Request for Proposals (RfP)
Assurance Engagement ISAE 3000

The International Union for the Conservation of Nature and Natural Resources,
Integrated Tiger Habitat Conservation Programme,
Global Species & Key Biodiversity Areas Programme

Project: Integrated Tiger Habitat Conservation Programme Asia, Phase II

Issue Date: 30 July 2020
Closing Date and Time: 16 September 2020 23:59

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PART 1 – INSTRUCTIONS TO PROPOSERS AND PROPOSAL CONDITIONS

1.1. About IUCN

IUCN is a membership Union uniquely composed of both government and civil society organisations. It provides public, private and non-governmental organisations with the knowledge and tools that enable human progress, economic development and nature conservation to take place together.

Headquartered in Switzerland, IUCN Secretariat comprises around 950 staff in more than 50 countries.

Created in 1948, IUCN is now the world’s largest and most diverse environmental network, harnessing the knowledge, resources and reach of more than 1,300 Member organisations and some 10,000 experts. It is a leading provider of conservation data, assessments and analysis. Its broad membership enables IUCN to fill the role of incubator and trusted repository of best practices, tools and international standards.

IUCN provides a neutral space in which diverse stakeholders including governments, NGOs, scientists, businesses, local communities, indigenous peoples organisations and others can work together to forge and implement solutions to environmental challenges and achieve sustainable development.

Working with many partners and supporters, IUCN implements a large and diverse portfolio of conservation projects worldwide. Combining the latest science with the traditional knowledge of local communities, these projects work to reverse habitat loss, restore ecosystems and improve people’s well-being.

www.iucn.org
https://twitter.com/IUCN/

1.2. Summary of the Requirement

IUCN invites you to submit a Proposal for the Assurance Engagement ISAE 3000 of the project “Integrated Tiger Habitat Conservation Programme Asia, Phase II” financed by the German Government through KFW and implemented by IUCN 2019 - 2023. The detailed Terms of Reference can be found in Part 2 of this RfP.
1.3. The procurement process
The following key dates apply to this RfP:

<table>
<thead>
<tr>
<th>RfP Issue Date</th>
<th>30 July 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>RfP Closing Date and Time</td>
<td>16 September 2020 23:59</td>
</tr>
<tr>
<td>Estimated Contract Award Date</td>
<td>31 October 2020</td>
</tr>
</tbody>
</table>

1.4. Conditions
IUCN is not bound in any way to enter into any contractual or other arrangement with any Proposer as a result of issuing this RfP. IUCN is under no obligation to accept the lowest priced Proposal or any Proposal. IUCN reserves the right to terminate the procurement process at any time prior to contract award. By participating in this RfP, Proposers accept the conditions set out in this RfP.

Proposers must sign the “Proposer’s Declaration” and include it in their Proposal.

1.5. Queries and questions during the RfP period
Proposers are to direct any queries and questions regarding the RfP to the above IUCN Contact. No other IUCN personnel are to be contacted in relation to this RfP.

Proposers may submit their queries no later than 4 September 2020.

As far as possible, IUCN will issue the responses to any questions, suitably anonymised, to all Proposers. If you consider the content of you question confidential, you must state this at the time the question is posed.

1.6. Amendments to RfP documents
IUCN may amend the RfP documents by issuing notices to that effect to all Proposers and may extend the RfP closing date and time if deemed appropriate.

1.7. Proposal lodgement methods and requirements
Proposers must submit their Proposal to IUCN no later than 23:59 on 16 September by email to: anna.rosenberg@iucn.org. The subject heading of the email shall be [RfP – ASSURANCE ENGAGEMENT ISAE 3000 ITCHP Phase II] - [Proposer Name]. Electronic copies are to be submitted in PDF and native (e.g. MS Word) format. Proposers may submit multiple emails (suitably annotated – e.g. Email 1 of 3) if attached files are deemed too large to suit a single email transmission.

IMPORTANT: Submitted documents must be password-protected so that they cannot be opened and read before the submission deadline. Please use the same password for all submitted documents. After the deadline has passed and no later than [9 a.m.] on 17 September 2020, please send the relevant password to the same email address as used for submitting your Proposal. This will ensure a secure bid submission and opening process. Please DO NOT email the password before the deadline for Proposal submission.

Proposals must be prepared in English and in the format stated in Part 3 of this RfP.

1.8. Late and Incomplete Proposals
Any Proposal received by IUCN later than the stipulated RfP closing date and time, and any Proposal that is incomplete, will not be considered. There will be no allowance made by IUCN for any delays in transmission of the Proposal from Proposer to IUCN.
1.9. **Withdrawals and Changes to the Proposal**

Proposals may be withdrawn or changed at any time prior to the RfP closing date and time by written notice to the IUCN contact. No changes or withdrawals will be accepted after the RfP closing date and time.

1.10. **Validity of Proposals**

Proposals submitted in response to this RfP are to remain valid for a period of 90 calendar days from the RfP closing date.

1.11. **Evaluation of Proposals**

The evaluation of Proposals shall be carried out exclusively with regards to the evaluation criteria and their relative weights specified in part 3 of this RfP.
PART 2 – THE REQUIREMENT

The ITHCP programme was set up in 2014, funded by the German Government through KFW and implemented by IUCN. This project is its second phase, based on the success of phase I. The second phase runs from 2019 until 2023. The programme is aligned with the objectives of the Global Tiger Recovery Programme and its objectives are a subset of those, with a focus on improving three main areas:

• The protection of tigers through anti-poaching, and monitoring of tigers and prey;
• The management of protected areas, corridors and buffer zones;
• The livelihoods of communities living in and around tiger habitats to reduce poaching, over-exploitation of forest resources and human wildlife conflicts.

The ITHCP Phase II has grant-making as its main purpose.

The programme consists of two components: (1) the project management component implemented by IUCN HQ and its regional offices, “ITHCP Secretariat” and (2) projects carried out by implementing partners (grantees) in Asia. The scope of this RfP covers both components and cannot be split into workpackages.

The total value of the contract ICHP Phase II is EURO 7,500,000.

The amount indicatively earmarked for grants to implementing partners is EURO 5,360,000.

5 grants in the amount from EURO 800,000 to EURO 1,200,000 are planned to be awarded in the course of the project.

The duration of each grant will be from 2 to 3 years from late 2020 to 2023 with possible extensions.

Grants beneficiaries are consortia of big international NGOs and public sector entities working closely with local NGOs and communities.

In accordance with the requirements of the Financing Agreement with KfW an assurance engagement ISAE 3000 is to be performed according to the following schedule:

ITHCP Secretariat in Switzerland shall be audited every year (2020, 2021, 2022 & 2023). ITHCP audits will be based on calendar year periods. In order to avoid the time lag between field audits and their inclusion into ITHCP consolidated audit, the field audits will not be based on calendar year periods. It was decided that they will follow a July-June period, so that IUCN has the time to include it in the books before years close (end February). The audit will therefore be aligned with grantees reporting period (2 reports per year, January-June & July to December).

Projects worth one million EUR or lower are to be audited every two years. It is foreseen that this will be the case for 3 projects. Given the lifespan of the programme these should therefore be audited twice:

• 1 (transboundary India-Bangladesh) project whose records are kept in Dhaka, Bangladesh and in New Delhi, India.
• 1 project whose records are kept in Chiang Mai, Thailand.
• 1 project whose records are kept in Cambridge, UK and in Yangon, Myanmar

Projects over one million EUR are to be audited every year. It is foreseen that this will be the case for 2 projects. Given the lifespan of the programme these should therefore be audited three times (2021, 2022 & 2023):

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1 By necessity the audit of the IUCN HQ component for 2019 and 2020 has already been done and is therefore excluded from this tender.
• 1 (transboundary India-Nepal) project whose records are kept in Kathmandu, Nepal (preferred, but records can be made available in London, UK instead.

• 1 (transboundary India-Nepal) project whose records are kept in Kathmandu Nepal, as well as field offices in Nepal and in New Delhi, India.

The scope covers both the main project (the Disposition Fund) and all sub-projects (sub-accounts).

The detailed Terms of Reference for the assurance engagement are attached in Annex I.

For audits of sub-projects the implementing partners have been instructed to include a sufficient provision in their project proposals budgets.

Requirements:

1. Knowledge and experience of conducting assurance engagements ISAE 3000 according to the provided ToRs.

2. Experience of similar assignments for projects funded by KfW.

3. Experience of working with the type of grantees described above.

4. Experience of working with organizations based in Asia.

5. Knowledge and experience of auditing small NGOs and public sector organisations is added advantage.

6. Adequate capacity and resources (presence) required to carry out the assignment in Asia.
PART 3 – THE EVALUATION MODEL

3.1. Technical proposal evaluation:

1. Acceptance of the ToRs and other requirements in Part 2 mandatory
2. Experience with ISAE 3000 and attached ToRs 20
3. Experience of working with the kinds of grantees likely to be awarded grants 10
4. Experience with similar assignments for projects funded by KfW 20
5. Experience of work in the locations covered by the programme 15.
6. Experience of auditing grant-making facilities 15
7. Ability to overcome specific issues with ISAE 3000 and issues potentially related to the attached ToRs 10
8. Available resources and capacity 10

Each criterion will be scored out of 5 (where 1 – Poor, 2 – Fair, 3 – Good, 4 – Very good, 5 – Outstanding). Any proposals scoring 1 in any Criterion will not be considered further.

Technical proposals meeting the Quality Threshold will have their technical scores normalised by dividing their score by the highest-scoring technical proposal, and converting this value into a percentage to give the Normalised Technical Score. Thus:

- highest technical score = X%
- bid A’s technical score = Y%
- bid A’s normalised technical score = (Y / X) * 100%

3.2. Financial evaluation

The financial evaluation will be based upon the full fixed and firm price submitted in the Proposal. The dividing the lowest bid price value by that bid’s price value, and this value turned into a percentage (Financial Score). Thus:

- lowest bid value = EUR X
- bid A’s value = EUR Y
- bid A’s normalised financial score = (X / Y) * 100%

The total estimated maximum costs for main project and sub-projects audits will be calculated and compared.

3.3. Total Score

The Normalised Technical Score will be multiplied by the Technical Weighting Factor (70%), the Financial Score multiplied by the Financial Weighting Factor (30%) and the two weighted scores added together to provide a Total Score for each bid excluding those that do not meet the Quality Threshold.

The contract will be awarded to the Proposal which has obtained the highest Total Score subject to the Proposal Conditions in Part 1.
PART 4 – INFORMATION TO BE PROVIDED BY PROPOSERS

By participating in this RfP, Proposers are indicating their acceptance to be bound by the conditions set out in this RfP.

This Part details all the information Proposers are required to provide to IUCN. Submitted information will be used in the evaluation of Proposals. Proposers are discouraged from sending additional information, such as sales brochures, that are not specifically requested.

Each of the following must be submitted as a separate document, and will be evaluated separately.

4.1. Declaration

Please read and sign the Declaration and include this in your proposal.

4.2. Technical information/Service Proposal

Please provide separate responses to each of the following:

4.2.1. Up to three relevant examples of your experience with the ISAE 3000, attached ToRs, and of performing similar assignment for KfW;
4.2.2. Up to three relevant example of working with the kinds of grantees that are likely to be awarded grants under this programme;
4.2.3. One relevant example demonstrating experience of work in the specific locations;
4.2.4. One relevant example of auditing grant-making facilities;
4.2.5. The resources you will make available for the assignment.
4.2.6. Highlight any specific issues encountered with ISAE 3000 in the past and the ways of overcoming these. Describe any potential issues with the attached ToRs.

4.3. Pricing information

Prices include all costs

Submitted rates and prices are deemed to include all costs, insurances, taxes, fees, expenses, liabilities, obligations, risk and other things necessary for the performance of the Requirement. Any charge not stated in the Proposal as being additional, will not be allowed as a charge against any transaction under any resultant Contract.

Applicable Goods and Services Taxes

Proposal rates and prices shall be exclusive of Value Added Tax.

Currency of proposed rates and prices

Unless otherwise indicated, all rates and prices submitted by Proposers shall be in EURO.

Rates and Prices

Your financial Proposal should state your daily rates for relevant positions or staff members. The charge for each individual engagement will be negotiated on the basis of these daily rates and an estimate of how long each assignment will take to complete, subject to the agreed maximum fees per assignment.

Your financial Proposal should state a maximum fee for the main project (Disposition Fund) assurance engagement. Your financial Proposal should also state your maximum fee for an assurance engagement of a grant (sub-account) for each of the locations.

Your proposal should also include a maximum fee for assurance engagement of a grant where the lead organisation is based in Europe.
The costs of travel and per diems, if necessary, have to be stated in the financial proposal.

Where your maximum fee is the same for more than one location, it is permissible to state the fee for a group of locations as long as it is clearly indicated which locations this fee applies to.
PART 5 – DEFINITIONS
For the purposes of this Request for Proposal (RfP) the following definitions apply:

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Contract</td>
<td>Means any contract or other legal commitment that results from this RfP.</td>
</tr>
<tr>
<td>Contractor</td>
<td>Means the entity that forms a Contract with IUCN for provision of the RfP.</td>
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<tr>
<td>Instructions</td>
<td>Means the instructions and conditions set out in Part 1 of this RfP.</td>
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<tr>
<td>IUCN</td>
<td>Means IUCN, International Union for Conservation of Nature and Natural Resources.</td>
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<tr>
<td>IUCN Contact</td>
<td>Means the person IUCN has nominated to be used exclusively for contact regarding this RfP.</td>
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<tr>
<td>Proposal</td>
<td>Means a written offer submitted in response to this RfP.</td>
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<tr>
<td>Proposer</td>
<td>Means an entity that submits, or is invited to submit, a Proposal in response to this RfP.</td>
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<tr>
<td>Requirement</td>
<td>Means the supply to be made by the Contractor to IUCN in accordance with Part 2 of the RfP.</td>
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<tr>
<td>RfP</td>
<td>Request for Proposals</td>
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