**REQUEST FOR PROPOSALS**

**RFP No. KN002/2019**

<table>
<thead>
<tr>
<th>Audit consultancy:</th>
<th>Fostering Sustainability and Resilience for Food Security-Regional Project M+A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit Location:</td>
<td>Conservation International, The Watermark Business Park, Ndege Road, Spring Court, 2nd Floor Karen, Nairobi, Kenya</td>
</tr>
<tr>
<td>Application Deadline:</td>
<td>5th July 2019</td>
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<tr>
<td>Expertise Required:</td>
<td>Audit firms with international experience in auditing locally registered INGOS granted to implement public funded projects such GEF, GCF and USAID</td>
</tr>
</tbody>
</table>
| Expected Duration of Assignment: | Work to commence on 15th July 2019  
Draft Management Report to be submitted by 22nd July 2019  
Final Audit report to be submitted on 26th July 2019 CI reserves the right to not make any awards or contracts or modify the timing of deliverables at its sole discretion. |
| Request for Proposals: | This RFP does not oblige CI-AFFD to execute a contract nor does it commit CI-AFFD to pay any costs incurred in the preparation and submission of the proposals. Furthermore, CI-AFFD reserves the right to reject any and all offers, if such action is considered to be in the best interest of CI-AFFD. |
| Grant details Value: | Project duration 26th March 2018 – 31st Dec 2022, Audit period (26th March 2018 – 31st Dec 2018) Project value $1,755,000.00 |
| Submission Email | Proposal submissions to be submitted by 5pm EAT on 5th July 2019 procurementaffd@conservation.org |
| Contact Person for Inquiries (Written inquiries only) | Point of contact: the point of contact for this solicitation is Judy Stanley- jstanley@conservation.org. Last day to receive inquiries relating to the RFP is 5pm 21st June 2019 |
1. CODE OF ETHICS

ETHICS STANDARDS

Conservation International’s reputation derives from our commitment to our core values: Integrity, Respect, Courage, Optimism, and Passion and Teamwork. CI’s Code of Ethics (the “Code”) provides guidance to CI employees, service providers, experts, interns, and volunteers in living CI’s core values, and outlines minimum standards for ethical conduct which all parties must adhere to.

Any violations of the Code of Ethics should be reported to CI via its Ethics Hotline at www.ci.ethicspoint.com.

CI relies on the personal integrity, good judgment and common sense of all third parties acting on behalf, or providing services to the organization, to deal with issues not expressly addressed by the Code or as noted below.

Integrity:
- Act in good faith, responsibly, with due care, competence and diligence and maintain the highest professional standards at all times.
- Comply with all contractual terms as well as all applicable laws, rules and regulations, domestic and international, in every country where Services are carried out.
- Provide true representation of all Services performed.
- Never engage in any of the following acts: falsification of business document or receipts, theft, embezzlement, diversion of funds, bribery, or fraud.

Transparency:
- Avoid conflicts of interest and not allow independent judgment to be compromised.
- Not accept gifts or favors from sub-contractors, suppliers or other 3rd parties that would negatively impact the provision of Services to CI.

Accountability:
- Disclose to CI, at the earliest opportunity, any information you have or become aware of, that may result in a real or perceived conflict of interest or impropriety.
- Implement activities, provide Services, and manage staff and operations in a professionally sound manner, with knowledge and wisdom with the goal of a successful outcome per the terms of this Agreement.

Confidentiality:
- Not disclose confidential or sensitive information obtained during the course of your work with CI.
- Protect confidential relationships between CI and other 3rd parties.

Mutual Respect and Collaboration:
Engage with indigenous peoples and local communities in which CI works in a positive and constructive manner that respects the culture, laws, and practices of those communities, with due regard for the right of free, prior and informed consent.
2. GENERAL BACKGROUND

Conservation International (CI) is a non-profit public charity conservation organization, set up in 1987, with headquarters in Arlington, Virginia. It is one of the largest conservation organizations headquartered in the US, with close to 1,000 employees worldwide. Its vision is to protect nature, and its biodiversity, for the benefit of humanity.

CI Africa Field Division (CI-AfFD), is soliciting proposals from eligible and interested Audit firms to undertake an audit of: Monitoring and assessment of global environmental benefits and agro-ecosystem resilience (the Project) Cross-cutting capacity building, knowledge services and coordination Project for the Food Security Integrated Approach Pilot Programme (the “Project” or “the Hub Project”) at our office in Karen, Nairobi Kenya.

The project is implemented by The International Fund for Agricultural development (the “Fund” or “IFAD” and Conservation International Foundation (“CI” or the Recipient”) each a “Party” and both of them collectively the “Parties”

3. OBJECTIVES

The objective of the Audit is to enable the auditor to express a professional opinion on the financial position of the project based on funds received and expenses reported.

The audit will cover the expenses reported from the **26th March 2018 – 31st Dec 2018** (‘Audit Period’)

The auditor should be given access to all legal documents, correspondence, and any other information associated with the project and deemed necessary by the auditor.

4. SCOPE OF WORK

The audit will be carried out in accordance with International Standards on Auditing as published by the International Auditing and Assurance Standards Board of the International Federation of Accountants, with special reference to ISA 800 (Auditor’s Report on Special Purpose Audit Engagements) and will include such tests and controls, as the auditor considers necessary under the circumstances. The auditor must bear in mind, that for the establishment of the audit opinion, s/he has to carry out a compliance audit and not a normal statutory audit.

The preparation of the annual financial report is the responsibility of the Grantee. The financial information has to be established in accordance with consistently applied Accounting Standards and the underlying grant agreement.

In conducting the audit, special attention should be paid to the following:

a. All the funds have been used in accordance with the conditions of the relevant financing agreement, with due attention to economy and efficiency, and only for the purposes for which the financing was provided.

b. Counterpart funds have been provided and used in accordance with the relevant financing agreements, with due attention to economy and efficiency, and only for the purposes for which they were provided;
c. The payments out of the project funds have been made in accordance with the conditions of the agreement. Where ineligible expenditures are identified, these should be noted separately.

d. Goods and services financed have been procured in accordance with the relevant agreement and the IFAD-GEF Project Agency procurement guidelines;

e. All necessary supporting documents, records, and accounts have been kept in respect of all project ventures including expenditures reported. Clear linkages should exist between the accounting books of the Grantee, the cash requests and reports presented to Conservation International.

f. The project accounts have been prepared in accordance with consistently applied International Accounting Standards and give a true and fair view of the financial situation of the project at (date) and of resources and expenditures for the year ended on that date.

5. REPORTS

The audit report and management letter should be received by CI no later than 26th July 2019. The audit report will include all aspects specified in the preceding paragraph (‘Scope”).

In this/these report the auditor shall also appraise and quantify the consequences of specific deficiencies, if any.

In addition to the audit report, the auditor will prepare a "management letter", in which the auditor will:

(a) give comments and observations on the accounting records, systems, and controls that were examined during the audit (as far as necessary for the understanding of the financial reports);

(b) identify specific deficiencies and areas of weakness in systems and controls that have come to the auditor’s attention, especially with regards to procurement and payment, and make recommendations for their improvement;

(c) report on the degree of compliance of each of the financial covenants on the financing agreement and give comments, if any, on the internal and external matters affecting such compliance;

(d) Report on action taken by the management of the Grantee to make improvements with respect to deficiencies and areas of weakness reported in the past

(e) communicate matters that have come to attention during the audit which might have a significant impact on the implementation of the project; and

(f) bring to the attention of Conservation International any other matters that the auditors consider pertinent.
6. INSTRUCTIONS FOR SUBMISSION OF PROPOSALS

Offerors are required to submit their offers using the following format;

FORM FOR SUBMITTING SERVICE PROVIDER’S PROPOSAL

(This Form must be submitted only using the Service Provider’s Official Letterhead/Stationery)

Location, Date

To:

Dear:

We, the undersigned, hereby offer to render the following services to Conservation International Foundation in conformity with the requirements defined in the RFP dated 4th June 2019, and all of its attachments, as well as the provisions of the CI General Contract Terms and Conditions:

A. Qualifications of the Service Provider

The Service Provider must describe and explain how and why they are the best entity that can deliver the requirements of IFAD by indicating the following:

a. Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations;

b. Business Licenses – Registration Papers, Tax Payment Certification, etc.

c. Latest Audited Financial Statement – income statement and balance sheet to indicate its financial stability, liquidity, credit standing, and market reputation, etc.;

d. Track Record – list of clients for similar services as those required by IFAD, indicating description of contract scope, contract duration, contract value, contact references;

e. Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.

Written Self-Declaration that the company is not in the UN Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.

B. Proposed Methodology for the Completion of Services

The Service Provider must describe how it will address/deliver the demands of the RFP; providing a detailed description of the essential performance characteristics, reporting conditions and quality assurance mechanisms that will be put in place, while demonstrating that the proposed methodology will be appropriate to the local conditions and context of the work.

C. Qualifications of Key Personnel

If required by the RFP, the Service Provider must provide:

a. Names and qualifications of the key personnel that will perform the services indicating who is Team Leader, who are supporting, etc.;

b. CVs demonstrating qualifications must be submitted if required by the RFP; and
c. Written confirmation from each personnel that they are available for the entire duration of the contract.

D. Cost Breakdown per Deliverable*

<table>
<thead>
<tr>
<th>Personnel Designation/Title</th>
<th>No. of Personnel</th>
<th>No. of work days</th>
<th>No. of work days</th>
<th>Daily rate</th>
<th>Total fees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Auditor</td>
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<tr>
<td>Audit Manager</td>
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<td></td>
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<td></td>
</tr>
<tr>
<td>Audit Senior</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audit Junior</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub-totals</td>
<td>xxx days</td>
<td></td>
<td></td>
<td></td>
<td>$yyy</td>
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</tbody>
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Cost-reimbursable items

Proposed

Total fees

7. EVALUATION AND SELECTION CRITERIA

CI will evaluate proposals based on the following criteria:

<table>
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<tr>
<th>Criterion</th>
<th>Points</th>
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<tbody>
<tr>
<td><strong>Qualifications of the Service Provider</strong></td>
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<tr>
<td>• Profile – describing the nature of business, field of expertise, licenses,</td>
<td>10</td>
</tr>
<tr>
<td>certifications, accreditations; and proven record</td>
<td></td>
</tr>
<tr>
<td>• Business Licenses – Registration Papers, Tax Payment Certification, etc.</td>
<td></td>
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<tr>
<td><strong>Proposed Methodology and Approach</strong></td>
<td></td>
</tr>
<tr>
<td>i. Past Experience- Experience in auditing locally registered INGOS granted</td>
<td>25</td>
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<tr>
<td>to implement public funded projects such GEF, GCF and USAID</td>
<td></td>
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<tr>
<td>ii. Audit Team Qualification and Competencies</td>
<td>25</td>
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<tr>
<td>iii. Proposed method and approach and ability to complete the assignment</td>
<td>25</td>
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<tr>
<td>within allocated time</td>
<td></td>
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<tr>
<td><strong>Appropriate budget</strong>, demonstrating appropriate allocation of labour</td>
<td>15</td>
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<tr>
<td>days in relation to tasks and deliverables; appropriate consultant</td>
<td></td>
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<td>daily rates in relation to qualifications; appropriate other direct</td>
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<td>costs in relation to the scope of work; and overall cost effectiveness.</td>
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<tr>
<td>The costing should include all applicable taxes.</td>
<td></td>
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<tr>
<td><strong>Total</strong></td>
<td>100</td>
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