

**German Financial Cooperation with  
the Global Crop Diversity Trust**

**Project:** Capitalisation of the endowment fund of the Global Crop Diversity Trust and strengthening of national seedbanks  
(also referred to as the Seeds for Resilience Project)

**Request for Proposals**

**for**

**Professional Audit Services for strengthening the Global  
Crop Diversity Trust capacity to implement project  
activities in Africa**

**Employer:**

Global Crop Diversity Trust

**8 November 2021**

**BMZ Nr. : 2018 01 141**

## Table of Contents

LETTER OF INVITATION.....	- 4 -
REQUEST FOR PROPOSALS (RFP).....	3
A. PROJECT INFORMATION .....	3
B. TECHNICAL PROPOSAL .....	4
C. FINANCIAL PROPOSAL.....	5
D. SUBMISSION OF PROPOSALS.....	5
E. EVALUATION CRITERIA.....	5
Evaluation of Technical Proposal.....	5
Technical Proposal Evaluation Matrix.....	5
Evaluation of Financial Proposal.....	6
Final Ranking of the Proposal.....	6
F. TERMS OF REFERENCE AND DELIVERABLES .....	6
G. AUDIT AND REPORTING TIMELINES.....	6
H. INDICATIVE BUDGETS FOR THE RESPECTIVE COUNTRIES.....	7
I. DOCUMENTS TO BE INCLUDED IN THE PROPOSAL .....	7
Technical Proposal:.....	7
Financial Proposal:.....	7
PROPOSAL SUBMISSION FORMS .....	8
Form TECH-1.....	9
Form TECH-2.....	12
Form TECH-3.....	13
Form TECH-4.....	14
Form TECH-5 (Indicative Format).....	15
Form TECH-6 (Indicative Format).....	16
Form TECH-6 (Continued).....	17
Financial Proposal - Standard Forms .....	19
Form FIN-1.....	20
Form FIN-2.....	21



## LETTER OF INVITATION

Project ID: BMZ-No. 201867654

*[Location and date]*

To whom it may concern, [\[LONG LIST OF POTENTIAL INVITEES\]](#)

1. The Global Crop Diversity Trust (hereinafter called "Recipient" or the "Crop Trust") has applied for financing from KfW Development Bank ("KfW") in the form of a financial contribution (hereinafter called "grant") toward the cost of the Capitalisation of the Endowment Fund of the Global Crop Diversity Trust. The Global Crop Diversity Trust, acting as the implementing agency of the Recipient and referred to as the "Employer", intends to apply a portion of the proceeds of this grant to eligible payments under the contract for which this Request for Proposals is issued.

Payments by KfW will be made only at the request of the Employer and upon approval by KfW and will be subject, in all respects, to the terms and conditions of the financing agreement. No party other than the Employer shall derive any rights from the financing agreement or have any claims to the proceeds of the grant.

2. The Employer now invites **Proposals** to provide the following consulting services (hereinafter called "Services"): **Professional Auditing services for the Seeds for Resilience project**. More details on the Services are provided in the Terms of Reference (TORs). It is not permissible to transfer this invitation to any other firm.
3. A firm will be selected in accordance with the procedures described in the Global Crop Diversity Trust's Procurement Policies and Procedures Manual, which can be found on the website [https://cdn.croptrust.org/wp/wp-content/uploads/2017/06/ProcurementPolicy\\_vEB10.2016-for-circulation-3-11-16.pdf](https://cdn.croptrust.org/wp/wp-content/uploads/2017/06/ProcurementPolicy_vEB10.2016-for-circulation-3-11-16.pdf).
4. Please inform us by 15 November 2021, by emailing us on: [procurement@croptrust.org](mailto:procurement@croptrust.org) with "**Professional auditing services for the Seeds for Resilience project**" as the title of the email:
  - (a) that you have received this Letter of Invitation; and
  - (b) that you have received the Request for Proposal.
5. Details on the **Proposal's** submission date, time and e-mail address are provided in the RFP.

Yours sincerely,

*[Signature, name, and title of Employer's authorised representative]*

## **REQUEST FOR PROPOSALS (RFP)**

Professional Auditing services for the Capitalisation of the Endowment Fund of the Global Crop Diversity Trust and Strengthening of National Seedbanks project

***Date: 8 November 2021***

To Whom It May Concern:

Dear Sir/Madam,

The Global Crop Diversity Trust (<https://www.croptrust.org/>), also referred to as the Crop Trust, is an international organisation with headquarters in Bonn, Germany, whose mission is to ensure the conservation and availability of crop diversity for food security worldwide.

The Capitalisation of the Endowment Fund of the Global Crop Diversity Trust and Strengthening of National Seedbanks project, also referred to as the Seeds for Resilience Project, aims to empower national seed collections by safeguarding them in perpetuity through an endowment fund, documenting and managing them appropriately for conservation and use, and promoting their use, as a basis for climate adaptation of vulnerable African cropping systems.

The project is supported by the Federal Republic of Germany through KfW Bank and is conducted in Ethiopia, Kenya, Zambia, Ghana and Nigeria.

We would like to invite you to provide your professional services in auditing this project in all these five countries. We are looking for a single firm that can provide the required services in all five countries.

You are kindly requested to send us your Proposal with the Technical and Financial Proposals in separate envelopes.

Below is project information, terms of reference and instructions to prospective bidders.

### **A. PROJECT INFORMATION**

Project Name	The Capitalisation of the Endowment Fund of the Global Crop Diversity Trust and Strengthening of National Seedbanks project
Project Donor	The Federal Republic of Germany through KfW Bank
Project Location	Ethiopia, Kenya, Zambia, Ghana and Nigeria
Project Duration	May 2019 to June 2024
Budgets for the five project partners	Provided in the Terms of Reference
Deadline for Submission of Proposals	30 November 2021 23:59 CET
Name and Address of Employer	The Global Crop Diversity Trust, Platz Der Vereinten Nationen 7, 53113 Bonn, Germany

Language of the Proposal: Proposals and all correspondence and documents relating to the Proposal shall be written in the English language.

Currency: Financial proposals and all supporting calculations must be expressed in EURO.

Period of Validity of Proposals: Proposals shall remain valid for 120 days after the Proposal submission date indicated in the table above.

Amendments to RfP: The Global Crop Diversity Trust may amend the RFP documents or reduce the number of Genebanks to be audited by issuing notices to that effect to all Proposers and may extend the RFP closing date and time if deemed appropriate.

Late Proposals:	Any proposal received by the Global Crop Diversity Trust later than the stipulated RFP closing date and time will be rejected. Further, the Global Crop Diversity Trust will make no allowance for delays in transmission of the Proposal from Bidder to the Global Crop Diversity Trust.
Withdrawals /Changes:	Proposals may be withdrawn or changed at any time before the RFP closing date and time by written notice to the Global Crop Diversity Trust e-mail provided for this RFP. No changes or withdrawals will be accepted after the RFP closing date and time.
Clarifications:	<p>Potential bidders may request clarifications to this Request for Proposals (RfP) and Terms of Reference (TORs). Such requests shall be sent to the Global Crop Diversity Trust via e-mail address: <a href="mailto:procurement@croptrust.org">procurement@croptrust.org</a>, clearly indicating in the e-mail's subject: <b>"REQUEST FOR CLARIFICATION - Professional Auditing services for the Seeds for Resilience project."</b></p> <p>All clarifications shall be replied to no later than seven (7) calendar days before the submission deadline.</p>
Proposal:	The proposal to be submitted shall include but not be limited to the below information.

## **B. TECHNICAL PROPOSAL**

The technical proposal should comprise information that shows that the Bidder, at a minimum, meets the following:

- **Knowledge and experience** in conducting the audit engagements of the projects under International Standards on Auditing ISA 800/805, issued by IAASB.
- **Experience in similar assignments** for government projects funded by the donors (KfW, Sida, EU funds, WB etc.). *Experience with the projects funded by KfW is an added advantage.*
- **Understanding of the audit requirements**, including the broad risks associated with projects of this nature, processes for delivering audit services that address these broad risks, processes that your firm will employ to address client satisfaction, performance measurement and continuous improvement; how you will liaise and work with the Crop Trust and the Project Partners and report your audit findings to us.
- **Understanding the deliverable of the requirements.**
- **Understanding of the national legislation and standards** in the countries to be audited.
- **Approach and Methodology** to be used, emphasising continuity within the project timeframe and the Seeds for Resilience Project's long-term goal.
- **Quality assurance**, including a description of the internal processes used for quality assurance, your firm's approach to resolving accounting and financial reporting issues and initiatives (if any) for improving audit implementation plan.
- **Implementation plan** (starting time and total time needed).
- **Demonstrable capacity and resources** required to carry out the assignment, including (a) a statement summarising the benefits to Crop Trust of selecting your firm. The organisation and structure as it is relevant to this engagement and (b) an outline of **resourcing** in terms of names of your core service team, location and relevant experience and the time the key team members will commit to this appointment and steps to ensure staff continuity across the contract's life.

### C. **FINANCIAL PROPOSAL**

Financial proposals, based on the technical proposal per the requirements and provisions in the request for proposal, must include:

- a Financial Proposal Submission, and
- Cost Summary.

### D. **SUBMISSION OF PROPOSALS**

Proposals must be submitted electronically via e-mail to [procurement@croptrust.org](mailto:procurement@croptrust.org).

The subject heading of the e-mail shall be **[RfP – [Professional Auditing services for the Seeds for Resilience Project] - [Proposer Name]]**.

Electronic copies are to be submitted in PDF and native (e.g. MS Word) format. Proposers may submit multiple e-mails (suitably annotated – e.g. Email 1 of 3) if attached files are deemed too large to suit a single e-mail transmission.

The e-mail shall have two separate files: **one for technical proposal and one for financial proposal** and named as such.

The electronic file shall be in the form of MS Word or MS Excel, or PDF.

Please be aware that bids or proposals will be rejected if received after the deadline for bid submission. As an e-mail may take some time to arrive after it is sent, we advise all bidders to send e-mail submissions well before the deadline if it contains a lot of information.

Deadline for proposal submission: 30 November 2021 23:59 CET. Other important dates are as below:

Tender Publication	8 November 2021
Deadline to submit confirmation letter	15 November 2021
Deadline for request of clarifications	22 November 2021
Deadline to circulate clarifications	23 November 2021
Deadline for the submission of proposals	30 November 2021 23:59 CET
Opening of proposals	1 December 2021 15:00 CET
Assignment commencement	Upon contract award

### E. **EVALUATION CRITERIA**

#### **Evaluation of Technical Proposal**

The Evaluation Panel will start with the Technical Proposals to determine those that pass the minimum prescribed technical score as specified below.

#### **Technical Proposal Evaluation Matrix**

No	Criteria	Max Score
<b>1</b>	<b>Organisation and Methodology</b>	<b>40</b>
	Understanding of the audit requirements as outlined in the two components of the terms of reference	10
	Understanding the expected deliverables as per the two sets of terms of reference	10
	Approach and Methodology to be used illustrating how these will address the objectives of the audits	10
	Implementation plan (starting time and total time needed, inputs by team members)	10
<b>2</b>	<b>Quality of key personnel</b>	<b>50</b>
	The auditors must be chartered or registered public accountants.	5

	Demonstrable capacity and resources required to carry out the assignment, including a) a statement summarising the benefits to Crop Trust for selecting your firm; b) the organisation and structure of the team(s) for this engagement; c) an outline of resourcing in terms of names of your core service team, location and relevant experience and the time the key team members will commit to this appointment and steps to ensure staff continuity across the contract's duration; and d) quality assurance illustration, including a description of the internal processes used for quality assurance, the firm's approach in resolving accounting and financial reporting issues and initiatives (if any) for improving audit implementation plan.	5 10 25 10
<b>3</b>	<b>Qualification of Audit Firm</b>	<b>10</b>
	At a minimum, must: a) be a legal entity with a business license granted by the competent authority; b) have at least eight years experience in the field of audit; c) experience in providing audit services involving public funds with International Auditing Standards (ISA 800/805), ISRS 4400	10
	<b>TOTAL TECHNICAL SCORE</b>	<b>100</b>

Note: The threshold for technical proposals is a minimum score of **70 points out of 100 points**. Technical proposals which do not reach this minimum score will not be considered for financial evaluation.

### Evaluation of Financial Proposal

The financial evaluation shall be based on the lowest price of those bidding firms which submitted responsive Technical Proposals. The formula for determining the financial scores is the following:

$$S_f = 100 \times F_m / F$$

where  $S_f$  is the financial score,  $F_m$  is the lowest price, and  $F$  is the price of the proposal under consideration.

### Final Ranking of the Proposal

The final ranking of the proposals will be based on the quality of technical proposals and the lowest cost. The total score will be calculated as the weighted sum of the technical and financial scores, with the weights given to the technical and financial scores being:

$$70/30 \text{ where the technical proposal} = 70 \text{ and the financial proposal} = 30.$$

Regarding contract negotiations, the Crop Trust reserves the right to invite the next-ranked firm to negotiate if negotiations with the first-ranked firm do not result in a contract. Firms that pass the minimum score but are unsuccessful based on the technical and financial score calculation will be notified after the contract with the winner has become effective.

## F. TERMS OF REFERENCE AND DELIVERABLES

See attachment ["Terms of Reference."](#)

## G. AUDIT AND REPORTING TIMELINES

Task Description	TORs	Zambia (ZARI)	KENYA (GeRRI)	Ethiopia (EBI)	Nigeria (NACGRAB)	Ghana (CSIR)
1 - Initial audit in 2021 in all 5 genebanks	Part A	This activity is to commence as soon as the contract is signed and should be completed by end of February 2022				
2 - Annual Assurance Engagement - Funds disbursed in Tranches to be conducted in	Part B	Report due latest 15 March 2022	Not applicable			

Feb/Mar 2022 for year ended 31 Dec 2021 – Zambia			
3 - Annual Assurance Engagement - Funds disbursed in Tranches to be conducted in Feb/Mar 2023 for year ended 31 Dec 2022 – Zambia	Part B	Report due latest 15 March 2023	Not aplicable
4 - Final Assurance Engagement - Funds disbursed in Tranches to be conducted in on dates to be agreed on in 2024	Part B	Reports due 4 months from project end exact dates to be established.	

**H. INDICATIVE BUDGETS FOR THE RESPECTIVE COUNTRIES**

This information is readily available and will be provided to firms that confirm interest.

**I. DOCUMENTS TO BE INCLUDED IN THE PROPOSAL**

**Technical Proposal:**

- Form TECH-1 - Declaration of Undertaking
- Form TECH-2 - Technical Proposal Submission Form
- Form TECH-3 - Comments and Suggestions on the TORs and Facilities to be Provided by the Employer
- Form TECH-4 - Description of Approach, Methodolgy, and Workplan in Response to the TORs
- Form TECH-5 - (Indicative Format) Work Schedule (Tasks and Activties Bar Chart)
- Form TECH-6 - (Indicative Format) Personnel Schedule

**Financial Proposal:**

- Form FIN-1 - Financial Proposal Submisssion Form
- Form FIN-2 - Financial Proposal Cost Breakdown

**Other forms:**

- Supplier Self-assessment - 2020

**PROPOSAL SUBMISSION FORMS**

## Declaration of Undertaking

Reference name of the Application/Offer/Contract: ("**Contract**")<sup>1</sup>

To: ("**Project Executing Agency**")

1. We recognise and accept that KfW only finances projects of the Project Executing Agency ("PEA")<sup>2</sup> subject to its own conditions set out in the Funding Agreement it has entered into with the PEA. As a matter of consequence, no legal relationship exists between KfW and our company, our Joint Venture or our Subcontractors under the Contract. The PEA retains exclusive responsibility for the preparation and implementation of the Tender Process and the performance of the Contract.
2. We hereby certify that neither we nor any of our board members or legal representatives nor any other member of our Joint Venture, including Subcontractors under the Contract, are in any of the following situations:
  - 2.1) being bankrupt, wound up or ceasing our activities, having our activities administered by courts, having entered into receivership, reorganisation or being in any analogous situation;
  - 2.2) convicted by a final judgement or a final administrative decision or subject to financial sanctions by the United Nations, the European Union or Germany for involvement in a criminal organisation, money laundering, terrorist-related offences, child labour or trafficking in human beings; this criterion of exclusion is also applicable to legal Persons, whose majority of shares are held or factually controlled by natural or legal persons which themselves are subject to such convictions or sanctions;
  - 2.3) having been convicted by a final court decision or a final administrative decision by a court, the European Union, national authorities in the Partner Country or Germany for Sanctionable Practice in connection with a Tender Process or the performance of a Contractor for an irregularity affecting the EU's financial interests (*in the event of such a conviction, the Applicant or Bidder shall attach to this Declaration of Undertaking supporting information showing that this conviction is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction*);
  - 2.4) having been subject, within the past five years to a contract termination fully settled against us for significant or persistent failure to comply with our contractual obligations during such Contract performance, unless this termination was challenged and dispute resolution is still pending or has not confirmed a full settlement against us;
  - 2.5) not having fulfilled applicable fiscal obligations regarding payments of taxes either in the country where we are constituted or the PEA's country;
  - 2.6) being subject to an exclusion decision of the World Bank or any other multilateral development bank and being listed on the website <http://www.worldbank.org/debarr> or respectively on the relevant list of any other multilateral development bank (*in the event of such exclusion, the Applicant or Bidder shall attach to this Declaration of Undertaking supporting information showing that this exclusion is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction*); or
  - 2.7) being guilty of misrepresentation in supplying the information required as condition to participation in this Tender Procedure.

---

<sup>1</sup> Capitalised terms used, but not otherwise defined in this Declaration of Undertaking have the meaning given to such term in KfW's "Guidelines for the Procurement of Consulting Services, Works, Goods, Plant and Non-Consulting Services in Financial Cooperation with Partner Countries".

<sup>2</sup> The PEA means the purchaser, the employer, the client, as the case may be, for the procurement of Consulting Services, Works, Plant, Goods or Non-Consulting Services.

3. We hereby certify that neither we nor any of the members of our Joint Venture or any of our Subcontractors under the Contract are in any of the following situations of conflict of interest:
  - 3.1) being an affiliate controlled by the PEA or a shareholder controlling the PEA, unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;
  - 3.2) having a business or family relationship with a PEA's staff involved in the Tender Process or the supervision of the resulting Contract unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;
  - 3.3) being controlled by or controlling another Applicant or Bidder, or being under common control with another Applicant or Bidder, or receiving from or granting subsidies directly or indirectly to another Applicant or Bidder, having the same legal representative as another Applicant or Bidder, maintaining direct or indirect contacts with another Applicant or Bidder which allows us to have or give access to the information contained in the respective Applications or Offers, influencing them or influencing decisions of the PEA;
  - 3.4) being engaged in a Consulting Services activity, which, by its nature, may be in conflict with the assignments that we would carry out for the PEA;
  - 3.5) in the case of procurement of Works, Plant or Goods:
    - i. having prepared or having been associated with a Person who prepared specifications, drawings, calculations, and other documentation to be used in the Tender Process of this Contract;
    - ii. having been recruited (or being proposed to be recruited) ourselves or any of our affiliates, to carry out works supervision or inspection for this Contract;
4. If we are a state-owned entity, and compete in a Tender Process, we certify that we have legal and financial autonomy and that we operate under commercial laws and regulations.
5. We undertake to bring to the attention of the PEA, which will inform KfW, any change in situation with regard to points 2 to 4 here above.
6. In the context of the Tender Process and performance of the corresponding Contract:
  - 6.1) neither we nor any of the members of our Joint Venture nor any of our Subcontractors under the Contract have engaged or will engage in any Sanctionable Practice during the Tender Process and in the case of being awarded a Contract will engage in any Sanctionable Practice during the performance of the Contract;
  - 6.2) neither we nor any of the members of our Joint Venture or any of our Subcontractors under the Contract shall acquire or supply any equipment nor operate in any sectors under an embargo of the United Nations, the European Union or Germany; and
  - 6.3) we commit ourselves to complying with and ensuring that our Subcontractors and major suppliers under the Contract comply with international environmental and labour standards, consistent with laws and regulations applicable in the country of implementation of the Contract and the fundamental conventions of the International Labour Organisation<sup>3</sup> (ILO) and international environmental treaties. Moreover, we shall implement environmental and social risks mitigation measures when specified in the relevant environmental and social management plans or other similar documents provided by the PEA and, in any case, implement measures to prevent sexual exploitation and abuse and gender-based violence.

---

<sup>3</sup> In case ILO conventions have not been fully ratified or implemented in the Employer's country the Applicant/Bidder/Contractor shall, to the satisfaction of the Employer and KfW, propose and implement appropriate measures in the spirit of the said ILO conventions with respect to a) workers grievances on working conditions and terms of employment, b) child labour, c) forced labour, d) worker's organisations and e) non-discrimination.

7. In the case of being awarded a Contract, we, as well as all members of our Joint Venture partners and Subcontractors under the Contract will, (i) upon request, provide information relating to the Tender Process and the performance of the Contract and (ii) permit the PEA and KfW or an auditor appointed by either of them and in the case of financing by the European Union also to European institutions having competence under European Union law, to inspect the respective accounts, records and documents, to permit on the spot checks and to ensure access to sites and the respective project.
8. In the case of being awarded a Contract, we, as well as all our Joint Venture partners and Subcontractors under the Contract, undertake to preserve above mentioned records and documents in accordance with applicable law, but in any case for at least six years from the date of fulfilment or termination of the Contract. Our financial transactions and financial statements shall be subject to auditing procedures in accordance with applicable law. Furthermore, we accept that our data (including personal data) generated in connection with the preparation and implementation of the Tender Process and the performance of the Contract are stored and processed according to the applicable law by the PEA and KfW.

Name: \_\_\_\_\_ In the capacity of: \_\_\_\_\_

Duly empowered to sign in the name and on behalf of<sup>4</sup>: \_\_\_\_\_

Signature:

Dated:

---

<sup>4</sup> In the case of a JV, insert the name of the JV. The person who will sign the application, bid or proposal on behalf of the Applicant/Bidder shall attach a power of attorney from the Applicant/Bidder.

## TECHNICAL PROPOSAL SUBMISSION FORM

\_\_\_\_\_  
[Location, Date]

\_\_\_\_\_  
To: [Name and address of Employer]

Dear Sirs:

We, the undersigned, offer to provide “**Professional Auditing services for the Capitalisation of the Endowment Fund of the Global Crop Diversity Trust and Strengthening of National Seedbanks project**” per your RFP dated [Insert Date] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal in separate files.

We hereby declare that:

- (a) All the information and statements made in this Proposal are true, and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Employer.
- (b) Our Proposal shall be valid and remain binding upon us for the stipulated 120 days from 1 December 2021, the day of tender opening.
- (c) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

If our Proposal is accepted and the Contract is signed, we undertake to initiate the Services related to the assignment no later than (Date to be determined).

We understand that the Employer is not bound to accept any Proposal that the Employer receives.

We remain,

Yours sincerely,

Authorised Signature [In full and initials]: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

Name of Audit Firm: \_\_\_\_\_

In the capacity of: \_\_\_\_\_

Address: \_\_\_\_\_

Contact information (phone and e-mail): \_\_\_\_\_

**COMMENTS AND SUGGESTIONS ON THE TERMS OF REFERENCE AND  
FACILITIES TO BE PROVIDED BY THE EMPLOYER**

---

*[Form TECH-3: comments and suggestions on the Terms of Reference that could improve the quality/effectiveness of the assignment; and on requirements for facilities, which are provided by the Employer]*

**A - On the Terms of Reference**

*[The Consultant is explicitly encouraged to present a detailed critical analysis and the Consultant's interpretation of the project's objectives and the TOR. This might encompass critical comments and doubts about the suitability, consistency and feasibility of individual aspects and the concept as a whole if any. The Methodology suggested must take constructive account of these.]*

## **DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN IN RESPONDING TO THE TERMS OF REFERENCE**

---

*[Form TECH-4: a description of the approach, Methodology and work plan for performing the assignment, including a detailed description of the proposed Methodology and resourcing. The texts and information should be compiled and presented in a way that is related to the project. Bidders shall refrain from long explanations in the style of a textbook. The presentation of diagrams, tables and graphics is preferred.*

*Suggested structure of the Technical Proposal:*

### **1. Organisation and Methodology**

- a) Understanding of the audit requirements as outlined in the two components of the terms of reference
- b) Understanding the expected deliverables as per the two sets of terms of reference
- c) Approach and Methodology to be used illustrating how these will address the objectives of the audits
- d) Implementation plan (starting time and total time needed, inputs by team members)

### **2. Quality of key personnel**

The auditors must be chartered or registered public accountants.

Demonstrable capacity and resources required to carry out the assignment, including

- a) a statement summarising the benefits to Crop Trust for selecting your firm;
- b) the organisation and structure of the team(s) for this engagement;
- c) an outline of resourcing in terms of names of your core service team, location and relevant experience and the time the key team members will commit to this appointment and steps to ensure staff continuity across the contract's duration; and
- d) quality assurance illustration, including a description of the internal processes used for quality assurance, the firm's approach in resolving accounting and financial reporting issues and initiatives (if any) for improving audit implementation plan.

### **3. Qualification of Audit Firm**

At a minimum, must:

- a) be a legal entity with a business license granted by the competent authority;
- b) have at least eight years experience in the field of audit;
- c) experience in providing audit services involving public funds with International Auditing Standards (ISA 800/805), ISRS 4400

### WORK SCHEDULE (TASKS AND ACTIVITIES BAR CHART)

N°	Tasks <sup>1</sup> (T-..)	Months <sup>2 3</sup>												
		1	2	3	4	5	6	7	8	9	.....	n	TOTAL	
<b>T-1</b>	<i>[e.g., Task #1: Report A</i>													
	<i>1) data collection</i>													
	<i>2) drafting</i>													
	<i>3) inception report</i>													
	<i>4) incorporating comments</i>													
	<i>5) .....</i>													
	<i>6) delivery of the final report to Employer]</i>													
<b>T-2</b>	<i>[e.g., Task #2:.....]</i>													
<b>n</b>														

1. List the tasks with the breakdown for activities, deliverables and other benchmarks such as the Employer’s approvals. For phased assignments, indicate the activities, delivery of reports, and benchmarks separately for each phase.
2. Duration of activities shall be indicated in the form of a bar chart.
3. Include a legend, if necessary, to help read the chart.

**PERSONNEL SCHEDULE (BAR CHART)**

N°	Name	Position		Months <sup>1 2</sup>											Total time-input <sup>3</sup> (in person-months)				
				1	2	3	4	5	6	7	8	9	.....	n	Internat' I	National	Total		
<b>KEY EXPERTS</b>																			
K-1	[e.g., Mr/Mrs. A]	[e.g., Team Leader]	Home Field																
K-2																			
K-3																			
n																			
														<b>Subtotal:</b>					
<b>OTHER EXPERTS</b>																			
E-1			[Home] [Field]																
E-2																			
n																			
														<b>Subtotal:</b>					
														<b>Total:</b>					

- 1 Months are counted from the start of the assignment/mobilisation.
- 2 "Home" means work in the office in the expert's country of residence. "Field" work means work carried out in the Employer's country or any other country outside the expert's country of residence.
- 3 The assignment of international and national staff shall be treated separately.

 Full-time input                      Part-time input

## CURRICULUM VITAE (CV)

<b>Position Title and No.</b>	<i>[e.g., K-1, TEAM LEADER]</i>
<b>Name of Expert:</b>	<i>[Insert full name]</i>
<b>Date of Birth:</b>	<i>[day/month/year]</i>
<b>Country of Citizenship/Residence</b>	

**Education:** *[List college/university or other specialised 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 organisation, titles of posts held, types of activities performed and location of the assignment, and contact information of previous clients and employing organisation (s) who can be contacted for references. Past employment that is not relevant to the assignment does not need to be included.]*

Period	Employing organisation and your title/position. Contact info for references	Country	Summary of activities performed relevant to the Assignment
<i>[e.g., May 2005-present]</i>	<i>[e.g., Ministry of ....., advisor/consultant to...  For references: Tel...../ e-mail.....; Mr/Mrs B, deputy minister]</i>		

**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
<i>[List all deliverables/tasks as in TECH- 6 in which the Expert will be involved)</i>	

**Financial Proposal - Standard Forms**

*[Financial Proposal Standard Forms shall be used for the preparation of the Financial Proposa]*

FIN-1 Financial Proposal - Submission Form

FIN-1 Financial Proposal – Cost Breakdown

FINANCIAL PROPOSAL - SUBMISSION FORM

[Location, Date]

To: [Name and address of Employer]

Dear Sirs:

We, the undersigned, offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and our Technical Proposal.

Our attached Financial Proposal is for Lot Nos 1, 2, 3, 4, 5 [Please specify the Lot(s) quoted for as per the numbering in Form FIN-2] for the amount of [Indicate the corresponding to the amount(s) currency(ies)] [Insert amount(s) in words and figures], [Insert "excluding" as standard or "including"] of all indirect local taxes. The estimated amount of local indirect taxes is [Insert currency] [Insert amount in words and figures], which shall be confirmed or adjusted, if needed, during negotiations. [Please note that all amounts shall be the same as in Form FIN-2].

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to the expiration of the validity period of the Proposal.

Commissions and gratuities paid or to be paid by us to an agent or any third party relating to preparation or submission of this Proposal and Contract execution, paid if we are awarded the Contract, are listed below:

Name and Address of Agents	Amount and Currency	Purpose of Commission or Gratuity
_____	_____	_____
_____	_____	_____

[If no payments are made or promised, add the following statement: "No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Proposal and Contract execution."]

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

We remain,

Yours sincerely,

Authorized Signature [In full and initials]: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

In the capacity of: \_\_\_\_\_

Address: \_\_\_\_\_

E-mail: \_\_\_\_\_

## FINANCIAL PROPOSAL – COST BREAKDOWN

### Model for Financial Proposal – Overall Cost Breakdown

TASK	TORs	Itemization	Lot 1: Zambia (ZARI)	Lot 2: KENYA (GeRRI)	Lot 3: Ethiopia (EBI)	Lot 4: Nigeria (NACGRAB)	Lot 5: Ghana (CSIR)	TOTAL
1 - Initial audit in 2021 in all 5 genebanks	Part A	a) Fees <sup>5</sup>	EURO X	EURO X	EURO X	EURO X	EURO X	EURO XX
		b) Expenses <sup>6</sup>	X	X	X	X	X	XX
		c) Taxes <sup>7</sup>	X	X	X	X	X	XX
		<b>Sub-total</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>XX</b>
2 - Assurance Engagement - Funds disbursed in Tranches to be conducted in Feb/Mar 2022 for year ended 31 Dec 2021 – Zambia	Part B	a) Fees	X	Not applicable				XX
		b) Expenses	X					XX
		c) Taxes	X					XX
		<b>Sub-total</b>	<b>X</b>	<b>XX</b>				
3 - Annual Audit Assurance Engagement - Funds disbursed in Tranches to be conducted in Feb/Mar 2023 for year ended 31 Dec 2022 – Zambia	Part B	a) Fees	X	Not applicable				XX
		b) Expenses	X					XX
		c) Taxes	X					XX
		<b>Sub-total</b>	<b>X</b>	<b>XX</b>				
4 - Final Audit and Assurance Engagement - Funds disbursed in Tranches for all genebanks on dates to be decided in 2024	Part B	a) Fees	X	X	X	X	X	XX
		b) Expenses	X	X	X	X	X	XX
		c) Taxes	X	X	X	X	X	XX
		<b>Sub-total</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>XX</b>
		<b>TOTAL</b>	<b>XX</b>	<b>XX</b>	<b>XX</b>	<b>XX</b>	<b>XX</b>	<b>XX</b>

N.B.: Firms can bid for some or all Lots.

<sup>5</sup> Please provide breakdown of Staff levels, Rates and estimated hours in line with the staff list/ positions provided in the Technical Proposal. This breakdown should be compiled at Task and Location level.

<sup>6</sup> Specify if possible.

<sup>7</sup> Provide the applicable Taxes and rates used.