CI-GCF Implementing Agency Procurement Guidelines

Last update: August 12, 2016

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1) SCOPE OF APPLICATION

Programs funded by the Green Climate Fund (GCF) through the CI-GCF Implementing Agency.

2) PURPOSE OF GUIDELINES

The Procurement Guidelines set forth CI’s policies, procedures and standards for those purchases of goods, works and services funded by the GCF through the CI-GCF implementing Agency so that the purchases are carried out in a sound and consistent manner with due consideration of economy and efficiency.

Sound procurement is characterized by the following standards:

- A competitive procurement environment, including both international and local competition as appropriate
- Impartial selection process based strictly on principle of cost and the merits of a bidder's proposal
- Fairness, integrity and transparency
- Purchases made in the best interests of CI and the GCF
- Funds are used for intended purposes
- Quality goods, works and services delivered at the time and place required
- Responsible and reliable suppliers/providers
- Maximum value for all expenditures
- Well-documented selection process

Procurement is the overall process of purchasing goods, works and/or services. This includes all steps from the identification of needs, solicitation and selection of suppliers, award of contract, and contract administration and close out. The guidelines provide guidance on each phase of the procurement process.
3) DEFINITIONS

Throughout this manual, the following terms will be used to refer to the various participants in the procurement process. These terms do not necessarily reflect the individual’s position/title within the organization, but rather his/her role in the overall procurement process. To ensure a fair and impartial process, these functions should be carried out by different individuals to the extent possible (although the buyer and/or purchasing officer may serve as one of several members of the selection panel).

CI-GCF Implementing Agency: CI’s dedicated team named CI-GCF Implementing Agency that works directly with the GCF to oversee the preparation and implementation of GCF-financed projects. The CI-GCF Implementing Agency has oversight of compliance with the Guidelines and will monitor procurement actions by Executing Entities through the review of financial reports, sampling, annual project audits reports and site visits.

Executing Agency: The Executing Agency is the organization responsible for carrying out a CI-GCF Project, including all procurement related to the project.

Buyer: The individual or business unit within the Executing Agency initiating the procurement request for specific goods, works or services, and that will manage the awarded contract on behalf of the Executing Agency.

Purchasing Officer: The Purchasing Officer is the individual within the Executing Agency responsible for conducting the procurement process on behalf of the buyer. He/she reviews the purchase request, coordinates with the Buyer to select an appropriate procurement method based on the size, complexity and appropriate market (local or international) of the procurement and implements the procurement process from the solicitation of quotes/bids through contract award. The responsibilities of this individual are described throughout the manual and summarized in more detail in Annex 1.

Selection Panel: The individuals who evaluate the quotes/proposals received in relation to the stated evaluation criteria included in the solicitation documents. Selection Panel should consist of a minimum of three (3) employees from the Executing Agency.

4) GENERAL CONSIDERATIONS AND PRINCIPLES

4.1 STANDARDS OF CONDUCT

All persons mandated by the Executing Agency to be involved in the procurement process are responsible for protecting the integrity of the process and ensuring that all bidders/vendors/service providers are treated on a fair and impartial basis.

During the life of the project, the Executing Agency staff will abide by CI’s following policies that address standards of conduct:

- CI’s Code of Ethics Policy
- CI’s Anti-Bribery and Anti-Corruption Policy

These policies are public and accessible on CI’s web page at the following link http://www.conservation.org/about/Pages/our-policies.aspx. If, for any reason, partners would face difficulties to access this document, please address a direct request to cigcf@conservation.org for a copy of the document.
The Executing Agency will follow at any time the policies and requirements stated in the grant agreement and for the procurement process will pay attention to the provision under the section 6 of the external grant agreement which focus on:

- Use of funds
- Anti-fraud
- Conflict of interest
- Anti-Bribery and Anti-Corruption

All parties involved in the procurement process will conduct themselves in a manner above suspicion of unethical behavior and avoid conflicts of interest, or even the appearance of conflicts of interest in all supplier relationships.

Any questionable or unethical behavior should be reported through the EthicsPoint Hotline at

4.2 ASSESSMENT OF THE EXECUTING AGENCY PROCUREMENT PROCESS BY THE CI-GCF IMPLEMENTING AGENCY

Prior to awarding a grant, the CI-GCF Implementing Agency uses an assessment tool completed for external partners with a financial questionnaire to evaluate the organizational level of potential Executing Agencies. These tools include the EA’s procurement policy and procedures and provide information to evaluate the Executing Agency’s ability to carry out project procurement consistent with the Guidelines. The GCF Agency may condition funding of goods, works and/or services on the implementation of certain procedures to ensure compliance with procurement requirements.

4.3 MONITORING OF PROCUREMENT PERFORMANCE OF EXECUTING AGENCY

Compliance with the procurement policies and procedures in the Guidelines is monitored through project supervision by the CI-GCF Implementing Agency (quarterly reports, desks review, and supervision field’s visits) and annual project audits. The GCF Agency requires that the Executing Agency submit its procurement plan for review and prior approval, conduct an external annual audit and will require in the Audit Terms of Reference that the auditor determine compliance with procurement policies and procedures. CI reserves the right to request reimbursement for the amount of any contract that has not been awarded in conformity with this manual.

4.4 PRIOR APPROVALS REQUIRED FROM THE CI-GCF IMPLEMENTING AGENCY DURING THE PROCUREMENT PROCESS

Executing Agency shall request PRIOR approval in writing from the CI-GCF Implementing Agency for the following:

- PRIOR to implement the Yearly Procurement Plan
- PRIOR to procure through Limited Competition or sole-sourced procurement for any purchase over $5,000 USD
- PRIOR to contract for any purchase over $5,000 USD

Requests have to be addressed to the CI-GCF Implementing Agency by email at cigcf@conservation.org.
approval for processing to a Limited competition or sole-sourced procurement

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| At the end of the procurement process before contracted with the vendor selected (purchase above $5,000) | Email including the following documents:
  - The RFQ / RFP
  - The quotations / proposals received
  - A table documenting the selection process (where the request has been posted, quotes / proposals matched against criteria and conclusion). A template is proposed in annex 2 |
| Yearly procurement plan | This is included in the annual budget planning package |

### 5) PROCUREMENT PLANNING

As part of the project annual planning activity, a Procurement Plan will be submitted along the annual Project Budget and workplan for review and approval by the CI-GCF Implementing Agency. The template is made available by the CI-GCF Implementing Agency as part of the annual planning package. The Procurement Plan should list any procurement with a unit price equal or over $5,000 and must identify the following for each of them:

- Type of Procurement (goods/services/equipment)
- Description of goods, works or services to be procured
- Procurement/selection method
- Type of competition
- Date needed
- Budgeted Amount

Procurement planning is key to the timely and cost-effective delivery of goods, works and services. The planning phase should start well in advance of the date of expected delivery of the product/service to allow sufficient time to solicit and evaluate bids or proposals and make the contract award. The planning process includes the following elements:

- Identification of goods, works and services required
- Selection of the appropriate procurement method from among those in this manual
- Development of specifications/scope of work with adequate detail including delivery conditions
- Preparation of a budget for items to be procured
- Development of evaluation criteria
- Selection of a method of procurement

Lease vs. Buy Analysis: Where appropriate, particularly for equipment over $5,000, an analysis must be made of lease and purchase alternatives to determine which would be the most economical and practical means of obtaining the required goods.
6) PROCUREMENT PROCESS

6.1 IDENTIFICATION OF GOODS/SERVICES

Once the Project has identified a need for goods, works and/or services, the following information, as applicable, should be provided by the Buyer to the Purchasing Officer:

- A brief statement of nature and purpose of procurement
- Estimated cost and budget line related to this procurement
- A clear and adequate specification or statement of work, including quantity and unit of measure
- Required delivery or performance schedules that are realistic and specific
- Quality requirements and inspection methods
- Packing and transportation requirements
- Supply status and known sources
- Additional elements as necessary (justification for non-competitive procurement, source and origin of product or service, special conditions, etc.)

For the procurement of goods, works and non-consulting services, specifications must list performance requirements or salient characteristics as well as appropriate nomenclature. Specifications cannot include make, model, or brand.

For the procurement of consulting services, a Statement of Work (also called Terms of Reference) should include the following:

- Background information on the program funding the services
- Objective of the services
- Description of tasks/activities
- Required reports/deliverables
- Estimated effort required or an indicative budget
- Period of performance providing time for review and approval of final deliverables
- Minimum and desired qualifications of service providers
- Description of how performance will be monitored and evaluated

Executing Agency should follow its own internal review process, signature authority, and record keeping policies for contracting of consultants.

Once the need for particular goods, works or services has been identified, the Buyer in collaboration with the Purchasing Officer will decide on a method of procurement. Depending on the nature, size, complexity and appropriate market (local or international) for obtaining the required goods, works or services, the sourcing of suppliers and the procurement methods will differ following these present guidelines.

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1 Consulting services are intellectual and advisory in nature; for non-consulting services physical aspects predominate and a measurable output results (e.g. satellite imagery, aerial photography, mapping). The process and documentation for obtaining non-consulting services follow those for the purchase of goods and works with appropriate adaptations.
6.2 SOURCING OF SUPPLIERS

The Purchasing Officer is responsible for conducting and documenting price comparisons for items purchased by the Executing Agency.

Considerations in selecting suppliers:

• Assess technical and business reputation of supplier
• Past performance (previous experience & references)
• Input from Buyer
• Recommendations from external sources
• Internet, trade fairs, catalogues, trade journals, sales literature, phone directories
• Professional associations
• Contract with sales representatives

Solicitation of suppliers should be as broad and practical as possible. All suppliers should be given the same information including that which may be shared in response to inquiries about the solicitation. The preferred method for selection will be based on competition.

**Open Competition** allows all suppliers wishing to bid/offer to be provided with an opportunity to do so if supplier meets requirements.

**Limited Competition** narrows competition to a shortlist of bidders selected in an impartial manner by the Buyer in coordinating with the Purchasing Officer either from rosters, market research, expressions of interest, etc. Limited Competition is appropriate where open competition is unsuitable, an urgent need exists, or the global market has a limited availability of the required goods or services.

Before procuring through Limited Competition, Executing Agency must receive prior approval by the GCF Agency for purchases greater than or equal to USD 5,000.

**Sole sourced procurement (exception to competition)**

On an exceptional basis, it may be necessary to contract directly with a supplier rather than obtain several price quotations or proposals through open or limited competition. Possible justifications for waiving the requirement for competition include:

• Item/service is available from only one source.
• Public exigency or emergency for requirement will not permit delay resulting from competitive solicitation (especially response to disasters).
• Compelling need for continuity.

The rationale for sole source bidding must be documented in writing prior to the beginning the bidding process. Justification should include an explanation of why competitive bidding is not the best option, a defendable explanation, including analysis of costs, that the cost is reasonable and within market rates, a description of the nature of prior services contracted from the supplier of, the urgency of the situation and any other information that supports the selection.
Before sole-sourced procurement, Executing Agency must receive prior approval by the GCF Agency for purchase greater than or equal to USD 5,000.

### 6.3 PROCUREMENT METHOD & DOCUMENTATION

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**International Open Competition**

| greater than $250,000       | **International Competition**  | Above $250 000 Request for Proposal have to be opened to international competition.                     |
|                            |                                 | Write and publish a Request for Proposal (RFP) on the EA website, CI-GCF Agency Webpage, in international newspapers or publications to ensure competition. Executing Agency must receive a minimum of three bids (which must include detailed pricing and a narrative explanation) and document selection Prior to engaging in an agreement or contract with a supplier of goods or services, the full procurement package must be reviewed and receive written approval by GCF Implementing Agency |

All bids/proposals, with a justification of why a specific vendor was chosen, should be filed with the documentation for the actual purchase. Executing Agency must maintain and retain records documenting the procurement process for 3 years after the project implementation grant expiration date.

**Simplified procurement**: generally appropriate for standard off-the-shelf items readily available at competitive prices.

**Request for Quote (RFQ)**: An RFQ generally includes a request for item/service description/specifications, price and other commercial terms and conditions related to the procurement. A minimum of 3 written quotes should be
received from qualified and responsive offers. The selection should be made based on the product/service offering the best value and should be documented.

**Request for Proposal (RFP)** A RFP is recommended for all contracts over $100,000, especially for those products or services with complex requirements. An RFP generally requires the bidder to submit a detailed technical proposal describing how it proposes to meet the stated requirements and a detailed cost estimate. RFPs should be published to allow the widest distribution and maximum competition and should provide the bidders with adequate time to respond (anywhere from two to six weeks). A minimum of 3 responsive bids should be received. Selection should be made to ensure best value by an impartial selection committee based on the evaluation criteria included in the RFP.

**Price Analysis and Cost Analysis**
Price analysis may be accomplished by obtaining verbal quotations by telephone, conducting web searches, comparing catalogue prices, comparing advertised specials, and inviting written bids. The appropriateness of each method depends upon the estimated cost of the purchase and the procurement thresholds provided in this manual. When cost analysis is required, each element of cost must be reviewed and evaluated to determine reasonableness and transparency.

**6.4 PROCUREMENT PROCESS FOR REQUEST FOR QUOTE AND ABOVE**

If the contract value requires a Request for Quote, Request for proposal or international competition (see definition in section 6.3), clear, complete and comprehensive solicitation documents must be developed to obtain responsive offers that can be easily compared and evaluated. The Buyer is responsible for preparing the solicitation in coordination with the Purchasing Officer.

Although the level of detail and complexity will vary, the following information should at a minimum include:

- Solicitation Title, Date of Issuance, Due date/time
- Information on minimum qualifications/eligibility requirements
- Technical Specifications/Scope of Work including deliverables/reporting
- Instructions for completing and submitting a response
- Proposed Contract Type
- General and Special Contract Terms and Conditions
- Fair and non-discriminatory evaluation criteria

The instructions should be written in a clear and concise manner and include all information that will help the bidders prepare bids that are clear, complete and comprehensive. Below is a list of the type of information to include depending on the complexity of the procurement

- **Date and Time of Submission:** The amount of time provided for the preparation and submission of bids varies depending on the nature and complexity of the procurement. Bidders are generally provided anywhere from two to six weeks.
- **A request to acknowledge receipt and inform on whether a proposal will be submitted.** Procedures related to the rejection of offers (late submission, non-responsive submission, missing documentation, etc.)
• For limited local and international bidding, a list of the other firms invited to bid.
• Commencement and or/ completion date of the works or services.
• For consultant services, an indicative level of effort expected for key experts (in person days or weeks) or an indicative budget
• List of documents required for submission
• Language of the Bid
• Validity of the Bid
• Method of submission. If bids are required electronically, specify the email address and any requirements in relation to document format (pdf, excel, word, etc.), size and number of attachments. If hard copy submission, specify number of copies and complete address for submission.
• Any special instructions for presenting the financial proposal (eg. for services, a budget providing line item detail showing unit cost, quantity, total amounts per budget category including personnel, travel, equipment and supplies, etc.)
• Point of contact for the solicitation.
• Information regarding how to ask clarification questions / how to handle modifications to bids/proposals before the due date.
• Details regarding the content/format of the submission including any templates to be used and any page size/font requirements.
• Request for a signed bid/proposal by an authorized representative of the bidder.
• Type of contract envisaged (cost reimbursable, fixed price, etc) and payment currency
• Description of the quotes / bids / proposals evaluation process, the evaluation criteria with any weights, and the minimum qualifying score
• Any conditions on subcontracting (can, cannot, must identify sub-contractor in bid, etc). Reference to any laws that may be relevant, including tax obligations that must be covered by the bid/proposal

It is common for more complex solicitations (Request for Proposal and International competition) to include an opportunity for potential bidders to ask clarification questions related to the solicitation. If the solicitation provides for questions to be submitted in writing, then the cover letter should specify a point of contact and email address, as well as the last date by which questions can be submitted. The due date for questions should provide sufficient time for bidders to receive and review the solicitation documents, as well as sufficient time for the Executing Agency to respond and distribute the answers prior to the closing date of the solicitation. One question and answer document should be distributed to all potential bidders that have submitted questions or expressed interest in the solicitation.

Alternately, the Executing Agency could host a bidders’ conference and respond to questions verbally. Shortly after the conference, the Buyer or Purchasing Officer should put together a question and answer document addressing each question and answer discussed at the conference for distribution to all potential bidders.

6.5 RECEIPT AND EVALUATION

The evaluation criteria and scoring system must be defined and for Request for proposal and above included in the solicitation documents. They should be developed to ensure an impartial and thorough evaluation process.
The general principle behind the evaluation process is the selection of a quote / bid/proposal that provides the best value taking into account technical, organizational and financial considerations of the solicitation document’s stated specifications or criteria. Best value does not necessarily mean the lowest submitted offer, although price will have a preponderant weight when evaluating proposals for goods, works and non-consultant services. Rather, it represents a tradeoff between price and non-price factors (such as product performance, delivery schedule, technical capacity, past performance, etc.) that provides the greatest overall benefit to the Buyer.

Each quote / bid / proposal will be evaluated on a selected set of criteria, based on the nature of the procurement:

- **Goods, Works, Non-consultant services**
  - Conformity to specifications
  - Delivery time (date specified as “no later than…”)
  - Operating costs
  - Availability of post-delivery services or spare parts
  - Past performance
  - Price

- **Consultant services**
  - Experience with similar assignments
  - Timeframe
  - Key personnel
  - Methodology
  - Price
  - Optional: Transfer of knowledge, Inclusion of national experts

The evaluation process should be documented and archived. In annex 2, a template is available to document the selection criteria, the rating of each of the proposal received and the decision.

In case of Request for Proposals and International competition (> $100,000), bids and proposals should be received and filed in the Project Procurement Records. All bids/proposals should be time/date stamped and recorded on a log sheet upon receipt and placed in a secure location, such as a locked cabinet or safe until the evaluation is conducted.

Prior to the evaluation of bids/proposals, an initial review of all submissions should be conducted to ensure they are complete and meet the minimum standards of acceptability. Those bids/proposals deemed unresponsive will not be considered during the evaluation process.

Review of the proposals should be conducted by a selection panel. The panel should include at least one representative from the department that is contracting for the purchase or services, and at least one person from outside the department. External experts can also be included if appropriate. The panel should have no fewer than 3 persons.

The proposals should be evaluated in accordance with the requirements outlined in the RFP. If ranking factors were given, which is recommended, they should be used in this process. Proposals should be reviewed for capacity/ability to provide the services in the required time frame and the proposed costs. The panel should prepare a justification for its selection with a detailed list of the reasons why the selected proposal is considered the best option. The consideration should be based on lowest cost/highest quality approach. All panel members
should sign the justification for the file. If a panel member disagrees, s/he can include a dissenting paragraph in the justification.

The bid/proposal evaluation process from the receipt of bids/proposals through contract award shall be confidential.

6.6 CONTRACT AWARD

Contract Types and Formats
It is important to consider the resultant contract type at the time of developing the solicitation documents, as this may affect the type of information required from the bidder. The solicitation documents should specify the proposed contract type as well as the proposed general and special contract terms. There are several contract types generally suitable to the organization’s procurement needs:

- Purchase Order - commercial document used to request someone to supply goods in return for payment and providing specifications and quantities
- Fixed Price Contract – a contract that provides for a price which normally is not subject to any adjustments unless certain provisions (such as contract change, economic pricing, or defective pricing) are included in the agreement. These contracts are negotiated usually where reasonably definite specifications are available, and costs can be estimated with reasonable accuracy. A fixed price contract places minimum administrative burden on the contracting parties, but subjects the contractor to the maximum risk arising from full responsibility for all cost escalations. Also called firm price contract.
- Cost Reimbursable Contract – a contract under which allowable and reasonable costs incurred by a contractor in the performance of a contract are reimbursed in accordance with the terms of the contract.

After the evaluation has been completed and a bidder has been selected, the Purchasing Officer will notify the successful bidder and enter into negotiations. Contracts shall be awarded within the period of bid/proposal validity. The contract should include as applicable:

- Technical Specifications and statement of work / Agreed Terms of Reference
- Period of Performance
- Quantity of goods and unit price or daily rate for consultant services
- Deliverables and reporting requirements
- Payment Terms
- Name and address of the successful bidder
- General and special terms and conditions
- Termination clause
- Governing law and arbitration clauses

Communicate with Unsuccessful Offers

Once an award is made, the Purchasing Officer should notify the unsuccessful bidders in writing that their bid/proposal was not selected. For highly complex awards, however, Executing Agency may conduct a debriefing
upon request from the unsuccessful bidder. The debriefing could be verbal or in writing and is limited to the identification of strengths and weaknesses in the bidder’s proposal.

In case of Request for Proposals and International competition, it is mandatory to disclose publically the result of the selection process. To promote transparency, contract awards equal to or greater than USD 100,000 should be posted on the EA website and the CI-GCF Implementing Agency Webpage. Executing Agency will provide the following information to the GCF Agency to post notices of contract award:

- Name of the Supplier/Contractor
- Start and End Date
- Contract Amount
- Brief Description

6.7 PROCUREMENT RECORDS

The Purchasing Officer is responsible for preparing and maintaining documents and records in relation to the procurement process and contract administration for a period of three years following the termination or expiration of a project. Such documentation should include the request for quote/proposal, bids received, bid evaluation, contract award recommendations. The following post award documents should also be kept: contract, amendments to the original contract and any material communications related to the implementation of the contract. CI, its representatives, and its assignees, and representatives of the GCF have the right to inspect, review or audit any and all procurement records relating to a CI-GCF Funded project.

7) SPECIFIC INFORMATION ON EQUIPMENT AND PROPERTIES

Title to any equipment and other property purchased with CI-GCF funds will be in the name of Executing Agency until the CI-GCF Agency and the Executing Agency agree at the end of the project on a transfer / permanent disposition plan.

The Executing Agency will provide adequate insurance for motorized vehicles and for all equipment with a unit cost equal to or greater than five thousand U.S. Dollars (US$5,000). The Executing Agency will have to inform CI-GCF Implementing Agency prior to purchasing any such vehicles or equipment if adequate insurance cannot be procured. In addition, the Executing Agency agrees to properly maintain all equipment and other property.

Each Executing Agency must maintain an inventory list of all the equipment, the date of purchase, the cost, and location. In case of disposal, transfer or donation, the date of the event should be mentioned in the inventory list and a certificate for disposal or transfer should be kept. The definition of equipment is any item costing above $250 (unit costs) with a useful life or one year and longer. The inventory listing should be kept up-to-date and will be part of the final package requested at the end of the project along with the disposal / transfer certificates.

8) MINIMUM REQUIREMENTS FOR EXECUTING AGENCY’S GRANTEES PROCUREMENT
The EXECUTING AGENCY’S GRANTEEES shall comply with the CI- GCF Implementing Agency procurement guidelines listed in section 8. The CI- GCF Implementing Agency reserves the right to grant flexibility to this policy depending on the capacity of the EA and will communicate in writing the specific changes to the Executing Agency.

8.1 PROCUREMENT METHODS

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8.2 PROCUREMENT PRIOR APPROVAL BY THE EXECUTING AGENCY AND CI-G AGENCY
EA’s Grantee is authorized to purchase goods and services with a total cost between US$5000 and US$15000 only if (i) the goods or services are clearly identified in the budget annexed to the grant agreement between the two parties or (ii) with the specific, prior, written approval of the Executing Agency. For all purchases of goods and services in excess of US$5000 not set forth in the grant agreement, the Grantee must submit a written request to the Executing Agency, describing the proposed item, its cost, the procurement process and the programmatic justification for such purchase.

EA’s Grantee is authorized to purchase goods and services with a total cost equal to or above US$15000 only with the specific, prior, written approval of the Executing Agency. The Grantee must submit a written request to the Executing Agency, describing the proposed item, its cost, and the programmatic justification for such purchase.

EA’s Grantee is authorized to purchase goods and services with a total cost equal to or above US$50 000 only with the specific, prior, written approval of BOTH the Executing Agency and the CI-GCF Implementing Agency. The CI-GCF Implementing Agency approval will be sought by the Executing Agency. The Grantee must submit a written request to the Executing Agency, describing the proposed item, its cost, and the programmatic justification for such purchase.

8.3 SPECIFIC INFORMATION ON EQUIPMENT AND PROPERTIES

Title to any equipment and other property purchased with Grant funds (including any interest thereon) shall be in the name of Grantee until the Executing Agency provides permanent disposition instructions at the expiration or other termination of the Grant. Grantee agrees to provide adequate insurance for motorized vehicles and for all equipment with a unit cost equal to or greater than five thousand U.S. Dollars (US$5,000) purchased with Grant funds. Grantee shall notify the Executing Agency prior to purchasing any such vehicles or equipment if adequate insurance cannot be procured. In addition, Grantee agrees to properly maintain all equipment and other property purchased with Grant funds.

8.4 FLOW DOWN OF THE PROCUREMENT POLICY

Grantee hereby expressly binds itself to include language substantially reflecting the terms of this provision in all sub-contracts and sub-awards issued under the Agreement between the Executing Agency and its Grantee.
Annex 1: Responsibility of the Purchasing Officer

The individual conducting the procurement shall:

- Review each purchase order/request for proposal/for proper description and technical reference or specifications such as approvals, clearances, etc and all other necessary data to include quality control
- Select a number of qualified suppliers, sufficient for meeting competition criteria.
- Prepare the solicitation, including a detailed scope of work and required deliverables, selection/award criteria and select the contract type.
- Document all negotiations/discussions and phone calls, conduct price analysis and when necessary, obtain cost analysis.
- Assure that budget is not exceeded.
- Evaluate proposals (as part of evaluation team).
- Establish and maintain a follow-up system of tracking deliveries to assure contractor compliance with deliver terms of contract.
- Review invoices/delivery slips/packing lists for correctness against the provision of the subcontract, secure required approvals, and forward to Accounting for payment.
- Establish and maintain a master vendor list.
- Establish and maintain a procurement history file.
- Inform contractors in writing of remedial actions required concerning delivered products/services not confirming to specific requirements.
- Administer/modify/terminate contracts as required.
Annex 2: Grid analysis for quotes / proposals / bids

<table>
<thead>
<tr>
<th>Proposals / Quotations analysis - Purchases &gt; 5 000 USD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description of the bidding process (i.e. in line with the procurement policy)</td>
</tr>
<tr>
<td>Date of final analysis</td>
</tr>
<tr>
<td>If solo-sourcing, explanation</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Quotation 1</th>
<th>Quotation 2</th>
<th>Quotation 3</th>
<th>Quotation X</th>
<th>Quotation Y</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vendor's name</td>
<td>Vendor's name</td>
<td>Vendor's name</td>
<td>Vendor's name</td>
<td>Vendor's name</td>
</tr>
<tr>
<td>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc.)</td>
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<tr>
<td>Description</td>
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<td>Description</td>
</tr>
</tbody>
</table>

**CRITERIA**
(to be customized depending on the type of services / could be designed in an RFP)

<table>
<thead>
<tr>
<th>Quotation 1</th>
<th>Quotation 2</th>
<th>Quotation 3</th>
<th>Quotation X</th>
<th>Quotation Y</th>
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</thead>
<tbody>
<tr>
<td>Comments</td>
<td>Comments</td>
<td>Comments</td>
<td>Comments</td>
<td>Comments</td>
</tr>
</tbody>
</table>

**PRICE**

Example: TIMELINE OF INTERVENTION

Example: CI VENDOR / CONSULTANT ALREADY

Example: PAYMENT CONDITIONS / PROCESS

etc...

**ANY SPECIFIC REMARKS**

<table>
<thead>
<tr>
<th>Quotation 1</th>
<th>Quotation 2</th>
<th>Quotation 3</th>
<th>Quotation X</th>
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</tbody>
</table>

**TOTAL**

**Final decision**

Name, Signature and date Requesting person:

Name, Signature and date Operations / Finance authority:

Name, Signature and date Executing Agency authorized signatory:
Annex 3: Sole source justification Template

SOLE SOURCE JUSTIFICATION

**Purpose:** This form must accompany purchase documentations for the sole source procurement of goods, services or materials when the purchase will exceed $5,000 USD. For purchases less than $5,000, the use of this form is highly recommended. The purpose of this sole source justification is to show that a competitive procurement is impractical because only one product or service can meet the specific need. It is not to be utilized to circumvent normal purchasing procedure, nor for a price-based justification.

CI Contract ID:

Project Title:

Division/Executing Agency requesting the procurement:

Date:

1. **Scope of work/description of service:**

2. Proposed partner/supplier:

3. Detailed explanation/justification for sole source:

4. Efforts of this selection made to identify and consider additional sources for these goods/services/materials or justification for not searching for or developing other sources:

5. Effect of this selection on future acquisition(s) or follow-up work of these goods/services/materials:

6. Cost:

**Requested by:**

Head of Division/Field Program/Executing Agency: (Name, Date, title, signature)

Finance Lead: (Name, Date, title, signature)