|  |  |  |  |  |  |  |  |  |  | Subtotal (4) |
|  |  |  |  |  |  |  |  |  |  |  |

Full-time: {key} Part-time: {key}

Reports Due: {key}

Activities Duration: {key}

Signature:

{Authorised representative}

Full Name:

Title:

Address**:**

|  |
| --- |
| **A. Field Investigation and Study Items** |
|  | ***[1st, 2nd, etc. are months from the start of assignment.]*** |
|  | 1st | 2nd | 3rd | 4th | . | . | . |  |
| Activity (Work) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |

**4H. ACTIVITY (WORK) SCHEDULE**

|  |
| --- |
| **B. Completion and Submission of Reports** |
| Reports | Date |
| 1.  |  |
| 2.  |  |
| 3.  |  |

# SECTION 5 - FINANCIAL PROPOSAL - STANDARD FORMS for Consultancy

5A. Financial Proposal Submission Form.

5B. Summary of Costs.

5C. Breakdown of Price per Activity.

5D. Breakdown of Reimbursable Expenses

**5A. FINANCIAL PROPOSAL SUBMISSION FORM**

{*Date*}

To: {*Name and address of Client*]

Sir / Madam:

 We, the undersigned, offer to provide the consulting services for {*Title of consulting services and Procurement Number*} in accordance with your Request for Proposals dated {*Date*} and our Proposal (Technical and Financial Proposals). Our attached Financial Proposal is for the sum of {*Amount in words and figures*}. This amount is exclusive of the local taxes which shall be identified during negotiations and shall be added to the above amount.

 Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal, i.e., {*Date*}.

 Commissions and gratuities, if any, paid or to be paid by us to agents relating to this Proposal and Contract execution, if we are awarded the Contract, are listed below:

|  |  |  |
| --- | --- | --- |
| Name and Address of Agents | Amount and Currency | Purpose of Commissionor Gratuity |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  |  |

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

 Yours sincerely,

Authorised Signature:

Name and Title of Signatory:

Name of Firm:

Address:

**5B. SUMMARY OF COSTS**

|  |  |
| --- | --- |
| Item | **Cost** |
|  |
|  |
| **Cost of the Financial Proposal**  |  |
| Including: |  |
| (1) **Remuneration**  |  |
| (2)**Reimbursables** |  |
| **Total Cost of the Financial Proposal:** |  |

**5C. BREAKDOWN OF Remuneration**

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for the calculation of the Contract’s ceiling amount;to calculate applicable taxes at contract negotiations; and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This Form shall not be used as a basis for payments under Lump-Sum contracts

|  |
| --- |
| **A. Remuneration**  |
| **No.** | **Name** | **Position (as in TECH-6)** | **Person-month Remuneration Rate** | **Time Input in Person/Month**(from TECH-6) | Amount | Total  |
|  | **Key Experts** |  |  |  |  |  |  |  |
| K-1 |  |  | [*Home*] |  |  |  |
|  | [*Field*] |  |  |  |
| K-2 |  |  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  | **Non-Key Experts**  |  |  |  |  |  |  |  |
| N-1 |  |  | [*Home*] |  |  |  |
| N-2 | [*Field*] |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  | Total Costs |  |

**5D. Breakdown of Reimbursable Expenses**

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for calculation of the Contract ceiling amount, to calculate applicable taxes at contract negotiations and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This form shall not be used as a basis for payments under Lump-Sum contracts

|  |
| --- |
| **B. Reimbursable Expenses**  |
| **N°** | **Type of Reimbursable Expenses** | **Unit** | **Unit Cost** | **Quantity** | Amount |  |  |  |
|  | {e.g., Per diem allowances\*\*} | {Day} |  |  |  |  |  |  |
|  | {e.g., International flights} | {Ticket} |  |  |  |  |  |  |
|  | {e.g., In/out airport transportation}  | {Trip} |  |  |  |  |  |  |
|  | {e.g., Communication costs between Insert place and Insert place} |  |  |  |  |  |  |  |
|  | { e.g., reproduction of reports} |  |  |  |  |  |  |  |
|  | {e.g., Office rent} |  |  |  |  |  |  |  |
|  | .................................... |  |  |  |  |  |  |  |
|  | {Training of the Client’s personnel – if required in TOR} |  |  |  |  |  |  |  |
|  Total Costs |  |  |  |  |

Legend*:*

“Per diem allowance” is paid for each night the expert is required by the Contract to be away from his/her usual place of residence. Client can set up a ceiling

*[The Consultant shall fill in these Price Schedule Forms in accordance with the instructions indicated. The list of line items in column 1 of the* ***Price Schedules*** *shall coincide with the List of Goods and Related Services specified by the Purchaser in the Schedule of Requirements.]*

|  |
| --- |
| 5E. Price Schedule: Goods Manufactured Outside the Purchaser’s Country, to be Imported |
|  | (Group C bids, goods to be imported)Currencies in accordance with ITB 15 | Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ICB No: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Alternative No: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Page N° \_\_\_\_\_\_ of \_\_\_\_\_\_ |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |  | 9 |
| Line ItemN° | Description of Goods  | Country of Origin | Delivery Date as defined by Incoterms | Quantity and physical unit | Unit price DAP*[insert place of destination]*in accordance with ITB 14.8(b)(i) | DAP Price per line item(Col. 5x6) |  | Total Price per Line item (Col. 7+8) |
| *[insert number of the item]* | *[insert name of good]* | *[insert country of origin of the Good]* | *[insert quoted Delivery Date]* | *[insert number of units to be supplied and name of the physical unit]* | *[insert unit price CIP per unit]* | *[insert total CIP price per line item]* |  | *[insert total price of the line item]* |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  | Total Price |  |
| Name of Bidder *[insert complete name of Bidder]* Signature of Bidder *[signature of person signing the Bid]* Date *[Insert Date]* |

|  |
| --- |
| 5F. Price and Completion Schedule - Related Services |
|  | Currencies in accordance with ITB 15 | Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ICB No: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Alternative No: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Page N° \_\_\_\_\_\_ of \_\_\_\_\_\_ |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| Service N° | Description of Services (excludes inland transportation and other services required in the Purchaser’s country to convey the goods to their final destination)  | Country of Origin | Delivery Date at place of Final destination | Quantity and physical unit | Unit price  | Total Price per Service (Col. 5\*6 or estimate) |
| *[insert number of the Service ]* | *[insert name of Services]* | *[insert country of origin of the Services]* | *[insert delivery date at place of final destination per Service]* | *[insert number of units to be supplied and name of the physical unit]* | *[insert unit price per item]* | *[insert total price per item]* |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  | Total Bid Price |  |
| Name of Bidder *[insert complete name of Bidder]* Signature of Bidder *[signature of person signing the Bid]* Date *[insert date]* |

# Section 6 - Terms of Reference

**DEVELOP THE AGENDA 2063 FINANCING, DOMESTIC RESOURCE MOBILIZATION, AND PARTNERSHIP GUIDE AND IMPLEMENT THE AUC/PRIVATE SECTOR ENGAGEMENT RESOURCE MOBILIZATION STRATEGY ACTIVITIES**

1. **BACKGROUND**

**Agenda 2063 Financing, Domestic Resource Mobilization and Partnership Strategy.**

The AU Heads of State Decision (Assembly/AU/Decl.5 (XXV) of June 14-15, 2015 adopted the First Ten-Year Implementation Plan of Agenda 2063 and its Financing Mechanism. This followed the Executive Council Decision (Doc. EX.CL/899(XXVII)) that urged Member States, RECs and the Commission, NPCA in partnership with the UNECA, and AfDB to consider the financing of Agenda 2063 in a manner that takes into account:

1. Resource mobilization at national, regional and continental levels;
2. The leveraging of existing financing vehicles and new financial intermediation vehicles to be created;
3. Access to finance facilitation resources such as project development funds and guarantee and risk-sharing facilities; and
4. The issues of illicit financial flows, natural resource rent maximization and regional capital market development.

Hence the Agenda 2063 Financing, Domestic Resource Mobilization and Partnership Strategy was developed, and adopted in 2018.

**AUC Resource Mobilisation Strategy**

A study on alternative sources of funding was commissioned by the AUC in 2015. It identified several options that the AUC could pursue to reduce dependency on external funding, which at that time accounted for 97% of the AUC programme budget.

One of the options which was reckoned as a low hanging fruit to actualize the Agenda 2063 vision was the engagement of private sector which the African Union had not at that time tapped into.

As a part of the recommendations of the study, a private sector expert was engaged to come up with a strategy to engage the private sector in contributing to AUC programmes and projects.

This strategy has two critical components, which are value propositions and a roadmap to engage the private sector. Furthermore, four pilot projects have been identified to gauge the AUC’s readiness to partner with the private sector entities and mobilise resources for AUC’s projects and programmes.

* 1. *Context of the Work*

Agenda 2063 financing needs relate to its different programs and levers of socio-economic transformation embedded in its 7 Aspirations on the one hand, and the financing of its 14 flagship projects on the other hand.

Agenda 2063 Financing and Domestic Resource Mobilization Strategy recognizes that Africa needs not only funds, but also more effective and inclusive means of channeling funds (including financial institutions and markets, financial instruments and financial services) to where they can be most effective and where there is market failure in the allocation of the needed resources.

Furthermore, from a market imperfection/ failure perspective, proactive access to finance support for individuals, communities, Micro, Small, and Medium Enterprises (MSME), infrastructure and industrial projects and players in priority sectors are to be considered.

* 1. *Description Of The Assignment*

*The assignment*

The assignment consists of two components:

1. The development of a concise but comprehensive Agenda 2063 Financing, DRM and Partnership Guide;
2. The development of broad tools for the AUC to initiate structured and formidable Private Sector Partnerships for the implementation of the Agenda 2063 continental programmes and projects;

Agenda 2063 Financing, DRM and Partnership Guide

The preparation of an Agenda 2063 Financing and DRM Guide will be targeted for use by Member States and their relevant institutions, and the RECs and continental institutions which will support such efforts at national, regional and continental levels through the provision of relevant assistance and facilitation.

Hence, Agenda 2063 Financing and DRM Guide is to be prepared for **domestication and widespread dissemination to Member States** in close collaboration with Regional Economic Communities (RECs).

The Financing and DRM Guide will define **policy, strategy for implementation and programmatic framework for DRM** in support of the implementation of Agenda 2063.

The Financing and DRM Guide will also be meant to trigger the sharing of **knowledge and best practices**.

Leverage **knowledge, programmatic resources and initiatives** from relevant **international, continental and regional** institutions such as the AfDB, UN-ECA, African Union, African Stock Exchanges Association (ASEA), African Tax Administration Forum (ATAF), African Export–Import Bank (Afreximbank) and regional DFIs, as well as those from international and intergovernmental organizations such as the IMF, World Bank Group and OECD.

AUC Private Sector Engagement

The AUC has finalized its strategy to engage with private sector for resource mobilization purposes. The strategy developed takes into consideration initial value propositions and pilot projects for immediate engagement. The next stage thus is to approach the private sector and develop formidable partnerships that would allow for the effective implementation of the AUC Programmes and Projects.

1. **OBJECTIVES OF THE ASSIGNMENT**
	1. *Global objective of the assignment*
		1. Agenda 2063 Financing, DRM and Partnership Guide

To mobilize adequate resources targeted at financing Agenda 2063 flagship projects and levers of sustainable socio-economic transformation, thereby contributing to the attainment of the objectives of poverty eradication, job creation and achievement and overall vision of the African Union Member States.

* + 1. AUC Private Sector Engagement:

To mobilize adequate African private sector resources in support of the implementation of Agenda 2063 continental programmes and projects under the four selected pilot projects.

* 1. *Specific objective*
		1. Agenda 2063 Financing, DRM and Partnership Guide

To develop a comprehensive and practical Agenda 2063 Financing, DRM and Partnership Guide for widespread dissemination across AU member states, and RECs to facilitate the implementation of Agenda 2063 at continental, regional and national levels.

* + 1. AUC Private Sector Engagement

To provide technical support to the AUC in the development of broad tools for Private Sector engagement and partnerships in the implementation of the Agenda 2063 continental programmes and projects under the four selected pilot projects.

1. **SCOPE OF WORK**

To attain the above objective, the consultant is expected to undertake an assignment under the supervision of the Head of Resource Mobilisation who will report to the Director, Strategic Policy Planning, Monitoring and Evaluation and Resource Mobilization Directorate, and Chief of Staff for endorsement on the following specific areas:

* 1. Develop Agenda 2063 Financing, DRM and Partnership Guide
1. Review the Agenda 2063 Financing, DRM and Partnership Strategy and roadmap and further articulate practical guides for optimized DRM policies, strategies, programs and related implementation frameworks and tools.
2. The contract will articulate the Agenda 2063 Financing, DRM and Partnership Guide the following:
	* Policy and institutional frameworks for optimized DRM – Tax policy perspective (e.g. tax policy framework, OGM rent optimization framework, illicit financial flow curbing, tax/customs administration, overlooked tax opportunities, informal sector taxation and so on, taxation of other overlooked sectors);
	* Policy and institutional frameworks for optimized DRM – savings and investment perspective;
	* Programmatic frameworks to address key African financial institutions and financial market gaps (e.g. private equity market, angel investors’ network, investment banking services, markets for MSME sale, regional stock exchanges, capacity gaps of regional/national DFIs);
	* Financial expertise gap areas and related capacitation programs to address them; including the identification of relevant training and capacity building partners from private, PPP and public sector to partner with for that matter.
3. Propose practical solutions (transaction structures and financing structures) for Agenda 2063 flagship projects;
* Practical solutions to finance Agenda 2063 flagship projects;
* Practical solutions to finance Agenda 2063 levers of sustainable socioeconomic transformation;
1. Identify and suggest possible best practice institutions and programs to be leveraged for the implementation of Agenda 2063 financing and DRM strategies;
2. Undertake Consultations with AfDB, UNECA, NEPAD/AUDA, RECS and AUC on issues related to the assignment
3. Define relevant logical frameworks (including defining Key Performance Indicators and related baseline information) for Agenda 2063 Financing and DRM strategy.
* Logical framework for Agenda 2063 DRM-fiscal perspective;
* Logical framework for Agenda 2063 DRM-savings and investment mobilization perspective;
* Logical framework for Agenda 2063 flagship project financing.
1. Develop a comprehensive and practical Agenda 2063 Financing, DRM and Partnership Guide for widespread dissemination across AU member states, and RECs to facilitate the implementation of Agenda 2063 at continental, regional and national levels.
	1. Provide Technical Support on the AUC Private sector Engagement
2. Develop an AUC private sector engagement policy and guidelines;
3. Define and establish processes for engaging key external stakeholders (task force, pilot departments and the commission) further building a relevant Private Sector Engagement Model for the AUC;
4. Provide technical support in the implementation of AUC private sector engagement strategy;
5. Undertake Consultations with Departments, and specific organs of the AU such as the NEPAD/AUDA
6. Facilitate interactions with private sector entities for the identified pilot projects and prepare for next phase for the project (i.e. sectors/target companies); this will include the facilitation of the AUC Private Sector Engagement sector Roundtable meetings.
7. **MAN MONTHS**
8. The project will stretch for a period/space of one (1) year.
9. Within this year, the consultant will work on the project for 4 months.
10. The period will be categorized by outputs and a work-plan will be developed by the consultant as per the required outputs after the inception briefing meeting.
11. Field visits to exchange/consult with relevant stakeholders across Africa are envisaged

The total time allocated for the assignment is 10 man/month broken down as follows:

* 1. Team Leader; 2 man months.
	2. 2 Key Experts; 4 man months/months each,
1. **DELIVERABLES, REPORT AND SCHEDULE OF DELIVERIES**
	1. *Required outputs*

The contract's assignment will start with an inception meeting with the AUC, consultant and other relevant stakeholders.

Following the inception briefing meeting, the consultant is expected to present the following key deliverables:

1. *Short Inception Report* of not more than 10 pages in no later than a week which will include a provisional work plan for the assignment and explains the methodology to be followed. This may also include any additional specific objectives deemed important for the assignment. The inception report will also include a proposed plan for field missions to be considered and agreed upon by the contracting authority.
2. *Interim Documents* will include:
	* An indicative structure and content of the Agenda 2063 Financing, DRM and Guide of not more than 15 pages for the main text (without Annexes);
	* An indicative structure and content of the Private Sector Engagement Policy, Guidelines, Model and Revised Roadmap for implementation of not more than 15 pages for the main text (without Annexes).
3. *Concise Draft Final Documents* will include:
	* The Practical Agenda 2063 Financing, DRM and Partnership Guide and an Action Plan. The action plan/advisory note will encompass the next steps to be taken including the Short-term and Medium-term Action Plan;
	* The Private Sector Engagement Policy and Guidelines;
	* The AUC Private Sector Engagement Model;
	* The AUC Private Sector Engagement revised roadmap.

These will be presented to key stakeholders in two separate validation workshops for the Agenda 2063 Financing, DRM and Partnership Guide and AUC Private Sector Engagement component.

1. *The Final documents will include:*
	* Refined Practical Agenda 2063 Financing, DRM and Partnership Guide and an Action Plan, private sector engagement policy, guidelines, model and roadmap that considers the comments made during the validation workshops of the documentations;
	* A final report on the technical support and facilitation provided to the AUC on the work of the contracting company in assisting the AUC to engage with the private sector on Agenda 2063 programmes and projects.
2. **Location**

The assignment will be conducted in the African Union Commission, with the possibility of field mission to the RECs, specific African Union member states, AfDB, and NEPAD/AUDA. In general the Consultancy firm will be expected to coordinate the assignment from its home base. However due to the need for constant interaction between the AUC and Consultant, the former will make an office space available at the AUC in Addis Ababa; it will be up to the firm to make AUC/ Addis Ababa its coordinating base for the assignment.

1. **Reporting**

The Consultant shall report directly to the Head of Resource Mobilisation who will update the Director - Strategic Policy Planning, Monitoring, Evaluation and Resource Mobilization Directorate (SPPMERM) of the AUC on a regular basis. Furthermore, the consultant is to present progress on its work to the Technical Working Group on the implementation of the Agenda 2063 Financing, Domestic Resource Mobilisation and Partnership Strategy and the African Union Task Force on the operationalisation of the AUC Private Sector Engagement Strategy.

All reports in English shall be submitted in both hard and e-copies.

1. **Firm Qualifications / Experience**
2. Expertise in public finance, banking & finance, capital market development, international development and/or resource mobilization;
3. Expertise in the formulation and/or implementation of socio-economic development programs;
4. Experience in working with international organizations in the areas of international development, international finance, development finance and/or public finance;
5. Practical experience/implication in the execution of major fiscal policy reform programs at national, regional, continental and/or international levels;
6. Practical experience in fiscal policy design, management and related reforms in the context of an international organizations, regional organizations, intergovernmental bodies and government bodies;
7. Practical experience/evidence in the formulation of, resource mobilization strategies at member state, regional, continental and/or international level;
8. Experience in the design or management of international endowment funds, trust funds and other similar funds as well as elaborating related resource mobilization strategies;
9. Experience in working with the Private Sector specifically in the areas of Technology, Agriculture, Education and Infrastructure Development, and Energy.
10. Prior involvement with related international organisations, in particular, the design or implementation of continental and/or regional framework documents similar to Agenda 2063.
11. The firm must have ten (10) years experience in the area of the assignment

Economic / Social Research institutions and Think Tanks in Member States with required qualifications and experience can also apply

1. **Key Expert Composition and Qualification**

The desire of the African Union is to hire a competent firm with key professionals that have ample experience in organizing & managing works of similar nature for the required services. Accordingly the African Union hereby proposes professionals that are deemed sufficient for the required services. To perform the assignment, the following minimum key personnel will be required up to the minimum Man-Month indicated below:-

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Position / Qualification  | No of Key Experts  | Man-Month  |
| Key Expert 1 | Team Leader / Lead Consultant  | 1 | 2 |
| Education Qualification  | At least have a Master’s degree in public finance, banking & finance, capital market development, international development and/or resource mobilization |
| Experience  | At least 10 years professional experienceProfessional experience in public finance, banking & finance, capital market development, international development and/or resource mobilization;Practical experience in the formulation and/or implementation of socio-economic development programs;Practical Experince in working with the Private Sector, providing technical support, drafting and developing policies and guidelines and establishing internal processes. Experience in working with international organizations in the areas of international development, international finance, development finance and/or public finance;Practical experience/evidence in the formulation of, **at least two (2)**, resource mobilization strategies at regional, continental and/or international level;Experience in the design or management of international endowment funds, trust funds and other similar funds as well as elaborating related resource mobilization strategies. |
| Key Experts 2 |  | 2 | 4 each |
| Education Qualification  | Minimum of a Master’s degree in Economics, Statistics, Public Finance and any related field |
| Experience  | Minimum 5 years’ experience Expert 2Professional Experience in Private Sector Engagement specifically in the areas of Technology, Agriculture, Education and Infrastructure Development, and Energy;Practical Experience in drafting and developing policies and guidelinesPractical Experience in establishing internal processes for engaging external stakeholders, in this instance, specifically, Private Sector;Practical Experince in the provision of technical support for external stakeholder engagement, in this instance, Private Sector Engagement. Expert 3Professional experience in public finance, banking & finance, capital market development, international development and/or resource mobilization;Practical experience in the formulation and/or implementation of socio-economic development programs;Experience in working with international organizations in the areas of international development, international finance, development finance and/or public finance;Practical experience/evidence in the formulation of, resource mobilization strategies at regional, continental and/or international level. |
| Language | Language balance – English and French at least will be required; extra for Arabic and Portuguese is desirable |

1. Evaluation and Qualification Criteria

|  |
| --- |
| Technical Proposal Evaluation  points |
| 1 | Specific experience of the Consultant (as a firm) relevant to the Assignment and number of years:  | 10 |
| Adequacy and quality of the proposed methodology, and  work plan in responding to the Terms of Reference (TORs) - |
| 1. | Adequacy of the proposed Technical approach and methodology in responding to the terms of reference | 30 |
| 2. | Draft Work plan in responding to the terms of reference | 10 |
| Key  Experts’ qualifications and competence for the Assignment |
|  | Team leader / Lead Consultant  | 20 |
|  | Key Experts 2 (Each will be evaluated out of 15) | 30 |
|  | **Total**  | **100** |
| **#** | **Assessment Criteria for the Key Experts** | **Points** |
| 1 | General qualifications (general education and Professional Qualification / SAP Certification) and Language  | **30%** |
| 2 | Adequacy for the Assignment (Relevant experience in the similar assignments / No of projects involved) | **70%** |

1. **Clients Inputs**

The following services / resources will be provided by the Client to the Consultant

1. Documents
2. Agenda 2063 Framework Document
3. Agenda 2063 FTYIP
4. Agenda 2063 Domestic Resource Mobilization, Financing and Partnership Strategy
5. Agenda 2063 M&E Framework + Core Indicators Handbook
6. Progress Reports on Implementation of Agenda 2063
7. Preliminary report on Flagship Categorization and Prioritization Study
8. Reports on the FTYIP Consolidation Workshops
9. AUC Resource Mobilisation Strategy
10. AUC Private Sector Engagement Strategy
11. An office space in Addis Ababa including internet connectivity
12. Introduction of consultant to selected Member States, RECs and AU Organs
13. Letters of introduction for visas for Consultant’s staff
14. Organization of validation workshop(s) / meetings
15. Organizing briefing meetings for the consultant team where needed (e.g AUC Chairperson, PRC, Technical and Director SPPMERM)

#### African Union

FORM OF CONTRACT

**[Title of the Assignment]**

**between**

**[Name of the Client]**

and

**[Name of the Consultants]**

Procurement Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Dated: \_\_\_\_\_\_\_\_\_\_\_\_\_

# Contents

Contents 11

1. Form of Contract 13

2. General Conditions of Contract 15

1. General Provisions 15

1.1 Definitions 15

1.2 Law Governing the Contract 16

1.3 Language 16

1.4 Notices 16

1.5 Location 16

1.6 Authorised Representatives 16

1.7 Taxes and Duties 16

2. Commencement, Completion, Modification, and Termination of Contract 17

2.1 Effectiveness of Contract 17

2.2 Commencement of Services 17

2.3 Expiration of Contract 17

2.4 Modification 17

2.5 Force Majeure 17

2.5.1 Definition 17

2.5.2 No Breach of Contract 18

2.5.3 Extension of Time 18

2.5.4 Payments 18

2.6 Termination 18

2.6.1 By the Client 18

2.6.2 By the Consultants 20

2.6.3 Payment upon Termination 20

2.7 Entire Agreement 20

3. Obligations of the Consultants 20

3.1 General 20

3.1.1 Standard of Performance 20

3.2.1 Consultants Not to Benefit from Commissions, Discounts, etc. 21

3.2.2 Compliance with Procurement Rules 21

3.2.3 Consultants and Affiliates Not to be Otherwise Interested in Project 21

3.2.4 Prohibition of Conflicting Activities 21

3.3 Confidentiality 22

3.4 Insurance to be Taken Out by the Consultants 22

3.5 Consultants’ Actions Requiring Client’s Prior Approval 22

3.6 Reporting Obligations 22

3.7 Documents Prepared by the Consultants to Be the Property of the Client 22

4. Consultants’ Personnel 22

4.1 Description of Personnel 22

4.2 Removal and/or Replacement of Personnel 23

5. Obligations of the Client 23

5.1 Assistance and Exemptions 23

5.2 Change in the Applicable Law 24

5.3 Services and Facilities 24

6. Payments to the Consultants 24

6.1 Lump-Sum Remuneration 24

6.2 Contract Price 24

6.3 Payment for Additional Services 24

6.4 Terms and Conditions of Payment 24

6.5 Interest on Delayed Payments 25

7. Settlement of Disputes 25

7.1 Amicable Settlement 25

7.2 Dispute Settlement 25

3. Special Conditions of Contract 27

4. Appendices 31

Appendix A—Description of the Services 31

Appendix B—Reporting Requirements 31

Appendix C—Key Personnel and Subconsultants 31

Appendix D—Breakdown of Contract Price in Foreign Currency 31

Appendix E—Breakdown of Contract Price in Local Currency 32

Appendix F—Services and Facilities Provided by the Client 32

Appendix G—Form of Bank Guarantee for Advance Payments 33

# 1. Form of Contract

**Complex Lump-Sum Payment**

This CONTRACT (hereinafter called the “Contract”) is made the *[day]* day of the month of *[month]*, *[year]*, between, on the one hand, *[name of client]* (hereinafter called the “Client”) and, on the other hand, *[name of consultants]* (hereinafter called the “Consultants”).

[***Note****: If the Consultants consist of more than one entity, the above should be partially amended to read as follows:* “…(hereinafter called the “Client”) and, on the other hand, a joint venture consisting of the following entities, each of which will be jointly and severally liable to the Client for all the Consultants’ obligations under this Contract, namely, *[name of consultants]* and *[name of consultants]* (hereinafter called the “Consultants”).]

WHEREAS

(a) the Client has requested the Consultants to provide certain consulting services as defined in the General Conditions of Contract attached to this Contract (hereinafter called the “Services”);

(b) the Consultants, having represented to the Client that they have the required professional skills, and personnel and technical resources, have agreed to provide the Services on the terms and conditions set forth in this Contract;

(c) the Client has received funding towards the cost of the Services and intends to apply a portion of this funding to eligible payments under this Contract;

NOW THEREFORE the parties hereto hereby agree as follows:

1. The following documents attached hereto shall be deemed to form an integral part of this Contract:

(a) The Special Conditions of Contract;

(b) The General Conditions of Contract;

(c) The following Appendices: [***Note****: If any of these Appendices are not used, the words “Not Used” should be inserted below next to the title of the Appendix and on the sheet attached hereto carrying the title of that Appendix*.]

Appendix A: Description of the Services

Appendix B: Reporting Requirements

Appendix C: Key Personnel and Sub-Consultants

Appendix D: Breakdown of Contract Price in Foreign Currency

Appendix E: Breakdown of Contract Price in Local Currency

Appendix F: Services and Facilities Provided by the Client

Appendix G: Form of Bank Guarantee for Advance Payments

2. The mutual rights and obligations of the Client and the Consultants shall be as set forth in the Contract, in particular:

(a) The Consultants shall carry out the Services in accordance with the provisions of the Contract; and

(b) the Client shall make payments to the Consultants in accordance with the provisions of the Contract.

IN WITNESS WHEREOF, the Parties hereto have caused this Contract to be signed in their respective names as of the day and year first above written.

For and on behalf of *[name of client]*

*[Authorised Representative]*

For and on behalf of *[name of consultants]*

*[Authorised Representative]*

[***Note****: If the Consultants consist of more than one entity, all these entities should appear as signatories, e.g., in the following manner*:]

For and on behalf of each of the Members of the Consultants

*[name of member]*

*[Authorised Representative]*

*[name of member]*

*[Authorised Representative]*

# 2. General Conditions of Contract

## 1. General Provisions

|  |  |
| --- | --- |
| 1.1 Definitions | Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:(a) “Applicable Law” means International Law;(b) “Contract” means the Contract signed by the Parties, to which these General Conditions of Contract (GCC) are attached, together with all the documents listed in Clause 1 of such signed Contract;(c) “Contract Price” means the price to be paid for the performance of the Services, in accordance with GCC Clause 6;(d) “Country specified for performance of the Services” means the Country specified in the SCC;(e) “Effective Date” means the date on which this Contract comes into force and effect pursuant to GCC Clause 2.1;(f) “Foreign Currency” means any currency other than Currency of the Country specified for performance of the Services;(g) “GCC” means these General Conditions of Contract;(h) “Local Currency” means the Currency of the Country specified for performance of the Services;(i) “Member,” in case the Consultants consist of a joint venture of more than one entity, means any of these entities; “Members” means all these entities, and “Member in Charge” means the entity specified in the SCC to act on their behalf in exercising all the Consultants’ rights and obligations towards the Client under this Contract;(j) “Party” means the Client or the Consultants, as the case may be, and “Parties” means both of them;(k) “Personnel” means persons hired by the Consultants or by any Sub-Consultant as employees and assigned to the performance of the Services or any part thereof. “Foreign Personnel” means such persons who at the time of being so hired had their domicile outside the Country specified for the performance of the Services. “Local Personnel” means such persons who at the time of being so hired had their domicile within the Country specified for performance of the Services. “Key Personnel” means the Personnel referred to in GCC Clause 4.2(a).(l) “SCC” means the Special Conditions of Contract by which the GCC may be amended or supplemented;(m) “Services” means the work to be performed by the Consultants pursuant to this Contract, as described in Appendix A hereto; (n) “Sub-Consultant” means any person or entity to whom/which the Consultants subcontract any part of the Services in accordance with the provisions of GCC Clauses 3.5 and 4.(o) “Third Party” means any person or entity other than the Client, the Consultants or a Sub-Consultant. |
| 1.2 Law Governing the Contract | This Contract, its meaning and interpretation, and the relation between the Parties shall be governed by the Applicable Law. |
| 1.3 Language | This Contract has been executed in the language specified in the SCC, which shall be the binding and controlling language for all matters relating to the meaning or interpretation of this Contract. |
| 1.4 Notices | Any notice, request, or consent made pursuant to this Contract shall be in writing and shall be deemed to have been made when delivered in person to an authorised representative of the Party to whom the communication is addressed, or when to such Party at the address specified in the SCC. |
| 1.5 Location | The Services shall be performed at such locations as are specified in Appendix A and, where the location of a particular task is not so specified, at such locations as the Client may approve. |
| 1.6 Authorised Representatives | Any action required or permitted to be taken, and any document required or permitted to be executed, under this Contract by the Client or the Consultants may be taken or executed by the officials specified in the SCC. |
| 1.7 Taxes & Duties |  |
| 1.7.1 African Union Exemption from Taxes & Duties | The African Union and its organs are exempted from all direct taxes, and are exempted from customs duties in respect of articles imported or exported for its official use in conformity with the General Convention on Privileges and Immunities. Accordingly, the Consultant authorises the Commission of the African Union (AUC) to deduct from payments any amount representing such taxes or duties charged to the African Union by the Consultant. In the event that any taxing authority refuses to accept the African Union’s exemption from such taxes or duties, the Consultant shall immediately consult with the AUC.  |
| 1.7.2 Consultant Obligations on Taxes & Duties | A Consultant shall be responsible for obtaining exemption for the African Union of all such taxes, duties, license fees, and other impositions incurred within African Union Member States, unless otherwise agreed in writing by the AUC.Consultants, Sub-Consultants, and their Personnel shall pay such other taxes, duties, fees, and other impositions as may be levied by the law of their domicile country.  |

## 2. Commencement, Completion, Modification, and Termination of Contract

|  |  |
| --- | --- |
| 2.1 Effectiveness of Contract | This Contract shall come into force and effect on the date (the “Effective Date”) of the Client’s Letter of Acceptance instructing the Consultants to begin carrying out the Services. This notice shall confirm that the effectiveness conditions, if any, listed in the SCC have been met. |
| 2.2 Commencement of Services | The Consultants shall begin carrying out the Services thirty (30) days after the date the Contract becomes effective, or at such other date as may be specified in the SCC. |
| 2.3 Expiration of Contract | Unless terminated earlier pursuant to Clause 2.6, this Contract shall terminate at the end of such time period after the Effective Date as is specified in the SCC. |
| 2.4 Modification | Modification of the terms and conditions of this Contract, including any modification of the scope of the Services or of the Contract Price, may only be made by written agreement between the Parties. |
| 2.5 Force Majeure |  |
| 2.5.1 Definition | (a) For the purposes of this Contract, “Force Majeure” means an event which is beyond the reasonable control of a Party and which makes a Party’s performance of its obligations under the Contract impossible or so impractical as to be considered impossible under the circumstances. Force Majeure includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action (except where such strikes, lockouts or other industrial action are within the power of the Party invoking Force Majeure to prevent), confiscation or any other action by government agencies.(b) Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or such Party’s Sub-Consultants or agents or employees, nor (ii) any event which a diligent Party could reasonably have been expected to both: (a) take into account at the time of the conclusion of this Contract; and (b) avoid or overcome in the carrying out of its obligations under this Contract.(c) Force Majeure shall not include insufficiency of funds or failure to make any payment required under the Contract. |
| 2.5.2 No Breach of Contract | The failure of a Party to fulfill any of its obligations under the contract shall not be considered to be a breach of, or default under, this Contract insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event: (a) has taken all reasonable precautions, due care and reasonable alternative measures in order to carry out the terms and conditions of this Contract; and (b) has informed the other Party as soon as possible about the occurrence of such an event. |
| 2.5.3 Extension of Time | Any period within which a Party shall, pursuant to this Contract, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure. |
| 2.5.4 Payments | During the period of their inability to perform the Services as a result of an event of Force Majeure, the Consultants shall be entitled to continue to be paid under the terms of this Contract, as well as to be reimbursed for additional costs reasonably and necessarily incurred by them during such period for the purposes of the Services and in reactivating the Service after the end of such period. |
| 2.6 Termination |  |
| 2.6.1 By the Client | The Client may terminate this Contract, by not less than thirty (30) days’ written notice of termination to the Consultants, to be given after the occurrence of any of the events specified in paragraphs (a) through (d) of this GCC Clause 2.6.1 and sixty (60) days’ in the case of the event referred to in (e):(a) if the Consultants do not remedy a failure in the performance of their obligations under the Contract, within thirty (30) days after being notified or within any further period as the Client may have subsequently approved in writing;(b) if the Consultants become insolvent or bankrupt;(c) if, as the result of Force Majeure, the Consultants are unable to perform a material portion of the Services for a period of not less than sixty (60) days; (d) if the Consultant, in the judgment of the Client has engaged in corrupt, fraudulent, collusive, coercive or obstructive practices in competing for or in executing the Contract. For the purpose of this clause: “corrupt practice”[[6]](#footnote-6) is the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;  “fraudulent practice”[[7]](#footnote-7) is any act or omission including a misrepresentation that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation; “collusive practice”[[8]](#footnote-8) is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party; “coercive practice”[[9]](#footnote-9) 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; “obstructive practice” is deliberately destroying, falsifying, altering or concealing of evidence material to any investigation or making false statements to investigators in order to materially impede any 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; (e) if the Client, in its sole discretion, decides to terminate this Contract. |
| 2.6.2 By the Consultants | The Consultants may terminate this Contract, by not less than thirty (30) days’ written notice to the Client, such notice to be given after the occurrence of any of the events specified in paragraphs (a) and (b) of this GCC Clause 2.6.2:(a) if the Client fails to pay any monies due to the Consultants pursuant to this Contract and not subject to dispute pursuant to GCC Clause 7 within forty-five (45) days after receiving written notice from the Consultants that such payment is overdue; or(b) if, as the result of Force Majeure, the Consultants are unable to perform a material portion of the Services for a period of not less than sixty (60) days. |
| 2.6.3 Payment upon Termination | Upon termination of this Contract pursuant to GCC Clauses 2.6.1 or 2.6.2, the Client shall make the following payments to the Consultants:(a) remuneration pursuant to GCC Clause 6 for Services satisfactorily performed prior to the effective date of termination;(b) except in the case of termination pursuant to paragraphs (a) and (b) of GCC Clause 2.6.1, reimbursement of any reasonable cost incident to the prompt and orderly termination of the Contract, including the cost of the return travel of the Personnel and their eligible dependents. |
| 2.7 Entire Agreement | This Contract contains all covenants, stipulations and provisions agreed by the Parties. No agent or representative of either Party has authority to make, and the Parties shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth within the Contract or written modifications thereto pursuant to GCC Clause 2.4. |

## 3. Obligations of the Consultants

|  |  |
| --- | --- |
| General |  |
| 3.1.1 Standard of Performance | The Consultants shall perform the Services and carry out their obligations with all due diligence, efficiency, and economy, in accordance with generally accepted professional techniques and practices, and shall observe sound management practices, and employ appropriate advanced technology and safe methods. The Consultants shall always act, in respect of any matter relating to this Contract or to the Services, as faithful advisers to the Client, and shall at all times support and safeguard the Client’s legitimate interests in any dealings with Sub-Consultants or Third Parties.  |
| **3.2 Conflict of Interests** |  |
| 3.2.1 Consultants Not to Benefit from Commissions, Discounts, etc. | The remuneration of the Consultants pursuant to GCC Clause 6 shall constitute the Consultants’ sole remuneration in connection with this Contract or the Services, and the Consultants shall not accept for their own benefit any trade commission, discount, or similar payment in connection with activities pursuant to this Contract or to the Services or in the discharge of their obligations under the Contract, and the Consultants shall use their best efforts to ensure that the Personnel, any Sub-Consultants, and agents of either of them similarly shall not receive any such additional remuneration. |
| 3.2.2 Compliance with Procurement Rules | If the Consultants, as part of the Services, have the responsibility of advising the Client on the procurement of goods, works or services, the Consultants shall comply with the African Union procurement regulations and at all times exercise such responsibility in the best interest of the Client. Any discounts or commissions obtained by the Consultants in the exercise of such procurement responsibility shall be for the account of the Client. |
| 3.2.3 Consultants and Affiliates Not to be Otherwise Interested in Project | The Consultants agree that, during the term of this Contract and after its termination, the Consultants and their affiliates, as well as any Sub-Consultant and any of its affiliates, shall be disqualified from providing goods, works, or services (other than the Services and any continuation thereof) for any project resulting from or closely related to the Services. |
| 3.2.4 Prohibition of Conflicting Activities | Neither the Consultants nor their Sub-Consultants nor the Personnel shall engage, either directly or indirectly, in any of the following activities:(a) during the term of this Contract, any business or professional activities in the Country specified for performance of the Services which would conflict with the activities assigned to them under this Contract; or(b) after the termination of this Contract, such other activities as may be specified in the SCC. |
| 3.3 Confidentiality | The Consultants, their Sub-Consultants, and the Personnel of either of them shall not, either during the term or within two (2) years after the expiration of this Contract, disclose any proprietary or confidential information relating to the Project, the Services, this Contract, or the Client’s business or operations without the prior written consent of the Client. |
| 3.4 Insurance to be Taken Out by the Consultants | The Consultants (a) shall take out and maintain, and shall cause any Sub-Consultants to take out and maintain, at their own cost but on terms and conditions approved by the Client, insurance against the risks, and for the coverage, specified in the SCC; and (b) at the Client’s request, shall provide evidence to the Client showing that such insurance has been taken out and maintained and that the current premiums have been paid. |
| 3.5 Consultants’ Actions Requiring Client’s Prior Approval | The Consultants shall obtain the Client’s prior approval in writing before taking any of the following actions:(a) entering into a sub-contract for the performance of any part of the Services,(b) appointing such members of the Personnel not listed by name in Appendix C (“Key Personnel and Sub-Consultants”), and(c) any other action that may be specified in the SCC. |
| 3.6 Reporting Obligations | The Consultants shall submit to the Client the reports and documents and software specified in Appendix B in the form, in the numbers, and within the periods set forth in the said Appendix. |
| 3.7 Documents Prepared by the Consultants to Be the Property of the Client | All plans, drawings, specifications, designs, reports, other documents and software submitted by the Consultants in accordance with Clause 3.6 shall become and remain the property of the Client, and the Consultants shall, not later than upon termination or expiration of this Contract, deliver all such documents and software to the Client, together with a detailed inventory thereof. The Consultants may retain a copy of such documents and software. Restrictions about the future use of these documents, if any, shall be specified in the SCC. |

## 4. Consultants’ Personnel

|  |  |
| --- | --- |
| 4.1 Description of Personnel | The titles, agreed job descriptions, minimum qualifications, and estimated periods of engagement in the carrying out of the Services of the Consultants’ Key Personnel are described in Appendix C. The Key Personnel and Sub-Consultants listed by title as well as by name in Appendix C are hereby approved by the Client. |
| 4.2 Removal and/or Replacement of Personnel | (a) Except as the Client may otherwise agree, no changes shall be made in the Key Personnel. If, for any reason beyond the reasonable control of the Consultants, it becomes necessary to replace any of the Key Personnel, the Consultants shall provide as a replacement a person of equivalent or better qualifications.(b) If the Client finds that any of the Personnel have (i) committed serious misconduct or have been charged with having committed a criminal action, or (ii) has reasonable cause to be dissatisfied with the performance of any of the Personnel, then the Consultants shall, at the Client’s written request specifying the grounds thereof, provide as a replacement a person with qualifications and experience acceptable to the Client.(c) The Consultants shall have no claim for additional costs arising out of or incidental to any removal and/or replacement of Personnel. |

## 5. Obligations of the Client

|  |  |
| --- | --- |
| 5.1 Assistance and Exemptions | Unless otherwise specified in the SCC, the Client shall use its best efforts to ensure that the African Union Commission shall:(a) provide the Consultants, Sub-Consultants and Personnel with work permits and such other documents as shall be necessary to enable the Consultants, Sub-Consultants or Personnel to perform the Services;(b) arrange for the Personnel and, if appropriate, their eligible dependents to be provided promptly with all necessary entry and exit visas, residence permits, exchange permits and any other documents required for their stay in the Country specified for performance of the Services;(c) facilitate prompt clearance through customs of any property required for the Services and of the personal effects of the Personnel and their eligible dependents;(d) issue to officials, agents and representatives of the African Union Commission all such instructions as may be necessary or appropriate for the prompt and effective implementation of the Services;(e) exempt the Consultants and the Personnel and any Sub-Consultants employed by the Consultants for the Services from any requirement to register or obtain any permit to practice their profession or to establish themselves either individually or as a corporate entity according to the Laws of the Country specified for performance of the Services;(f) grant to the Consultants, any Sub-Consultants and their Personnel the privilege, pursuant to the Applicable Law, of bringing into the Country specified for performance of the Services reasonable amounts of foreign currency for the purposes of the Services or for the personal use of the Personnel and their dependents, and of withdrawing any such amounts as may be earned therein by the Personnel in the execution of the Services |
| 5.2 Modification of Contract Sum | If, after the date of this Contract, there is any change with respect to a failure by the Client to gain exemption from taxes and duties which increases the cost of the services rendered by the Consultants, then the remuneration and reimbursable expenses otherwise payable to the Consultants under this Contract shall be increased accordingly by agreement between the Parties, and corresponding adjustments shall be made to the ceiling amounts referred to in GCC Clauses 6.1 and 6.2. |
| 5.3 Services and Facilities | The Client shall make available to the Consultants, free of any charge, the Services and Facilities listed under Appendix F. |

## 6. Payments to the Consultants

|  |  |
| --- | --- |
| 6.1 Lump-Sum Remuneration | The Consultant’s total remuneration shall not exceed the Contract Price and shall be a fixed lump-sum including all staff costs, Sub-Consultants’ costs, printing, communications, travel, accommodation, and the like, and all other costs incurred by the Consultant in carrying out the Services described in Appendix A. Except as provided in GCC Clause 5.2, the Contract Price may only be increased above the amounts stated in GCC Clause 6.2 if the Parties have agreed to additional payments in accordance with GCC Clause 2.4. |
| 6.2 Contract Price | (a) The price payable in foreign currency is set forth in the SCC.(b) The price payable in local currency is set forth in the SCC. |
| 6.3 Payment for Additional Services | For the purpose of determining the remuneration due for additional services as may be agreed under Clause 2.4, a breakdown of the lump-sum price is provided in Appendices D and E. |
| 6.4 Terms and Conditions of Payment | Payments will be made to the account of the Consultants and according to the payment schedule stated in the SCC. Unless otherwise stated in the SCC, the first payment shall be an advance payment made against the provision by the Consultants of a bank guarantee for the same amount, and shall be valid for the period stated in the SCC. Any other payment shall be made after the conditions listed in the SCC for such payment have been met, and the Consultants have submitted an invoice to the Client specifying the amount due. |
| 6.5 Interest on Delayed Payments | If the Client has delayed payments beyond ninety (90) days after receipt by the Client, interest shall be paid to the Consultants for each day of delay at the rate stated in the SCC. |

## 7. Settlement of Disputes

|  |  |
| --- | --- |
| 7.1 Amicable Settlement | The Parties shall use their best efforts to settle amicably all disputes arising out of or in connection with this Contract or its interpretation. |
| 7.2 Dispute Settlement | Any dispute between the Parties as to matters arising pursuant to this Contract that cannot be settled amicably within thirty (30) days after receipt by one Party of the other Party’s request for such amicable settlement may be submitted by either Party for settlement in accordance with the provisions specified in the SCC. |

# 3. Special Conditions of Contract

|  |  |
| --- | --- |
| **Number of GCC Clause**  | **Amendments of, and Supplements to, Clauses in the General Conditions of Contract** |
|  |  |
| **GCC Clause** **1.1 (d)** | The Country specified for performance of the Services is: |
| **GCC Clause 1.3** | The language of the contract is English |
| **GCC Clause 1.4** | The addresses for notices are:Client: Attention: e-mail: Facsimile: Consultants: Attention: e-mail: Facsimile:  |
| **GCC Clause 1.6** | The Authorised Representatives are:For the Client: For the Consultants:  |
| **GCC Clause 1.7** | The Client warrants that the Consultants, the Sub-Consultants and the Personnel shall be exempt from any local taxes, duties, fees, levies and other impositions imposed within the Country specified for performance of the Services on the Consultants, the Sub-Consultants and the Personnel in respect of:(a) any payments whatsoever made to the Consultants, Sub-Consultants and the Personnel (other than nationals or permanent residents of the Country specified for performance of the Services), in connection with the carrying out of the Services;(b) any equipment, materials and supplies brought into the Country specified for performance of the Services by the Consultants or Sub-Consultants for the purpose of carrying out the Services and which, after having been brought into the country, will be subsequently withdrawn therefrom by them;(c) any equipment imported for the purpose of carrying out the Services and paid for out of funds provided by the Client and which is treated as property of the Client;(d) any property brought into the Country specified for performance of the Services by the Consultants, any Sub-Consultants or the Personnel (other than nationals or permanent residents of the Country specified for performance of the Services), or the eligible dependents of such Personnel for their personal use and which will subsequently be withdrawn therefrom by them upon their respective departure from the Country specified for performance of the Services, provided that:(1) the Consultants, Sub-Consultants and Personnel, and their eligible dependents, shall follow the usual customs procedures in importing property into the Country specified for performance of the Services; and(2) if the Consultants, Sub-Consultants or Personnel, or their eligible dependents, do not withdraw but dispose of any property in the Country specified for performance of the Services upon which customs duties and taxes have been exempted, the Consultants, Sub-Consultants or Personnel, as the case may be, shall bear such customs duties and taxes in conformity with the regulations of the Country specified for the performance of the Services.*[The issue of local taxes and duties must be discussed and agreed during negotiation in respect of whether the Consultants should have to pay levies of this kind, or should be exempted from any such levies.]*  |
| **GCC Clause 2.1** | The effectiveness of the Contract is subject to the following conditions:***[****List any conditions of effectiveness of the Contract. If there are no effectiveness conditions, delete this Clause SCC 2.1 from the SCC.]* |
| **GCC Clause 2.3** | The time period for expiration of the Contract shall be *[length of time]* or such other time period as the parties may agree in writing. |
| **GCC Clause 3.4** | The risks and insurance coverage shall be:1. Third Party motor vehicle liability insurance in respect of motor vehicles operated in the Country specified for performance of the Services by the Consultants or their Personnel or any Sub-Consultants or their Personnel, with a minimum coverage of *[amount]*;

(b) Third Party liability insurance, with a minimum coverage of *[amount]*;(c) professional liability insurance, with a minimum coverage of *[amount]*;(d) employer’s liability and workers’ compensation insurance in respect of the Personnel of the Consultants and of any Sub-Consultant, in accordance with the relevant provisions of the Applicable Law, as well as, with respect to such Personnel, any such life, health, accident, travel or other insurance as may be appropriate; and(e) insurance against loss of or damage to (i) equipment purchased in whole or in part with funds provided under this Contract, (ii) the Consultants’ property used in the performance of the Services, and (iii) any documents prepared by the Consultants in the performance of the Services. |
| **GCC Clause 6.2(a)** | The amount in foreign currency or currencies is *[insert amount]*. |
| **GCC Clause 6.2(b)** | The amount in Local Currency is *[insert amount]*. |
| **GCC Clause 6.4** | The bank accounts are:for foreign currency: *[insert account]*for local currency: *[insert account]*Payments shall be made according to the following schedule:***[****Insert the payment schedule and conditions specifically drafted for this contract.]*Payments shall be made within *[number]* days of receipt of the invoice and the relevant documents specified in Clause 6.4 and within *[number]* days in the case of the final payment. |
| **GCC Clause 6.5** | The annual interest rate is *[percentage]*. |
| **GCC Clause 7.2** | Settlement of Disputes:[*Note: (a) should always be retained for a Contract with a foreign Consultnat (b) is an alternative that may be substituted for a Contract with a Consultant who is a National of the Country specified for the performance of the Services:]****[Example Clauses:]******(a) Contract with a foreign Consultnat:***Any dispute, controversy or claim arising out of or relating to this Contract, or breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force.***(b) Contracts with Consultant firm that is national of the Country specified for performance of the Services:***In the case of a dispute between the Client and a Consultant who is a national of the Country specified for performance of the Services, any dispute shall be shall be settled in accordance with arbitration procedures as agreed between the parties during contract negotiations. *[The arbitration procedures that will apply should be agreed during contract negotiations, and only applicable clauses should be retained in the SCC.]* In any arbitration proceeding hereunder:(a) unless otherwise agreed by the Parties, proceedings shall be held in *[location]*;(b) the English language shall be the official language for all purposes, with interpretation to other AU working languages when necessary; and(c) the decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding. |

# 4. Appendices

## Appendix A—Description of the Services

*[Give detailed descriptions of the Services to be provided, dates for completion of various tasks, place of performance for different tasks, specific tasks to be approved by the Client, etc.]*

## Appendix B—Reporting Requirements

*[List format, frequency, and contents of reports; persons to receive them; dates of submission; etc. If no reports are to be submitted, state here “Not applicable.”]*

## Appendix C—Key Personnel and Sub-Consultants

*[List under: C-1 Titles [and names, if already available], detailed job descriptions and minimum qualifications of foreign Personnel to be assigned to work in the Country specified for performance of the Services, and staff-months for each.*

*C-2 Same as C-1 for Key foreign Personnel to be assigned to work outside the Country specified for performance of the Services.*

*C-3 Same information as C-1 for Key local Personnel.]*

*C-4 List of approved Sub-Consultants (if already available); same information with respect to their Personnel as in C-1 or C-2.*

## Appendix D—Breakdown of Contract Price in Foreign Currency

*[List here the elements of cost used to arrive at the breakdown of the lump-sum price—foreign currency portion:*

*1. Monthly rates for Personnel (Key Personnel and other Personnel).*

*2. Reimbursable expenditures.*

*This appendix will exclusively be used for determining remuneration for any additional services.]*

## Appendix E—Breakdown of Contract Price in Local Currency

*[List here the elements of cost used to arrive at the breakdown of the lump-sum price—local currency portion:*

*1. Monthly rates for Personnel (Key Personnel and other Personnel).*

*2. Reimbursable expenditures.*

*This appendix will exclusively be used for determining remuneration for additional services.]*

## Appendix F—Services and Facilities Provided by the Client

*[List Services, facilities, property and counterpart personnel to be made available to the Consultants by the Client.]*

## Appendix G—Form of Bank Guarantee for Advance Payments

***[Note****: See Clause GCC 6.4. The Client should insert here an acceptable form of a bank guarantee. An example is set forth below.]*

TO: *{Name and Address of Client}*

*{Name of Contract for Consultants’ Services}*

Sir / Madam:

In accordance with the provisions of Clause GCC 6.4) of the above-mentioned Contract (hereinafter called “the Contract”), *{name and address of Consultant}*(hereinafter called “the Consultants”) shall deposit with *{name of Client}* a bank guarantee to guarantee their proper and faithful performance under the said provisions of the Contract in an amount of *{amount of Guarantee}*, *{amount of Guarantee in words}*.[[10]](#footnote-10)3

We, the *{bank or financial institution}*, as instructed by the Consultants, agree unconditionally and irrevocably to guarantee as primary obligor and not as Surety merely, the payment to *[name of Client]* on his first demand without whatsoever right of objection on our part and without his first claim to the Consultants, in the amount not exceeding *{amount of Guarantee}*, *{amount of Guarantee in words}*.

We further agree that no change or addition to or other modification of the terms of the Contract which may be made between {*name of Client}* and the Consultants, shall in any way release us from any liability under this guarantee, and we hereby waive notice of any such change, addition or modification.

This guarantee shall remain valid and in full effect from the date of the advance payment under the Contract until *[state conditionality for discharge of the bank guarantee as indicated in GCC Clause 6.4 and the SCC]*.

Yours truly,

Name, Signature and Seal

Name of Bank/Financial Institution

Address

Date

1. *In this context, any action taken by a Consultant, Consultnat, contractor, sub-contractor or consultant to influence the procurement process or contract execution for undue advantage is improper.* [↑](#footnote-ref-1)
2. *“another party” refers to an officer of the AU acting in relation to the procurement process or contract execution. In this context, “officer of the AU” includes staff and employees of other organisations taking or reviewing procurement decisions.* [↑](#footnote-ref-2)
3. *a “party” refers to any officer of the AU; the terms “benefit” and “obligation” relate to the procurement process or contract execution; and the “act or omission” is intended to influence the procurement process or contract execution.* [↑](#footnote-ref-3)
4. *“parties” refers to any participants in the procurement process (including officers of the AU) attempting to establish Proposal prices at artificial, non competitive levels.* [↑](#footnote-ref-4)
5. *a “party” refers to any participant in the procurement process or contract execution.* [↑](#footnote-ref-5)
6. *“another party” refers to an officer of the AU acting in relation to the procurement process or contract execution. In this context, “officer of the AU” includes staff and employees of other organisations taking or reviewing procurement decisions.* [↑](#footnote-ref-6)
7. *a “party” refers to any officer of the AU; the terms “benefit” and “obligation” relate to the procurement process or contract execution; and the “act or omission” is intended to influence the procurement process or contract execution.* [↑](#footnote-ref-7)
8. *“parties” refers to any participants in the procurement process (including officers of the AU) attempting to establish bid prices at artificial, non competitive levels.* [↑](#footnote-ref-8)
9. *a “party” refers to any participant in the procurement process or contract execution.* [↑](#footnote-ref-9)
10. 3 An amount is to be inserted by the bank or financial institution as specified in SCC Clause GCC 6.4. [↑](#footnote-ref-10)