

Request for Proposals

Title: Dedicated Grant Mechanism (DGM) Program and Global Learning and Knowledge Exchange Project Financial Audit

RFP No: DGM/001/FY23

Date of Issuance: September 22, 2022

- 1. Background** Conservation International Foundation mission builds upon a strong foundation of science, partnership and field demonstration, CI empowers societies to responsibly and sustainably care for nature, our global biodiversity, for the well-being of humanity. CI's Center for Communities and Conservation which houses the Dedicated Grant Mechanism (DGM) Program and Global Learning and Knowledge Exchange Project subject of this audit, seeks to ensure that CI and the broader conservation community implement a people-centered approach to conservation, honoring our obligations to and partnerships with Indigenous peoples and local communities while safeguarding our planet for future generations.
- 2. Project Overview** The DGM Program and Global Learning and Knowledge Exchange Project focus on organizing and facilitating knowledge exchanges, learning, and capacity building on forests and climate change issues at regional and global levels; promotes the governance and partnerships of the DGM members; and strengthens indigenous people and local communities (IPLC) networks and organizations in global forums.
- 3. Terms of Reference, Deliverables and Deliverables Schedule** (See Attachment 2))
- 4. Submission Details**
 - a. **Deadline.** Proposals must be received no later than **Friday, October 14, 2022, 4:00 pm (EST)**. Late submissions will not be accepted. Proposals must be submitted via email to **vgonzalez@conservation.org**. All proposals are to be submitted following the guidelines listed in this RFP.
 - b. **Validity of bid.** 120 days from the submission deadline
 - c. **Clarifications.** Questions may be submitted to **vgonzalez@conservation.org** by the specified date and time in the timeline below. The subject of the email must contain the RFP number and title of the RFP. CI will respond in writing to submitted clarifications by the date specified in the timeline below. Responses to questions that may be of common interest to all bidders will be posted to the CI website and/or communicated via email.
 - d. **Amendments.** At any time prior to the deadline for submission of proposals, CI may, for any reason, modify the RFP documents by amendment which will be posted to the CI website and/or communicated via email.
- 5. Minimum Requirements**
 - 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 UNDP, indicating description of contract scope, contract duration, contract value, contact references;
- e. Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.

6. Proposal Documents to Include

- a. Signed cover page on bidder’s letterhead with the bidder’s contact information.
- b. Signed Representation of Transparency, Integrity, Environmental and Social Responsibility (Attachment 1)
- c. Technical Proposal.
 - i. Corporate Capabilities, Experience, Past Performance, and 3 client references. Please include descriptions of similar projects or assignments and at least three client references.
 - ii. Qualifications of Key Personnel. Please attach CVs that demonstrate how the team proposed meets the minimum requirements listed in section 5 (Minimum Requirements).
 - iii. Technical Approach, Methodology and Detailed Work Plan. The Technical Proposal should describe in detail how the bidder intends to carry out the requirements described in the Terms of Reference (Attachment 2).
- d. Financial Proposal. Offerors shall use the cost proposal template (Attachment 3).

7. Evaluation Criteria In evaluating proposals, CI will seek the best value for money considering the merits of the technical and costs proposals. Proposals will be evaluated using the following criteria:

| Evaluation Criteria | Score (out of 100) |
|----------------------------|---------------------------|
| Technical proposal | 70% |
| Financial proposal | 30% |

8. Proposal Timeline

| | |
|--|--------------------|
| RFP Issued | September 22, 2022 |
| Clarifications submitted to CI | October 3, 2022 |
| Clarifications provided to known bidders | October 5, 2022 |
| Complete proposals due to CI | October 14, 2022 |
| Final selection | October 24, 2022 |

- 9. Resulting Award** CI anticipates entering into an agreement with the selected bidder by November 1, 2022. Any resulting agreement will be subject to the terms and conditions of CI's Services Agreement. A model form of agreement can be provided upon request.

This RFP does not obligate CI to execute a contract, nor does it commit CI to pay any costs incurred in the preparation or submission of the proposals. Furthermore, CI reserves the right to reject any and all offers, if such action is considered to be in the best interest of CI. CI will, in its sole discretion, select the winning proposal and is not obligated to share individual evaluation results.

- 10. Confidentiality** All proprietary information provided by the bidder shall be treated as confidential and will not be shared with potential or actual applicants during the solicitation process. This includes but is not limited to price quotations, cost proposals and technical proposals. CI may, but is not obliged to, post procurement awards on its public website after the solicitation process has concluded, and the contract has been awarded. CI's evaluation results are confidential and applicant scoring will not be shared among bidders.

- 11. Code of Ethics** All Offerors are expected to exercise the highest standards of conduct in preparing, submitting and if selected, eventually carrying out the specified work in accordance with CI's Code of Ethics [for GCF-funded projects only, add: "[and the Green Climate Fund's Policy on Prohibited Practices](#)"]. Conservation International's reputation derives from our commitment to our values: Integrity, Respect, Courage, Optimism, 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 violation of the Code of Ethics, as well as concerns regarding the integrity of the procurement process and documents should be reported to CI via its Ethics Hotline at www.ci.ethicspoint.com.

12. Attachments:

Attachment 1: Representation of Transparency, Integrity, Environmental and Social Responsibility
Attachment 2: Terms of Reference
Attachment 3: Cost Proposal Template

Attachment 1: Representation of Transparency, Integrity, Environmental and Social Responsibility

RFP No. [XXXXXXX](#)

UEI Number (if applicable): [XXX-XXX-XXX](#)

All Offerors are expected to exercise the highest standards of conduct in preparing, submitting and if selected, eventually carrying out the specified work in accordance with CI's Code of Ethics. CI's Code of Ethics 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.

I. With respect to CI's Code of Ethics, we certify:

- a. We understand and accept that CI, its contractual partners, grantees and other parties with whom we work are expected to commit to the highest standards of Transparency, Fairness, and Integrity in procurement.

II. With respect to social and environmental standards, we certify:

- a. We are committed to high standards of ethics and integrity and compliance with all applicable laws across our operations, including prohibition of actions that facilitate trafficking in persons, child labor, forced labor, sexual abuse, exploitation or harassment. We respect internationally proclaimed human rights and take no action that contributes to the infringement of human rights. We protect those who are most vulnerable to infringements of their rights and the ecosystems that sustain them.
- b. We fully respect and enforce the environmental and social standards recognized by the international community, including the fundamental conventions of International Labour Organization (ILO) and international conventions for the protection of the environment, in line with the laws and regulations applicable to the country where the contract is to be performed.

III. With respect to our eligibility and professional conduct, we certify:

- a. We are not and none of our affiliates [members, employees, contractors, subcontractors, and consultants] are in a state of bankruptcy, liquidation, legal settlement, termination of activity, or guilty of grave professional misconduct as determined by a regulatory body responsible for licensing and/or regulating the offeror's business
- b. We have not and will not engage in criminal or fraudulent acts. By a final judgment, we were not convicted in the last five years for offenses such as fraud or corruption, money laundering or professional misconduct.
- c. We are/were not involved in writing or recommending the terms of reference for this solicitation document.
- d. We have not engaged in any collusion or price fixing with other offerors.
- e. We have not made promises, offers, or grants, directly or indirectly to any CI employees involved in this procurement, or to any government official in relation to the contract to be performed, with the intention of unduly influencing a decision or receiving an improper advantage.
- f. We have taken no action nor will we take any action to limit or restrict access of other companies, organizations or individuals to participate in the competitive bidding process launched by CI.
- g. We have fulfilled our obligations relating to the payment of social security contributions or taxes in accordance with the legal provisions of the country where the contract is to be performed.
- h. We have not provided, and will take all reasonable steps to ensure that we do not and will not knowingly provide, material support or resources to any individual or entity that

commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitate, or participated in terrorist acts, and we are compliant with all applicable Counter-Terrorist Financing and Anti-Money Laundering laws (including USA Patriot Act and U.S. Executive Order 13224).

- i. We certify that neither we nor our directors, officers, key employees or beneficial owners are included in any list of financial or economic sanctions, debarment or suspension adopted by the United States, United Nations, the European Union, the World Bank, or General Services Administration's List of Parties Excluded from Federal Procurement or Non-procurement programs in accordance with E.O.s 12549 and 12689, "Debarment and Suspension". [\[Include additional sanctions lists of the country of a public donor, if required by the donor.\]](#)

Name: _____

Signature: _____

Title: _____

Date: _____

Attachment 2: Terms of Reference (

BINDING TERMS OF REFERENCE (TOR) FOR ENGAGING A PUBLIC AUDITOR/AUDITING FIRM – HEREINAFTER CALLED “THE AUDITOR” FOR THE FINANCIAL AUDIT OF THE PROJECT FINANCED BY THE WORLD BANK

Project title: DGM Program and Global Learning and Knowledge Exchange Project - Phase 2

1. Background

On August 10, 2020 Conservation International (CI) received a grant from the World Bank for the “Dedicated Grant Mechanism (DGM) Program and Global Learning and Knowledge Exchange Project - Phase 2” (the project).

The estimated amount of the grant is USD 2,300,000. The period of performance for the project implementation is April 1, 2020 through June 30, 2023.

The project focus on organizing and facilitating knowledge exchanges, learning, and capacity building on forests and climate change issues at regional and global levels; promotes the governance and partnerships of the DGM members; and strengthens indigenous people and local communities (IPLC) networks and organizations in global forums.

2. Objective

The objective of the audit is to enable the auditor to express an opinion on the Project Financial Statements (PFS) of the project “Dedicated Grant Mechanism for Indigenous Peoples and Local Communities 2” for the year ending June 30, 2022 and whether they are fairly presented, in all material respects, in conformity with consistently applied accounting standards.

The project accounts (books of account) and the Interim Financial Reports (IFRs) provide the basis for preparation of the PFS and are established to reflect the financial transactions in respect of the project, as maintained by the recipient “Conservation International Foundation (CI)”

3. Scope

The audit will be carried out in accordance with the auditing standards generally accepted in the United States of America. These standards require that the audit is conducted to obtain reasonable assurance about whether the financial statement is free from material misstatement, whether due to fraud or error, and will include such tests and controls, as the auditor considers necessary under the circumstances. In conducting the audit, special attention should be paid to the following:

- (a) All World Bank (WB) grant funds have been used in accordance with the financial management and procurement requirements of the World Bank and the provisions of the terms and conditions of the grant agreement, with due attention to economy and efficiency, and only for the purposes for which the financing was provided.

- (b) Counterpart funds, if applicable, have been provided and used in accordance with the grant agreement, with due attention to economy and efficiency, and only for the purposes for which they were provided.
- (c) Goods and services financed by the WB grant funds have been procured in accordance with the financial management and procurement guidelines of the World Bank and the provisions of the grant agreement.
- (d) If the DGM 2 project has provided funds to sub – grantees or other entities for any activities of the project, the audit should also cover such funding.
- (e) All necessary supporting documents, records, and accounts are available for expenditures reported on the IFRs. Clear linkages should exist between the books of account and reports presented to the World Bank.
- (f) Where Separate Bank Account has been used, it has been maintained in accordance with the terms and conditions of the grant agreement.
- (g) The project accounts have been prepared in accordance with consistently applied accounting standards and give a true and fair view of the financial situation of the project as of the year ending June 30, 2022 and of resources and expenditures for the year ended on that date.
- (h) In addition to the audit of the PFS, the auditor is required to audit all IFRs used as the basis for the submission of cash disbursement requests. The auditor should apply such tests and controls, as the auditor considers necessary under the circumstances. These expenditures should be carefully compared for project eligibility with the grant agreement. Where ineligible expenditures are identified as having been included in IFRs, these should be separately noted by the auditor. Annexed to the Project Financial Statements should be a schedule listing individual IFR and cash disbursement requests by specific reference number and amount

4. Project Financial Statements

The Project Financial Statements should include:

- a) a Summary of Sources & Uses of Funds showing the sources funds and the uses of funds by expense category, both for the current fiscal year and accumulated to date; and
- b) a Statement of Uses of Funds by Project Component showing expenditures of the project under each of the main project components, both for the current fiscal year and accumulated to date.

5. Audit Opinion

The primary opinion on the Project Financial Statements shall include a paragraph commenting on whether the financial statement presents fairly and in all material respects, the cash receipts, and expenditures for the project. The financial statements, including the audit report, should be received by the World Bank no later than December 31, 2022. The auditor shall send the final audit report to CI no later than December 15, 2022.

6. Management Letter

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 course of the audit;
- b) identify specific deficiencies and areas of weakness in systems and internal controls and make recommendations for their improvement;
- c) report on the degree of compliance of each of the financial covenants on the grant agreement and give comments, if any, on the internal and external matters affecting such compliance;
- d) communicate matters that have come to attention during the audit which might have a significant impact on the implementation of the project; and
- e) bring to the attention of the Recipient any other matters that the auditors consider pertinent.

7. General

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. Confirmation should also be obtained from the CI of the amounts disbursed and those outstanding.

Attachment 3: Cost Proposal Template

The cost proposal must be all-inclusive of profit, fees or taxes. Additional costs cannot be included after award, and revisions to proposed costs may not be made after submission unless expressly requested by CI should the offerors proposal be accepted. Nevertheless, for the purpose of the proposal, Offerors must provide a detailed budget showing major expense line items. Offers must show unit prices, quantities, and total price. All items, services, etc. must be clearly labeled and included in the total offered price. All cost information must be expressed in [US Dollars](#)

If selected, Offeror shall use its best efforts to minimize the financing of any taxes on goods and services, or the importation, manufacture, procurement or supply thereof. If Offeror is eligible to apply for refunds on taxes paid, Offeror shall do so. Any tax savings should be reflected in the total cost.

Cost Breakdown by Deliverable

| Deliverable | Price (Lump Sum, All Inclusive) |
|--------------------------------------|--|
| Insert deliverable 1 | |
| Insert deliverable 2 | |
| Insert deliverable 3 | |
| Insert deliverable 4 | |
| Insert deliverable 5 | |

Cost Breakdown by Cost Component (example only)

| Description | Unit of measure (day, month etc) | Total period of engagement | Unit cost/rate | Total Cost for the Period |
|---|---|-----------------------------------|-----------------------|----------------------------------|
| Consultant 1 | | | | |
| Consultant 2 | | | | |
| Sub-total Personnel | | | | |
| Travel Costs (if applicable) | | | | |
| Other related Costs (please specify) | | | | |
| Total Cost of Financial Proposal | | | | |