



Centre for Coordination of Agricultural Research & Development for Southern Africa

Centre De Coordination De La Recherche Et Du Développement Agricole De L'Afrique Australe

Do Centro De Coordenação Da Investigação E Desenvolvimento Agrário Da África Austral

CCARDESA

PROCUREMENT MANUAL

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ACRONYMS & ABBREVIATIONS

CIDA	Canadian International Development Agency
CCARDESA	Centre for Coordination of Agricultural Research & Development for Southern Africa
DfID	Department for International Development of the UK
dgMarket	Development Gateway Market
EC	European Commission
EOI	Expressions of Interest
FANR	Food, Agriculture and Natural Resources
ICS	Individual Consultant Selection
ITC	Information to Consultants
ICB	International Competitive Bidding
IDA	International Development Agency
LCS	Least Cost Selection
LOI	Letter of Invitation
LIB	Limited International Bidding
MDTF	Multi-Donor Trust Fund
NCB	National Competitive Bidding
QCBS	Quality and Cost Based Selection
QBS	Quality Based Selection
RFP	Request for Proposals
RFQ	Request for Quotation
R&D	Research and Development
CQS	Selection Based on Consultant's Qualifications
FBS	Selection under Fixed Budget
SSS	Single-Source Selection
SACCAR	Southern African Centre for Cooperation in Agricultural Research
SADC	Southern African Development Community
SBDs	Standard Bidding Documents
SRO	Sub-regional Organisation
TOR	Terms of Reference
UN	United Nations
UNDB	United Nations Development Business
USD	United States Dollars
WB	World Bank

CHAPTER ONE

1. INTRODUCTION

This Procurement Manual provides guidance to the Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA) Secretariat members of staff, CCARDESA sub-grantees and ultimately the CCARDESA's Board of Directors in the conduct of their roles, responsibilities and duties regarding procurement under CCARDESA. It is also a reference document for all CCARDESA stakeholders who wish to know the procurement policy and procedures governing procurement of goods, works and services under CCARDESA. It assures development partners that CCARDESA observes internationally accepted best practice principles of transparency and competitiveness in allocating their resources.

This Procurement Manual augments both CCARDESA's Charter and Governance Manual by providing more details on all matters related to procurement. The Manual is intended to guarantee that the achievements and successes of CCARDESA are maintained and improved upon by harmonizing procurement under CCARDESA with the procedures and guidelines of international financing agencies.

1.1 Purpose of the Procurement Manual

By and large, the purpose of this Procurement Manual is to provide guidance and information to members of staff of CCARDESA, CCARDESA sub-grantees and other stakeholders, for the management of procurement under all the programme components of CCARDESA. This includes all operational and administrative expenditures to ensure that there is effective and efficient use of resources procured using funds provided through the Multi-Donor Trust Fund (MDTF) by multilateral and bilateral funding agencies; any of the governments of the member states of the Southern African Development Community (SADC) or any other sources.

In particular, the Manual is meant to give advice and assistance to procurement staff to help them carry out their procurement responsibilities and to help them advise sub-grantees on how to handle their own responsibilities when carrying out procurement under the auspices of CCARDESA. The abbreviation CCARDESA wherever it has been used hereinafter in this Manual shall also refer to the sub-grantees in relation to procurement.

This Manual explains in more detail how specific aspects of procurement should be handled consistent with the CCARDESA Governance Manual, other associated CCARDESA manuals, the WB guidelines on procurement and selection of consultants and international best practice in procurement. The Manual is therefore a source of the "how-to" information about the tasks and elements that comprise procurement processes under CCARDESA. It details the standards and step-by-step procedures to be followed in the procurement of goods, works and services under CCARDESA. These standards and procedures are designed to:

- (i) guide the procurement processes;
- (ii) provide uniform procedures for the procurement of goods, works and services;
- (iii) ensure transparency and accountability in all procurement operations;
- (iv) improve the efficiency and effectiveness of procurement operations; and

- (v) promote the consistent application of best international procurement practices.

These procedures and practices are applicable to the procurement of all goods, works and services financed in whole or in part from funds allocated to CCARDESA, whether the funds are drawn from the MDTF, directly from any of the governments of SADC member states, or any other source.

This Manual will be subjected to review and approval by the CCARDESA Board of Directors and a consortium of Development Partners contributing to the MDTF, in order to ensure that *sound public procurement* policies and practices are incorporated at CCARDESA.

1.1.1 Sound Public Procurement: Why Does It Matter?

Sound public procurement policies and practices are one of the essential elements of good governance. Good practices reduce costs and produce timely results; poor practices lead to waste and delays and are often the cause of allegations of corruption and inefficiencies in any institution.

Before describing step-by-step how procurement should be planned and implemented under CCARDESA, it is appropriate to establish at the outset why this topic is worthy of attention. This inquiry can be fruitfully addressed by approaching it from three linked perspectives:

- (i) What constitutes sound public procurement and what are its distinguishing characteristics?
- (ii) Why is it so important and worthy of attention?
- (iii) Why should its achievement and maintenance be a priority concern for CCARDESA and all its financiers?

1.1.2 What Is Good Procurement? What Does It Look Like?

The principal hallmarks of proficient public procurement are: Economy, Efficiency, Fairness, Reliability, Transparency, and Accountability and Ethical Standards.

- (i) **Economy:** Procurement is a purchasing activity whose purpose is to give the purchaser best value for money. For complex purchases, value may imply more than just price, for example, since quality issues also need to be addressed. Moreover, lowest initial price may not equate to lowest cost over the operating life of the item procured. But the basic point is the same: the ultimate purpose of sound procurement is to obtain maximum value for money.
- (ii) **Efficiency:** The best public procurement is simple and swift, producing positive results without protracted delays. In addition, efficiency implies practicality, especially in terms of compatibility with the administrative resources and professional capabilities of the purchasing entity and its procurement personnel.
- (iii) **Fairness:** Good procurement is impartial, consistent, and therefore reliable. It offers all interested contractors, suppliers and consultants a

level playing field on which to compete and thereby, directly expands the purchaser's options and opportunities.

- (iv) **Transparency:** Good procurement establishes and then maintains rules and procedures that are accessible and unambiguous. It is not only fair, but should be seen to be fair.
- (v) **Accountability and Ethical Standards:** Good procurement holds its practitioners responsible for enforcing and obeying the rules. It makes them subject to challenge and to sanction, if appropriate, for neglecting or bending those rules. Accountability is at once a key inducement to individual and institutional probity, a key deterrent to collusion and corruption, and a key prerequisite for procurement credibility.

A sound procurement system is one that combines all the above elements. The desired impact is to inspire the confidence and willingness-to-compete of well-qualified vendors. This directly and concretely benefits the purchasing entity and its constituents, responsive contractors and suppliers, and the financiers.

Conversely, a procurement system that fails to take the above elements stimulates hesitation to compete, submission of inflated tenders containing a risk premium, or submission of deflated tenders followed by delayed or defective performance. Other direct results include collusion in bribery by frustrated or unscrupulous vendors and purchasing entities, bad value for those entities and their constituents, and betrayal and abuse of the public trust for personal gain.

In sum, proficient public procurement is not difficult to describe in principle or to distinguish from its antithesis in practice. However, it does require varied professional and technical know-how to establish, as well as discipline and determination to administer and maintain.

1.2 Definitions of Terms

1.2.1 Sub-Grantee

"Sub-Grantee" means to an institution or group of institutions that has been provided with an approved sub-grant by CCARDESA following the successful submission and acceptance of its grant proposal.

1.2.2 Operating Costs

The operating costs shall include staff travel expenditures and other travel-related allowances, with prior clearance from the financiers; equipment rental and maintenance; vehicle operation, maintenance and repair; office rental and maintenance; office materials and supplies; utilities and communication expenses; and bank charges. Operating Costs financed by CCARDESA will be procured using CCARDESA administrative procedures and sub-grantee administrative arrangements that shall be acceptable to all the CCARDESA financiers.

1.2.3 Post Review Procurements

"Post Review Procurements" refers to items included in the procurement plan that do not require key decisions at selected steps in the procurement process to be referred to

the MDTF financiers or the fiduciary agent for ratification and CCARDESA shall make decisions to proceed to the next step in the procurement process internally.

1.2.4 Prior Review Procurements

"Prior Review Procurements" refers to items included in the procurement plan that require key decisions at selected steps in the procurement process to be referred to the MDTF financiers or the fiduciary agent for ratification in order for CCARDESA to proceed to the next step in the procurement process.

1.2.5 Procurement

"Procurement" means the whole process of acquisition from third parties; by purchase, rental, lease, hire purchase, license, tenancy, franchise or any combination thereof. The procurement process spans the whole-life cycle from initial concept and definition of business needs through to the end of the useful life of an asset or the end of a services contract.

1.2.6 Procurement by Sub-Grantee Institutions/Associations

The procurement process at the sub-grantee institution/association's level will also be governed by these procurement procedures to assure economy, efficiency and transparency. Once grant proposals are approved, benefiting institutions will prepare a procurement plan with assistance of the Procurement Officer and/or the Procurement Consultant responsible for their geo-political region that will be cleared with the MDTF financiers. In this regard, goods, works and services will be grouped in large quantities as much as practicable and be procured using competitive processes. Therefore, the procurement process will follow the steps enumerated in paragraphs 1.3.1 through 1.3.5 above as appropriate depending on (i) the nature and complexity of the activities, (ii) the estimated amount involved and (iii) the availability of relevant goods and expertise (consulting and/or works) locally, nationally or regionally. This will be elaborated in the sub-grant procurement plan.

1.2.7 Procurement Committee

"Procurement Committee" shall be the highest approvals authority for CCARDESA procurement and shall be the approvals authority responsible for providing prior authorisation and guidance for any steps in the procurement process above the threshold of the Executive Director.

1.2.8 Procurement of Consulting Services

"Consulting services" means services of an intellectual or advisory nature, the delivery of reports, drawings or designs including engineering designs and supervision. Consulting services also include technical assistance, baseline surveys, monitoring and evaluation, project management, financial management and procurement, policy studies, external financial and technical audits, training and capacity building services, assistance with institutional reforms and software development, etc. Selection and employment of consultants under CCARDESA will be undertaken using request for expressions of interest notices provided in **Annex F**, development of short-lists and the use of the World Bank's Standard Requests for Proposal as modified to suit CCARDESA, where required by the provisions of this Manual. Short-lists of consultants for services estimated to cost less than USD 200,000 equivalent per contract

may be composed entirely of national consultants of SADC member states in accordance with the provisions of this Manual.

1.2.9 Procurement of Goods

"Goods" means objects of every kind and description including raw materials, products, equipment, objects in solid, liquid or gaseous form, electricity, and works and services incidental to the supply of the goods if the value of those incidental works and services does not exceed that of the goods themselves.

Goods to be procured under CCARDESA include office furniture, project vehicles, computers and accessories, software, communication and office equipment, laboratory equipment, learning materials, teaching guides, reading materials, etc. Goods procurement will be undertaken using the World Bank's Standard Bidding Documents (SBDs) as modified to suit CCARDESA. Appropriate methods of procurement such as National and International Shopping, Limited International Bidding or Direct Contracting may be engaged. The updated approved procurement plans will detail out where such methods will be applicable. Procurement for readily available off-the-shelf goods that cannot be grouped, or standard specification commodities for individual contracts of less than US\$50,000 equivalent, may be procured under procedures as described in Table 2 of Chapter 6. Such contracts will be awarded on the basis of written quotations obtained from at least three qualified suppliers in response to a written invitation. The invitation will include a detailed description of the goods, including basic specifications, quantity, quotation submission deadlines, completion date, a basic form of agreement, and any other relevant information as provided in **Annex E**.

1.2.10 Procurement of Non-consulting Services

"Non-consulting services" means services other than consulting services, for the carrying out of work of any kind, with or without the use of vehicles, machinery or equipment or the provision of operators, technicians or drivers and may include internet provider services, library access services, bandwidth provision and temporary administrative assistance, etc. These services may normally be locally provided and smaller contracts may be concluded following prudent national shopping procedures using the format prided in **Annex H**.

1.2.11 Procurement of Works

"Works" means all work associated with the construction, re-construction, demolition, repair or renovation of a building, road, structure or works, such as site preparation, excavation, erection, building, installation of equipment or materials, decoration and finishing, as well as services incidental to construction such as drilling, mapping, satellite photography, seismic investigations and similar services provided pursuant to a contract, if the value of those services does not exceed that of the works themselves.

Works procurement under CCARDESA is not envisaged to be undertaken on a large scale. Small works procurement that may be undertaken through sub-grantees includes minor rehabilitation works but will not include new construction. Procurement will be carried out using the World Bank's Standard Bidding Documents (SBDs) as modified to suit CCARDESA. Minor civil works estimated to cost less than US\$100,000 equivalent per contract, which are labour intensive, spread over time, and which do not

lend themselves to grouping and therefore are unlikely to attract foreign bidders, may be procured under shopping procedures, also using the format prided in **Annex H**. To ensure that quality of the rehabilitation or renovation works are ascertained, as part of their proposal cost estimation, sub-grantees shall hire relevant engineering consultants (firms or individuals depending on the complexity of the rehabilitation works) to assist with the design and supervision of the infrastructure facilities. Such consultants shall also be recruited following World Bank procurement procedures. The procurement plan developed by the sub-grantee with technical assistance from the CCARDESA Procurement Unit will detail out acceptable procurement methods for the works contracts, as applicable.

1.2.12 Procurement Plan

"Procurement Plan" means the schedule of all of the items to be procured, showing the approved method of procurement, financial resources allocated, the main tasks involved in the procurement process and the timeframes leading to eventual delivery of the goods, works or services as the case may be.

1.2.13 Procurement Unit

"Procurement Unit" means the individuals, section or department in the CCARDESA Secretariat or any entity operating under the auspices of the CCARDESA Secretariat responsible for the execution of the procurement function, whether it is a single individual officer or group of officers, as the case may be.

1.2.14 User Unit/Budget Holder

"User Unit/Budget Holder" means any department, section or project unit of CCARDESA which is implementing activities that initiate procurement requirements and is, or represents, the end user of the goods, works or services being procured.

CHAPTER TWO

2. OVERVIEW OF CCARDESA

2.1 Establishment of CCARDESA

The Centre for Agricultural Research and Development for Southern African (CARDESA) is a Sub-regional Organisation (SRO) established to coordinate the implementation of regional agricultural research and development programmes in the SADC region. The programmes include, the 15-year SADC Multi-country Agricultural Productivity Programme (SADC MAPP), existing projects and new investments developed within the SADC region and continental projects/programmes developed through FARA and coordinated and implemented at regional level. An overall principle in the establishment of CCARDESA is to ensure that SADC is able to implement effectively Pillar 4 of the CAADP for the region. In line with the Framework for African Agricultural Productivity (FAAP) CCARDESA will promote interventions that (i) enhance incremental net benefits, (ii) apply the principle of subsidiarity, (iii) promote pluralism, (iv) enhance partnerships and (v) facilitate harmonization and alignment of donor assistance.

The need for CCARDESA was expressed by stakeholders since 2002 after the closure of the Southern African Centre for Cooperation in Agricultural Research and Training (SACCAR). CCARDESA is committed to the implementation of the SADC's Regional Indicative Strategic Development Plan (RISDP), the Dar es Salaam Declaration on food security and the African Union's New Partnership for Africa's Development (AU-NEPAD) Comprehensive African Agriculture Development Programme (CAADP). Accordingly, CCARDESA has been developed under the Subsidiarity Principle of SADC which gives it autonomy to manage its human and financial resources with the SADC Secretariat providing overall strategic policy guidance to ensure that the regional agricultural research and development (R&D) agenda and priorities are consistent with the SADC mandate on agriculture and food security.

The complementarity of functions and activities between SADC Secretariat and CCARDESA is defined and enshrined in the Charter establishing CCARDESA and spelt out in the MOU between CCARDESA and SADC Secretariat. While CCARDESA is a dedicated and specialized professional institution focusing on technical aspects of coordinating the implementation of regional agricultural R&D programmes, the SADC Secretariat will focus on coordinating the policy, strategy and advocacy aspects of the R&D agenda for the SADC region. The permanent seat provided for SADC Secretariat on the CCARDESA Board of Directors helps to ensure that this policy and strategy oversight role of the Secretariat is present, and that the provisions of the Charter are respected.

CCARDESA is therefore a dedicated professional institution that allows SADC Member States to benefit from shared agricultural research and productivity programmes. It has developed a five-year (2011-2015) Operational Plan which details the implementation strategy including research programmes as well as the management and governance structures necessary for the delivery of the stated results.

2.2 Goal and Strategic Objective of CCARDESA

CCARDESA's goal is to contribute to sustainable reduction in the food insecurity and poverty in the SADC region. The strategic objective of CCARDESA is to increase

smallholder productivity through adoption of improved agricultural technologies and improved husbandry and marketing practices.

2.3 CCARDESA's Operational Mode

The strategic objective will be achieved through the delivery of the following four Results:

- (i) Participation by key stakeholders in priority-setting of research and farmer-led advisory services is enhanced.
- (ii) Capacity of national agricultural research and development organisations in the region is strengthened.
- (iii) Use of innovative ICT in technology generation and adoption is enhanced; and
- (iv) An effective Sub-regional Research Organisation (CCARDESA) is established and financial support from stakeholders and international cooperating partners (ICPs) is secured and coordinated.

The results will be achieved through implementation of activities in four components: (i) Farmer empowerment and market access; (ii) Research, technology generation and farmer-led advisory services; (iii) Knowledge, information and communication; and (iv) Institutional development and capacity building

CARDESA will from time to time conduct studies and workshops to further develop, review and update the regional strategic priorities; identify policies and R&D strategies and good practices that can be promoted, up-scaled and out-scaled in the region; and support capacity building of national agricultural R&D institutions.

2.4 Specific Objectives of CCARDESA

- (i) To coordinate and promote collaboration among regional and National Agricultural Research and Development Systems (NARS) through regional and international cooperation;
- (ii) To facilitate the exchange of information and technology among the SADC regional agricultural R&D institutions;
- (iii) To promote partnerships in the SADC region between public, private, civil society and international organizations in agricultural R&D;
- (iv) To improve agricultural technology generation, dissemination and adoption in the region through collective efforts, training and capacity building; and
- (v) To strengthen national agricultural R&D institutions by mobilising human, financial and technological resources to implement and sustain demand-driven activities.

2.5 Functions of CCARDESA

- (i) To identify and update regional agricultural R&D priorities and to coordinate, monitor and evaluate joint programmes, including promotion and development of agro-based value-adding technologies;

- (ii) To mobilise and generate resources for stakeholder institutions in the SADC region and to foster partnership and collaboration with regional and international agricultural research organizations;
- (iii) To empower and strengthen farmers and their organizations or groups into effective partners in agricultural development and enhancing their access to markets and negotiating skills;
- (iv) To facilitate development of sustainable education, training and learning systems that contributes to farmer-oriented innovation and technology transfer systems for the region;
- (v) To facilitate regional capacity building of agricultural and natural resources scientists in terms of training, development and management;
- (vi) To promote co-operation, consultation and exchange of scientific and technical information on best practices in agricultural research and advisory services in the SADC region; and
- (vii) To coordinate, harmonise, promote and advocate R&D policy among Member States.

2.6 Governance and Management

2.6.1 Governance¹

CCARDESA's governance structure consists of the Ministers responsible for Agriculture and Food Security, the General Assembly, Board of Directors, Operational Committees of the Board and CCARDESA Secretariat. Their responsibilities and functions are elaborated in the CCARDESA Charter and Governance Manual.

2.6.1.1 Ministers responsible for Agriculture and Food Security

The top governance tier in CCARDESA governance is the Ministers responsible for Agriculture and Food Security from Member States which are signatories to the Charter. They appoint CCARDESA Board members on recommendation of the General Assembly, approve CCARDESA's R&D priorities on recommendation from the General Assembly, approve proposals for amendments to the Charter, and receive CCARDESA Annual Reports through the SADC Secretariat.

2.6.1.2 The General Assembly

The General Assembly of CCARDESA comprises eligible stakeholder agricultural R&D institutions that are registered by CCARDESA. These include, Ministries responsible for Agriculture and Food Security, the Agro-industry, Agricultural Education Institutions, Farmer Organisations and agricultural Civil Society Organisations. The General Assembly recommend to Ministers CCARDESA's R&D priorities, approve, monitor and evaluate the CCARDESA strategic direction, appoint, renew or terminate the services of External Auditors for CCARDESA, and recommend to Ministers new members on CCARDESA Board identified by the sitting Board.

¹ The composition and functions of CCARDESA's governance organs (General Assembly and Board of Directors) are articulated in CCARDESA's Charter (September 2010).

2.6.1.3 The Board of Directors

The CCARDESA Board of Directors is responsible for the stewardship and strategic leadership of CCARDESA Secretariat. The CCARDESA Board comprises 13 voting members where SADC Secretariat has a permanent seat. In line with CCADP and FAAP principles on stakeholder participation, the remaining 12 members are drawn from experts in agricultural research, agricultural extension, agricultural education, agribusiness, agricultural policy and planning, the agricultural civil society, farmer organisations, financial institutions and the legal fraternity. The 12 members to CCARDESA Board will be drawn from candidates from Member States that are signatory to the CCARDESA Charter. Ex-Officio Board members are FARA representative and Environmental expert.

2.6.1.4 Committees of the Board

The Board of Directors will establish Committees with particular terms of reference. The Board will determine the number of committees and frequency of meetings as necessary. Envisaged committees to be established as needed, will include Programme/Technical Committee, Appointments Committee, Finance and General Purpose Committee, and Audit, Risk and Compliance Committee.

2.6.2 Management- CCARDESA Secretariat

The Secretariat is responsible for the day-to-day operations of CCARDESA. The Secretariat implements the policies and decisions established and approved by the Board of Directors. In so doing, the Secretariat is responsible to the Board for the operation and management of CCARDESA and for ensuring that the objectives and programmes of CCARDESA are properly developed and carried out. Figure 3 presents CCARDESA Secretariat's organisational structure when it is fully operational. It consists of the Executive Director who will be the Chief Executive Officer of CCARDESA, regionally recruited staff and locally recruited support staff. For its management the Secretariat is structured into four functional units, namely, (a) the Executive Director's office (b) Programmes and Grants Management, (c) Administration; and (d) Finance.

2.6.2.1 Executive Director's Office

Executive Director

The Executive Director is answerable to CCARDESA's Board of Directors. S/he is the chief administrative officer and CCARDESA's statutory/legal representative. S/he has the prime responsibility of executing the decisions of CCARDESA's Board of Directors. S/he is responsible for the management of CCARDESA Secretariat, including the recruitment and supervision of Secretariat staff, and must ensure that they are of the highest quality. S/he is also responsible for protecting the Secretariat's tangible and intangible assets, and maintaining the highest standards of accounting and accountability, which includes keeping overheads and transactions costs to a minimum. Assistance in accomplishing these tasks is provided by the following who report directly to the Executive Director:

Procurement Officer

The Procurement Officer is responsible for superintending and coordinating the planning of CCARDESA's procurement and implementing the procurement plans. S/he informs staff about developments in CCARDESA's procurement procedures and ensures compliance with them. Details of these Procurement unit's functions are contained in CCARDESA's Procurement Manual.

Monitoring and Evaluation Coordinator

The Monitoring and Evaluation Coordinator is responsible to the Executive Director for providing managers at all levels with information and advice on how to measure progress of CCARDESA's activities. This information and advice is provided in a form and within the time required for decisions to be made that aim to improve the performance of CCARDESA Secretariat activities and specific programme activities. S/he is expected to develop and implement an M&E system that aids learning and accountability both within the CCARDESA Secretariat and among CCARDESA's stakeholders or key partners engaged in implementing sub-projects and different regional initiatives. In carrying out the duties, the M&E Coordinator is assisted by a **Documentation Assistant.**

Internal Auditor

The Internal Auditor reports directly to the Executive Director and, when required, to the Executive Board. S/he is expected to accept responsibility for ensuring that all human resources and administrative and financial procedures are conducted in accordance with the highest standards of probity and CCARDESA's set procedures, and that the reports pertaining to them are factual and complete. S/he acts independently of all other offices and has unhindered access to all of CCARDESA's offices, accounts, records and assets.

Personal Assistant to the Executive Director

The Personal Assistant acts as administrative liaison between the Executive Director and the rest of the organization as well as other stakeholders such as, exercising discretion in the handling of all confidential correspondence and materials in the Office of the Executive Director of CCARDESA. S/he coordinates administrative and logistics support functions for the CCARDESA Technical Secretariat.

2.6.2.2 CCARDESA Programmes and Grants Management

Programmes and Grants Manager

The Programmes and Grants Manager deputises the Executive Director of CCARDESA in day-to-day management at CCARDESA Secretariat. S/he is a senior experienced professional who leads all CCARDESA's programmes and the Grants Management Unit (GMU) identifying funding opportunities, facilitating the development of concept notes and full project proposals with sub-grantee institutions and coordinating submissions to the Technical Support Group (TSG) and Sub-Projects Approval Committee (SAC). Together with

other GMU members he/she is be responsible for reviewing and editing proposals and ensuring they meet TSG and SAC requirements. The Programmes and Grants Manager also oversees all sub-grants management and administration, including sub-grant agreements and provides support to CCARDESA in mobilizing resources for regional public goods research and development. In all these activities, he is assisted by the **Grant Management Assistant**. The Programmes and Grants Manager directly supervises the four Thematic Coordinators charged with coordination of implement of CCARDESA's sub-projects and sub-grants.

Thematic Coordinators

In coordinating the implementation of sub-projects and sub-grants CCARDESA has four Thematic Coordinators, *vis*, (i) Farmer empowerment and market access; (ii) Research and advisory services, (iii) Knowledge, information and communication; and (iv) Capacity Building.

2.6.2.3 CCARDESA Finance

Finance Manager

The Finance Manager is responsible to the Executive Director. S/he proposes and superintends over implementation of CCARDESA Secretariat's financial operations policies and procedures. S/he manages the Secretariat's finances. S/he is charged with maintaining the highest standards of financial probity and adherence with international accounting practices as well as the terms and conditions of all financial agreements entered into by CCARDESA Secretariat. S/he ensures that all CCARDESA Secretariat's transactions are managed to international accounting standards and in accordance with agreements entered into by the Secretariat and with the Secretariat's Finance, Operations Policies and Procedures.

Finance Officer

The Finance Officer is responsible to the Finance Manager for ensuring that all the CCARDESA Secretariat's transactions are managed to international accounting standards and in accordance with agreements entered into by the Secretariat and with the Secretariat's finance, human resources and operations policies and procedures. S/he provides support to the CCARDESA Management Team and provides the necessary financial reporting and analysis required for the effective management of CCARDESA programmes and sub-projects. The incumbent assists the Finance Manager to review systems and processes where necessary and develop sound working practices and procedures

Assistant Finance Officer

The Assistant Finance Officer's major duties and responsibilities include, but are not limited to (i) preparing all CCARDESA vouchers, bills and requests for payment; (ii) maintaining accounting records, reconciling, posting, computing and/or balancing figures to assure accurate record keeping; (iii) reviewing all local staff's timesheets; (iv) filing documents using standard filing system and (v) banking.

2.6.2.4 CCARDESA Administration

Human Resources and Administration Manager

The Human Resources and Administration Manager reports to the Executive Director. S/he is responsible for ensuring that the CCARDESA Secretariat can recruit and retain the highest calibre staff. S/he proposes and superintends over implementation of the Secretariat's human resources and operations policies and procedures. S/he manages and assures security for the Secretariat's physical assets and equipment, and oversees provision of logistics and protocol services.

Internal ICT Officer

The Internal ICT Officer maintains and troubleshoots the computer hardware and software problems in encountered at CCARDESA Secretariat. S/he assists in computerising all the documents in the concerned units. He assists in developing software solution/packages to speed up the process of computerising day-to-day activities, letters, documents. The ICT Officer maintains the Network and Internet connection in the CCARDESA Secretariat.

2.7 Financing

CCARDESA receives funding to finance its operations and programme from international development partners, from SADC Member States, and other stakeholders.

CHAPTER THREE

3. PROCUREMENT POLICIES AND GUIDELINES

3.1 Introduction

3.1.1 Procurement Policy Objectives

The objectives of the procurement policy of CCARDESA are to ensure that;

- 1) Principles and procedures regarding procurement activities of CCARDESA are well explained to all staff;
- 2) Roles of the Procurement Unit at CCARDESA, other individuals involved in procurement and associated committees are well explained;
- 3) There is maximum value for money through an orderly, efficient and effective execution of procurement activities; and
- 4) Transparency and competition are entrenched, ensured and secured throughout the procurement processes.

3.1.2 Policy Statement

All members of staff shall comply with the following general principles:

- 1) Procurement of goods, works and services shall be undertaken using the appropriate procurement methods as stipulated in this manual or in accordance with the requirements of the financier of the concerned activities; and
- 2) There shall be transparency in the procurement and disposal processes.

3.1.3 Key Documents

Key documents and related Policies and Procedures include the following:

- (i) CCARDESA Operational Plan;
- (ii) Annual Work Plans and Budget;
- (iii) Approved Procurement Plan;
- (iv) Strategic Plan;
- (v) Grant Agreement with financing organization;
- (vi) Host country agreement; and
- (vii) CCARDESA Procurement Manual.

3.2 Guiding Principles

1. The CCARDESA Board is responsible for setting the strategic direction of CCARDESA, for monitoring its achievements and for ensuring CCARDESA's financial integrity at all times. The Executive Director is responsible for the leadership and management of CCARDESA and is accountable to the Board.

2. The Executive Director shall have overall responsibility over all procurement undertaken by CCARDESA and the application and implementation of this Manual. The Executive Director may delegate the procurement responsibilities to the Finance Manager, or any other senior member of staff in accordance with the provisions of this Procurement Manual.
3. The heads of units shall originate all requests for procurement and shall prepare and document the procurement request. The procurement requests which shall be in accordance with the approved procurement plans shall be forwarded to the Procurement Officer for processing.
4. All members of staff of CCARDESA shall exercise due diligence during the procurement process and shall comply in good faith with the procurement policies and procedures. While due care has been taken to build into the Procurement Manual adequate and comprehensive internal controls, the mere application of these regulations shall not absolve any staff of CCARDESA from exercising due diligence in carrying out their duties.

3.2.1 Basic Principles

The following main principles underlie proficient procurement and shall guide the procurement process at CCARDESA and any of its sub-grantees:

1. Economy and efficiency to achieve quality, cost effectiveness and timely delivery in procurement;
2. Equitable, fair and open competition giving all eligible/qualified bidders an opportunity to participate;
3. Accountability for use of funds; and
4. Transparency in the procurement process.

The policies and procedures in this procurement manual are designed to meet these principles.

3.3 Applicable Solicitation Documents

1. CCARDESA shall use the solicitation documents specified in the financing agreement with the financier.
2. For all procurements funded with MDTF funds, the modified World Bank standard bidding documents and request for proposals shall be used.

3.4 Eligibility

1. Participation in tenders and in the award of the contracts shall be open to organizations or individuals from any country.
2. No organization or bidder shall be excluded from evaluation and contract award for reasons unrelated to its capability and resources to successfully execute the contract. CCARDESA shall carry out a due diligence on the technical and financial qualifications of bidders to be assured of their capabilities in relation to the specific contract:

3. Exceptions to the foregoing include:
 - (a) Firms of a country or goods manufactured in a country may be excluded if,
 - as a matter of law or official regulation the country in which CCARDESA intends to use the firm's services or to import the goods prohibits commercial relations with the first country (i.e. where the goods are manufactured or the firm is based), provided that the financier is satisfied that such exclusion does not preclude effective competition for the supply of goods or works required, or
 - by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the country in which CCARDESA intends to use the firm's services or import goods to, prohibits any import of goods from, or payments to, a particular country, person, or entity. Where such a country prohibits payments to a particular firm or for particular goods by such an act of compliance, that firm may be excluded.
 - (b) A firm which has been engaged by CCARDESA to provide consulting services for the preparation or implementation of a project, shall be disqualified from subsequently providing goods, works, or services resulting from or directly related to the firm's consulting services for such preparation or implementation.
 - (c) Government-owned enterprises may participate only if they can establish that they are legally and financially autonomous and operate under commercial law.
4. Firms prohibited by CCARDESA or any financier because of their involvement in corrupt or fraudulent practices in procurement shall not be eligible to participate in tenders and award of contracts by CCARDESA;
5. CCARDESA staff or management involved in procurement process have a financial interest in, or close relatives working with, the organisation or individual shall also not be eligible to participate in tenders and award of contracts by CCARDESA;
6. Firms that are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities or who are subject to an injunction against running business by a court of law shall not be eligible to participate in tenders and award of contracts by CCARDESA;
7. Firms that have not fulfilled obligations relating to the payment of social security contributions or taxes in accordance with the legal provisions of the country where they are established shall not be eligible to participate in tenders and award of contracts by CCARDESA.

3.5 Misprocurement

CCARDESA shall not finance expenditures incurred by sub-grantees for goods and works which are not procured in accordance with the agreed provisions in the Sub-Grant Agreement with the sub-grantee. In such cases, CCARDESA will declare misprocurement, and it will cancel that portion of the grant allocated to the goods, works and/or services that have been misprocured by the sub-grantee. Even once the contract is awarded after obtaining approval from CCARDESA, CCARDESA may still declare misprocurement if it concludes that the approval was issued on the basis of incomplete, inaccurate, or misleading information furnished by the sub-grantee or the terms and conditions of the contract had been modified without CCARDESA's approval.

3.6 Fraud and Corruption

CCARDESA requires all sub-grantee Lead Organizations, as well as their bidders, suppliers, and contractors and their subcontractors to observe the highest standard of ethics during the procurement and execution of such contracts. In pursuance of this policy, CCARDESA:

1. defines, for the purposes of this provision, the terms set forth below as follows:
 - (a) "corrupt practice" is the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
 - (b) "fraudulent practice" is any act or omission, including a misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation
 - (c) "collusive practice" is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
 - (d) "coercive practice" is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
 - (e) obstructive practice is:
 - deliberately destroying, falsifying, altering or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede CCARDESA's investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
 - acts intended to materially impede the exercise of CCARDESA's inspection and audit rights provided for under the sub-grant Agreement;
2. will reject a proposal for award if it determines that the bidder recommended for award has, directly or through an agent, engaged in corrupt, fraudulent, collusive, coercive or obstructive practices in competing for the contract in question;
3. will cancel the portion of the sub-grant allocated to a contract if it determines at any time that representatives of the sub-grantee or of the Lead Organization engaged in corrupt, fraudulent, collusive, or coercive practices during the

procurement or the execution of that contract, without the Lead Organization having taken timely and appropriate action satisfactory to CCARDESA to address such practices when they occur;

4. will sanction a firm or individual, including declaring ineligible, either indefinitely or for a stated period of time, to be awarded a CCARDESA financed contract if it at any time determines that the firm has, directly or through an agent, engaged in corrupt, fraudulent, collusive, coercive or obstructive practices in competing for, or in executing, a contract financed the sub-grant; and
5. will have the right to require that a provision be included in bidding documents and in contracts financed by the sub-grant, requiring bidders, suppliers and contractors to permit CCARDESA to inspect their accounts and records and other documents relating to the bid submission and contract performance and to have them audited by auditors appointed by CCARDESA.

3.7 Procurement Reviews

CCARDESA may be required to carry out a review of its sub-grantees' procurement procedures, documents, bid evaluations, award recommendations, and contracts to ensure that the procurement process is carried out in accordance with the agreed procedures. For this reason CCARDESA shall require sub-grantees to retain all documentation with respect to each contract up to five years after the closing date of the Sub-Grant Agreement. The sub-grantee shall furnish such documentation to CCARDESA upon request if CCARDESA supposes that the goods, works or services may have not been procured in accordance with the agreed procedures as reflected in the Sub-Grant Agreement or that the contract itself is not consistent with such procedures or is declared misprocurement.

CHAPTER FOUR

4. PROCUREMENT IMPLEMENTATION ARRANGEMENTS

This section defines the roles and responsibilities of various bodies/units within CCARDESA which shall be responsible for ensuring efficient and effective procurement within CCARDESA. These shall include:

1. The Procurement Committee;
2. The Executive Director;
3. Evaluation Committees;
4. The Procurement Unit/Officer; and
5. User Units/Budget Holders.

4.1 Procurement Committee

1. A Procurement Committee, comprising the Executive Director as chairperson, and Procurement Officer as secretary, with four other members appointed by the Board of Directors shall be the highest approvals authority for CCARDESA procurement and shall be the approvals authority responsible for providing prior authorisation and guidance for any steps in the procurement process above the threshold of the Executive Director.
2. The four appointed members shall serve as follows:
 - (a) Two members from outside CCARDESA shall each serve 2-year renewable terms, up to a maximum of 2 consecutive terms, with one member being initially appointed for a 3-year term; and
 - (b) Two members, one from the four CCARDESA senior managers and one from the four CCARDESA Thematic Coordinators, shall each serve 2-year renewable terms, up to a maximum of 2 consecutive terms at a time, with one member being initially appointed for a 3-year term.
3. The two members from outside CCARDESA shall have extensive knowledge and experience in any dominion of public financial management and shall be selected with a deliberate intention to complement the qualifications of the members selected from within CCARDESA management at that particular instance.
4. The Procurement Committee shall be responsible for approval of award of contracts for procurement of goods, works and/or services valued at US\$ 50,000 or more. Procurements of goods, works and/or services costing less than US\$ 50,000 shall be approved for award of contract by the Executive Director.
5. The Procurement Committee shall award contracts based on recommendations from the Evaluation Committee (*see functions of the evaluation committee below*).
6. The Executive Director shall appoint, in writing, at least three members to serve in the Evaluation Committee, while the Procurement Unit shall serve as the secretariat to the Procurement Committee. The Procurement Committee shall be

chaired by the Executive Director and the quorum for holding Procurement Committee meetings shall be three members, excluding the secretariat, with at least one of the members from outside CCARDESA present.

7. The deliberations of the Procurement Committee shall all be recorded in minutes by the secretariat.
8. In executing its powers the Procurement Committee shall ensure that all its decisions meet the basic principles of this Manual and specific financier rules for public procurement and disposal arrangements, and in particular shall:
 - (a) Approve solicitation documents and any addenda before their issue to bidders and, in particular, authorise and ensure the following -
 - (i) the completeness and suitability of the statement of requirements;
 - (ii) the appropriateness and applicability of the proposed evaluation methodology and criteria contained in the solicitation documents;
 - (iii) the appropriateness of the type of contract to the procurement requirement;
 - (iv) the appropriateness of the special conditions of contract proposed for any resulting contract; and
 - (v) that the bidding period is reasonable, having regard to the complexity of the requirements for the assignment;
 - (b) Approve:
 - (i) the membership of evaluation committees;
 - (ii) technical, financial or combined evaluation reports;
 - (iii) the membership and objectives of a negotiation team; and
 - (iv) the outcome of any negotiations.
 - (c) Approve contract documents in line with the award decision; and
 - (d) Approve contract amendments.
9. The appointed persons shall be deemed suitable to ensure that the Procurement Committee:
 - (a) has a proven track record of sound judgment;
 - (b) has an appropriate level of seniority and experience in decision-making;
 - (c) includes experience in at least one recognised professional discipline;
 - (d) does not have more than two members from one department; and
 - (e) includes specific knowledge and experience about CCARDESA's operations.
10. The Executive Director may at any time terminate the appointment of a member of the Procurement Committee:

- (a) for abuse of office;
 - (b) for corruption;
 - (c) for incompetence;
 - (d) for physical or mental incapacity which renders the member incapable of performing his/her duties;
 - (e) for failure to attend three consecutive scheduled meetings without reasonable grounds;
 - (f) for conviction of an offence involving moral turpitude;
 - (g) declared bankrupt by a court of law; or
 - (h) on other similar grounds that puts his/her integrity and objective judgement in doubt.
11. Where a member of the Procurement Committee is unable to attend a meeting, and he/she provides reasonable and sound reasons, he/she shall be allowed to nominate an alternate member or proxy. A temporary member shall be appointed only for the period for which the permanent member is absent;
12. A Procurement Committee shall consider each submission made and, based on the information contained in the forms and the supporting documents submitted by the Evaluation Committee, approve or reject the submission made.
13. A Procurement Committee may give a conditional approval to a submission, where there is a minor issue to be resolved. The condition shall be resolved before final approval or else the submission shall be rejected.
14. A Procurement Committee shall give in writing the reasons for rejecting a submission.
15. A decision of a Procurement Committee shall be unanimous or, where unanimity cannot be achieved, shall be by simple majority of the members present.
16. Where there is a tie in the vote of the Procurement Committee the submission shall be rejected, in furtherance hereof, the Secretary has no vote in the Procurement Committee.
17. The Secretary of the Procurement Committee shall record the minutes of each Procurement Committee meeting using the relevant form, which may be supported by detailed minutes.
18. The minutes of each Procurement Committee meeting shall include:
- (a) a register of attendance, signed by all members, advisors and observers using a form that indicates whether each individual's attendance was for all or only part of the meeting and indicates the items on the agenda in which the individual participated;
 - (b) the code of ethics, signed by all members and other persons attending the meeting using; and

- (c) a record of the decisions made for each submission considered by the Procurement Committee using the relevant form, together with details of any conditions to approved submissions and reasons for the rejected submissions.
19. The record of each Procurement Committee meeting shall include the key issues discussed in relation to each submission or item on the agenda, including any advice given by an advisor or any disagreement between members.
 20. A Procurement Committee may co-opt an advisor to assist it in the discharge of its functions.
 21. An advisor shall not take part in the decisions of the Procurement Committee and shall only attend a part of a meeting which considers the matter on which the advice is required.
 22. The Procurement Committee may require any member of a user department, an evaluation committee or a negotiation team to attend a Procurement Committee meeting as an advisor to offer clarifications on a submission.
 23. The chairperson of the Procurement Committee shall preside over the meeting of the Procurement Committee and, in the chairperson's absence; a member from among those present shall be elected to preside over the meeting.
 24. The chairperson working with the Procurement Unit, shall be responsible for:
 - (a) Convening the Procurement Committee meetings and guiding the drawing up of the agenda;
 - (b) Ensuring that the agenda specifies:
 - (i) the date, time and venue of the Procurement Committee meeting;
 - (ii) the submissions to be considered;
 - (iii) issues to be discussed; and
 - (iv) any advisor or observer invited to attend the meeting.
 - (c) Ensuring that:
 - (i) the performance of the Procurement Committee is in accordance with the requirements of CCARDESA and the requirements of the financier;
 - (ii) order is maintained and productive work done at all meetings;
 - (iii) open and participatory debate by members present is possible at all meetings;
 - (iv) specialist/technical advice is obtained if so required; and
 - (v) the minutes of the Procurement Committee meetings are confirmed by members and signed as required.
 25. The secretary of the Procurement Committee shall be responsible for:

- (a) assisting the chairperson in convening meetings and preparing the agenda;
- (b) organising and providing the necessary facilities for meetings of the Procurement Committee;
- (c) ensuring that the agenda, submissions and any other documentation are distributed to members of the Procurement Committee within a reasonable time before any meeting;
- (d) recording the minutes of the meetings;
- (e) keeping all records of the Procurement Committee, including, but not limited to agendas, submissions and minutes;
- (f) co-ordinating all activities of the Procurement Committee;
- (g) preparing reports of the Procurement Committee; and
- (h) monitoring the term of membership of Procurement Committee members and notifying the Executive Director accordingly.

4.2 Evaluation Committee

1. This committee shall be appointed by the Executive Director in consultation with the user agency or unit for technical expert representation, including at least one officer from the Procurement Unit and/or Finance section.
2. The membership of the Evaluation Committee shall be recommended by the Procurement Unit in accordance with this Manual.
3. The Evaluation Committee shall be an *ad hoc* committee formed to evaluate a specific tender, proposal or procurement as the case may be.
4. The committee shall comprise a person/advisor technically competent with the subject of the procurement, a person from the user unit/budget holder and the Procurement Officer, among other members.
5. The Evaluation Committee may comprise separate technical and financial evaluation committees, depending on how the procurement is structured.
6. The Evaluation Committee shall be responsible for evaluating the contract based on the pre-determined criteria and recommending award of contracts.
7. The Evaluation Committee shall prepare evaluation reports containing its recommendation of award to the Procurement Committee for approval and award.
8. The number of members of the Evaluation Committee shall depend on the value and complexity of the procurement requirement, but shall in all cases be a minimum of three (the technical person and the representative of a user unit must be part of the three in the quorum).
9. The members shall be of an appropriate level of seniority and experience, depending on the value and complexity of the procurement requirement.
10. The evaluation committee shall include members with a relevant type of skills and experience, and the skills required shall be determined by the nature of the procurement requirement, but may include:
 - (i) end-user representatives;
 - (ii) procurement and contracting skills;

- (iii) financial management skills;
 - (iv) technical skills relevant to the subject of the procurement;
 - (v) legal expertise; or
 - (vi) industry development expertise.
11. In order to maintain independence of functions and powers, a member of a Procurement Committee shall not be a member of an evaluation committee.

4.3 Procurement Unit

The Procurement Unit shall have the overall responsibility of managing all procurement, contracting and disposal activities within CCARDESA. The Procurement Unit shall be adequately staffed with procurement professionals to enhance efficient and effective procurement that meets the main principles of procurement identified in this manual.

Specifically, the unit shall be responsible for the following roles, among others:

1. receiving procurement requests from originating officers, checking that the proposed procurement is within the approved procurement plan, and that budgeted funds are available prior to commencement of procurement proceedings;
2. ensuring that funds are properly committed prior to issue of any contract or Purchase Order;
3. co-ordinating the preparation of specifications, terms of reference, bills of quantities, drawings, short-lists or advertisements, and prequalification, tender or request for quotation documents.
4. where so required by the Procurement Committee, submission of documentation for review and approval by the Procurement Committee prior to issue;
5. arranging the publication of advertisements and notices of contract award;
6. co-ordinating the process of opening of tenders and quotations and ensuring the preparation of formal records of tender or quotation opening;
7. participating in evaluation activities of the Evaluation Committee where necessary and assisting in preparation of formal Evaluation Reports;
8. preparing submissions for approval of award;
9. maintaining and updating the database of suppliers, contractors and consultants;
10. participating in negotiations with consultants where necessary or other bidders where expressly permitted in the financier's guidelines or regulations;
11. preparing notification of awards and contracts;
12. arranging publication of notices of contract awards;
13. preparing contract documents and Purchase Orders, in line with the award decision;
14. preparing and issuing tender rejection and bidder debriefing letters;
15. preparing contract variations and modifications;
16. assisting with the inspection and acceptance of goods, works and services; and

17. maintaining procurement records.

4.4 User Units

All user units within CCARDESA shall make procurement requisitions to the Procurement Unit. Below are some of the responsibilities of the user units:

1. Preparing the unit's procurement plan in consultation with the budget holders and the Procurement Unit;
2. Updating the procurement plan to reflect the actual implementation dates;
3. Initiating procurement and disposal requirements and defining needs (preparation of terms of reference and specifications);
4. Participating in evaluation committee meetings and providing technical input as applicable;
5. Managing contract implementation including ensuring that contractors and suppliers deliver as per their contracts and payments are made in a timely manner;
6. Attending procurement meetings as required.

4.5 Language

1. Bid documentation and all published procurement notices shall be prepared in English.
2. In addition to being prepared in English, the pre-qualification and tender documents may, at CCARDESA's option, also be prepared in the national language of the country where the contract is to be undertaken (or the language used nation-wide in that country for commercial transactions).
3. If the pre-qualification and tender documents are prepared in two languages, bidders shall be permitted to submit their bids in either of these two languages. In such a case, the contract signed with the winning bidder shall be written in the language in which its bid was submitted, in which case this language shall be the one that governs the contractual relations between CCARDESA and the winning bidder.
4. If the contract is signed in a language other than English and the contract is subject to a review by the CCARDESA Board and/or financiers, CCARDESA shall provide the translation of the contract in English.
5. The winning bidder is to sign the contract in only one language version.
6. Where the tender was prepared in the national language of the country where the contract is to be undertaken (and this language is not English), the resulting reports or deliverables shall be prepared in both English and the national language of the country where the contract is to be undertaken.

4.6 Confidentiality

1. The procurement process is confidential from the time of receipt of tenders to the notification of the award and eventual contracting.
2. Information relating to the evaluation, comparison or clarification of tenders, proposals or quotations or the contents of tenders, proposals or quotations and

recommendations concerning awards shall not be disclosed to the applicants, their representatives or to persons not officially involved in the process.

3. Bids and information relating to applicants shall be regarded as classified until after the evaluation and award process is finalised.

4.6.1 Conflict of Interest

All members of CCARDESA procurement, evaluation and other committees involved in the procurement of goods, works and/or services will declare any conflicts of interest with bidders prior to the initiation of any evaluation of tenders. These persons will be excluded from participating in the procurement process. Any non-declaration in this regard should result in appropriate action being instituted against such members and should also result in the company involved being disqualified. Prior to any meeting held in respect of any evaluation, adjudication or award of a contract, all persons will be required to acknowledge in writing that they have no conflict of interest in respect of the tender being considered.

4.7 Key Control Processes

1. All procurement and disposal needs of CCARDESA shall be coordinated by the Procurement Unit.
2. All procurements for values more than US\$50,000 shall be handled by the Procurement Committee.

CHAPTER FIVE

5. PROCUREMENT PLANNING

5.1 Policy Objectives of Procurement Planning

To ensure that;

1. There is maximum value for money through an orderly, efficient and effective execution of procurement activities;
2. There is financial predictability, accountability and control over procurement budgets; and
3. Emergency procurement and disposal are minimised or avoided.

5.2 Policy Statement

Procurement of goods, works and services shall be guided by the annual procurement plan prepared by the Procurement Unit and approved by the Executive Director and the respective financiers.

5.3 Key Documents

Key documents shall include:

- (i) Annual Work Plans;
- (ii) Financing Agreement;
- (iii) Budget for the Period;
- (iv) Operational Work Plan; and

5.4 Responsibility

- (i) Executive Director
- (ii) M&E Coordinator
- (iii) Finance Manager
- (iv) Procurement Officer
- (v) User Units/Budget Holders

5.5 Planning Procedures

1. Each user unit/budget holder shall prepare a list of procurement activities based on the *approved work plans and budgets*, which shall be submitted to the Procurement Unit to facilitate orderly execution of procurement activities. All procurement activities of CCARDESA shall be included in the procurement plan approved by the Executive Director and the financier, if so required.
2. The Procurement Unit shall consolidate all the annual plans for procurement from the different budget holders into one annual procurement plan for CCARDESA to

enhance financial predictability, accounting and control over *procurement budgets*.

3. The procurement plan shall indicate the budget lines from which the procurement is to be funded as well as the receiving partner. The procurement plan shall be prepared in the World Bank standard format.
4. The procurement plan shall be updated on an annual basis. The procurement plan shall provide the following information relating to each major category of procurement i.e. goods, works and services:
 - (a) Number of contracts (broken down into packages and lots);
 - (b) Contract description;
 - (c) Estimated amount for each contract;
 - (d) Procurement method to be used;
 - (e) Whether procurement requires prior or post review by the financier; and
 - (f) Various dates (both planned and actual) ranging from preparation to contract signing.
5. The Procurement Unit shall use the consolidated procurement plan to plan, organise, forecast and schedule the total procurement activities for CCARDESA for the financial year.
6. The Procurement Unit shall prepare a consolidated summarised procurement plan for CCARDESA, which shall include:
 - (a) a breakdown of activities of goods, works and services to be procured in packages;
 - (b) a schedule of procurement requirements in order of priority;
 - (c) a statement of required resources supported by a schedule of the projected funding;
 - (d) a plan of the likely method of procurement for each package and the likely timing required; and
 - (e) the procurement review requirements for each package.
7. Planning for a procurement activity shall take into account the following considerations:
 - (a) aggregation of requirements to achieve lower unit costs;
 - (b) allocation of biddable lots to ensure that requirements are not split up without justified reason;
 - (c) common procurement of common user items with sub-grantees, where possible;

- (d) joint procurement with the involvement of both the CCARDESA Secretariat staff and representatives of sub-grantees, where possible;
 - (e) pre-qualification to cover groups of contracts where similar goods, works or services requiring a pre-qualification exercise are required during the financial year, or where it would facilitate short-listing of bidders;
 - (f) scheduling of available resources to process the procurement requirements of CCARDESA, in particular those relating to evaluations teams; and
 - (g) the need for framework contracts where appropriate.
8. The procurement requirements shall be aggregated for:
- (a) all budget holders/user units of CCARDESA;
 - (b) a complete financial year or other appropriate period of time; and
 - (c) any other appropriate circumstance, such as those catering for sub-grantees.
9. The aggregation of requirements shall take into account:
- (a) the market structure for the items required;
 - (b) items which are of a similar nature and which are likely to attract the same potential bidders;
 - (c) the optimum size and type of contract to attract the greatest and most responsive competition or the best prices;
 - (d) items which shall be subject to the same method of procurement and bidding conditions;
 - (e) items which shall be ready for bidding at the same time;
 - (f) items which shall be subject to the same conditions of contract;
 - (g) potential savings in time or transaction costs;
 - (h) the appropriate size of contract to facilitate the application of any preference and reservation schemes; and
 - (i) the optimum number and size of contracts to facilitate management and administration of contracts by CCARDESA.

5.6 General Applications

1. All procurement shall be carried out in accordance with the approved procurement plan and no procurement shall be conducted outside the approved procurement plan.
2. The annual procurement plan and any other amendments to it during the year shall require the approval of the Executive Director and the relevant financiers, where applicable.
3. The Procurement Unit shall not, with the intention of avoiding a particular method of procurement or the benefits of scale, split up procurement requirements which can be procured as a single contract.

4. Splitting of procurement or disposal requirements, which are broadly similar or related, shall only be permitted when the split offers clear and calculable economic or technical advantages.
5. A Procurement Unit may divide requirements allocated to a single procurement process into separate lots, where it is anticipated that the award of several separate contracts would result in the best overall value for CCARDESA.
6. Where requirements are divided into lots, which may result in separate contracts, the choice of a procurement method shall be determined by the total value of all the lots and not the estimated value of each individual lot.

5.7 Key Control Processes

1. The procurement plan shall be based on the annual work plans prepared by the different budget holders of CCARDESA.
2. All procurements of works, goods and services shall be guided by the approved annual procurement plan.
3. The Procurement Unit shall prepare an annual procurement plan that shall be approved by the Executive Director and the respective financier.

CHAPTER SIX

6. PROCUREMENT THRESHOLDS, METHODS AND PROCEDURES

6.1 Policy Objectives of Procurement Methods and Procedures

To ensure that;

1. There is maximum value for money through an orderly, efficient and effective execution of procurement activities;
2. There is transparency and competition in the procurement process;
3. All procurement methods are adequately explained;
4. The best procurement method for goods, works and/or services is applied;
5. Proper procedures are in place to document the bidding process at CCARDESA; and
6. Instances of misprocurement are eliminated.

6.2 Policy Statement

All members of staff shall comply with the following general principles:

1. There shall be transparency and competition in all procurement activities of CCARDESA.
2. The procurement of goods, works and consulting services shall be undertaken in accordance with CCARDESA procurement guidelines;
3. The splitting of orders within the same quarter shall not be allowed, except in accordance with the provisions of this Manual; and
4. Proper documentation of the bidding processes and procedures followed shall be maintained.

6.3 Key Documents

Key documents and related Policies and Procedures include:

- (i) Procurement Requisition Form;
- (ii) Approved Procurement Plan;
- (iii) Individual financier procurement guidelines as may be applicable from time to time; and
- (iv) World Bank procurement guidelines.

6.4 Responsibility

- (i) Executive Director
- (ii) Procurement Officer
- (iii) Finance Manager
- (iv) User Unit/Budget Holder

6.5 Procurement Methods

1. To the maximum extent possible all contracts shall be procured on a competitive basis. CCARDESA will determine the procurement method to be used on a case-by-case basis. The justification for the selection of a particular process will be documented and signed by the Procurement Officer upon getting the Procurement Committees' approval. This shall be done in situations where the default method, as determined by the set thresholds, is not followed. Where the method selected is within the set threshold, the approval of the method by the Procurement Committee shall not be necessary. The relevant thresholds are provided in Tables 1 and 2 below.
2. The procurement methods shall be clearly identified in the procurement plan submitted for approval that shall be sought and received before issuing request for proposals and inviting tenders or publishing notices for tenders.

Table 1: Thresholds for Procurement Methods and Prior Review

No.	Expenditure Category	Contract Value Threshold (US\$)	Procurement Method	Contracts Subject to Prior Review (US\$)
1	Works	$\geq 5,000,000$	ICB ²	All contracts
		$100,000 \leq C < 5,000,000$	NCB ³	Specified Contracts as would be indicated in the Procurement Plans
		$C < 100,000$	Shopping	None
		All Values	Direct Contracting	All contracts
2	Goods and Non-Consulting Services	$C \geq 500,000$	ICB	All contracts
		$50,000 \leq C < 500,000$	NCB	Specified Contracts as would be indicated in the Procurement Plans
		$C \leq 200,000$	UN Agencies	Specified Contracts as would be indicated in the Procurement Plans
		$C < 50,000$	Shopping	None
		All values	Direct Contracting	All contracts
3	Consulting Services	$C \geq 200,000$ firms	QCBS ⁴ (International)	All contracts
		$100,000 \leq C < 200,000$ Firms	QCBS (National)	All contracts
		$C < 100,000$	CQS ⁵	Only TORS
		$C \geq 50,000$ individuals	ICS ⁶	All contracts
		$C < 50,000$ individuals	ICS	Only TORS
		All values	Single Source Selection	All Contracts
4	Training, Workshops, study Tours	All values	To be based on Annual Work-plan and Budget	

² International Competitive Bidding

³ National Competitive Bidding

⁴ Quality & Cost-Based Selection

⁵ Selection Based on Consultants Qualifications

⁶ Selection of Individual Consultants

3. The documentation of approval of the procurement method shall be done before issuing request for proposals and inviting tenders or publishing notices for tenders.
4. The procurement (tender) methods are summarised in **Table 1** below. The thresholds given in the table are based on the maximum budget for the contract in question.

Table 2: Procurement Thresholds under Post Review

	TYPE OF PROCUREMENT	Threshold in USD		Method of Procurement
		Lower Limit	Upper Limit	
1.1	GOODS & NON-CONSULTING SERVICES	≥ 0	$\leq 2,000$	Use approved suppliers of goods, but check prices quarterly
1.2		$>2,000$	$\leq 10,000$	Obtain quotations from at least 3 suppliers, approved by ED
1.3		$>10,000$	$\leq 50,000$	Selective Tender approved by Procurement Committee
2.1	WORKS & NON-CONSULTING SERVICES	≥ 0	$\leq 5,000$	Use approved suppliers of works, but check rates quarterly
2.2		$>5,000$	$\leq 20,000$	Obtain quotations from at least 3 suppliers, approved by ED
2.3		$>20,000$	$\leq 100,000$	Selective Tender approved by Procurement Committee

The detailed procedures to be used for the procurement of goods, works and services are outlined below and summarised in **Annex A: Summary of Procurement Methods, Steps and Durations**.

6.5.1 Pre-qualification and/or Expression of Interest

1. Pre-qualification and expression of interest may be appropriate for both specific and routine supplies, works and services. Only those providers short-listed through pre-qualification would be invited to submit a bid.
2. Prequalification is usually necessary for large or complex works or in any other circumstances in which the high costs of preparing detailed bids could discourage competition, such as custom-designed equipment, industrial plant, specialized services, some complex information and technology and contracts to be let under turnkey, design and build, or management contracting. This also ensures that invitations to bid are extended only to those who have adequate capabilities and resources. Prequalification shall be based entirely upon the capability and resources of prospective bidders to perform the particular contract satisfactorily, taking into account their (a) experience and past performance on similar contracts, (b) capabilities with respect to personnel, equipment, and construction or manufacturing facilities, and (c) financial position.

3. Expression of Interest is the term used for a pre-qualification process used for consulting services extended to either firms or individuals and takes into account their (a) experience and past performance on similar contracts, (b) capabilities with respect to qualifications and experience of personnel and, (c) facilities/combined capacity to perform the services.
4. The invitation to pre-qualify for bidding shall be advertised and notified. The scope of the contract and a clear statement of the requirements for qualification shall be sent to those who responded to the invitation.
5. Pre-qualification shall be based entirely upon the capability and resources of prospective participants to perform the particular contract satisfactorily, taking into account:
 - (a) experience and past performance on similar contracts;
 - (b) capabilities with respect to personnel, equipment, and construction or manufacturing facilities; and
 - (c) financial position and availability of liquid assets.
6. The pre-qualification/expression of interest criteria shall be specified in the pre-qualification documents and can be in the form of pass/fail criteria or merit point system.
7. CCARDESA shall inform all applicants of the results of pre-qualification/expression of interest and the procurement solicitation documents shall be made available to the participants.
8. To ensure competitiveness, a minimum of six participants shall be pre-qualified/short-listed and invited to bid. However, if less than six participants respond, CCARDESA shall document the persons or entities to which the requests were sent and proceed to consider those bids received.
9. Following the pre-qualification/expression of interest, a shortlist of participants who meet the criteria shall be prepared. This list shall be updated annually or as CCARDESA's needs may dictate.
10. The pre-qualification documents, procedures and decisions shall be, where applicable, submitted to the financiers for "no objection".

6.5.2 Open Bidding

1. Under open bidding procedures, all interested eligible firms are given an equal opportunity to submit a tender. The invitation to tender is widely advertised for at least 4 weeks in the case on NCB and 6 weeks in the case of ICB, in at least one (1) national/regional newspapers and posting on the SADC or CCARDESA website, including the *dgMarket online* and *UN Development Business online* for all prior review contracts.
2. Under open bidding procedures, all natural or legal persons wishing to tender can obtain or receive, on request, the tender documents (which may or may not have to be paid for), in accordance with the procedures laid down in the contract notice.

3. Open bidding can be conducted internationally or nationally. International Competitive tendering entails placing an advert in a newspaper with international readership and inviting all suppliers, local and international to respond. National competitive tendering, on the other hand entails placing a newspaper advertisement nationally or domestically inviting local suppliers only, to respond. For purpose of CCARDESA this shall take into account the countries in which CCARDESA operates.
4. Where national competitive bidding method has been used, foreign bidders (bids not originating from the countries in which CCARDESA operates) responding to a local advert shall not be excluded from bidding.

6.5.3 Restricted/Selective Tendering

1. Under restricted/selective tendering procedures, tenders are sought from pre-selected approved participants, without any open advertisement. The participants shall be pre-selected from the shortlist of bidders obtained from the Pre-qualification process under open tendering procedures or from CCARDESA's data base.
2. The participants' list will be broad enough to ensure effective competition. The list will include at least six (6) participants or all participants when there are only a small number.
3. It may be an appropriate method of procurement where the following conditions are satisfied:
 - (i) Competition for contract, because of the complex or specialised nature of the goods or works is limited to pre-qualified contractors/suppliers
 - (ii) The time and cost required to examine and evaluate a large number of tenders would be disproportionate to the value of the goods or works;
 - (iii) There is only a few known suppliers of the goods or works

6.5.4 Shopping

1. Shopping shall be used for procuring readily available off-the shelf or standard specification goods, standard or routine services and works using the format prided in **Annex H**. This method is based on comparing price quotations from at least three (3) bidders, to ensure competitive process. The three or more bidders invited to bid should not be inter-related organisations (in terms of ownership and directorship). The request for quotations shall indicate the description and quantity of goods, the terms of reference for the services, which will specify the scope, as well as the desired delivery/performance/completion time and place.
2. Shopping should be used in cases where CCARDESA will carry out procurement for readily available off-the shelf items or products and services of a similar nature, and will include the following features:
 - (a) the invitation, normally to not less than three (3) firms,
 - (b) the tender and contract documentation can be prepared in a simple format;

- (c) no public or formal opening of tenders is required;
- (d) tenders can be submitted by fax or electronic mail.

The successful quotation shall be the quotation with the lowest price that meets the requirements set out in the request for quotations. The terms of the accepted offer shall be incorporated in a purchase order or brief contract.

6.5.5 Direct Contracting

This is a procurement method that does not involve open competition. It may be used for goods or works and may be an appropriate method under the following circumstances:

- 1 The extension of an existing contract awarded in accordance with the procedures for Open or restricted Tendering for additional goods or works of a similar nature would clearly be economic and efficient and where no advantage would be obtained by further competition.
- 2 A product or equipment can only be provided by a single firm because of:
 - (i) exclusive capabilities, exceptional worth or proprietary rights; or
 - (ii) there is only one person who can supply the goods or works being procured and there is no reasonable alternative or substitute for the goods or works.
- 3 Standardisation with existing equipment is determined to be important and justified, and compatible goods cannot be provided by other suppliers;
- 4 There is an urgent need for the goods or works being procured, because of the urgency the other available methods of procurement are impractical and the circumstances that gave rise to the urgency were not foreseeable and were not the result of dilatory conduct on the part of CCARDESA.
- 5 The contractor responsible for a process design requires the purchase of critical items from a particular supplier as a condition of a performance guarantee;
- 6 In exceptional cases, such as in response to natural disasters; and
- 7 Direct tendering will only be used after approval by the Executive Director and the financier, where required.

6.5.6 Micro Procurement

Micro procurement shall apply to purchases of less than US\$ 5,000. These shall be procured using a simple method, either direct purchase or request for three simple quotations. A comparison sheet shall be compiled and a purchase order issued to the lowest bidder. The Procurement Committee's approval shall not be required for this type of procurement; however the procurement should be included in the approved annual procurement plans.

6.5.7 Procurement Subject to Post Review

Procurement of goods, works and non-consulting services not subject to prior review by the fiduciary agent and/or the financiers shall be undertaken using internal control mechanisms within the institutional arrangements of CCARDESA as outlined in **Table 2**. Subject to the applicable cost estimate for the particular procurement the use of approved suppliers of goods, works or non-consulting services may apply, while prices shall be

checked on a quarterly basis. For goods and works estimated to cost more than USD 2,000 and USD 5,000 respectively, quotations shall be obtained from at least 3 suppliers, evaluated in accordance with this Manual and approved by either the Executive Director or the Procurement Committee, as applicable.

The Procurement Unit responsible shall retain all documentation with respect to each contract not subject to prior review for purposes of post procurement review by the financiers and for up to two years after the closing date of the Financing Agreement. If the financiers determine that the goods, works or services were not procured in accordance with the agreed procedures, as reflected in this Manual and further detailed in the Procurement Plan approved by the financiers, or that the contract itself is not consistent with such procedures, the financiers may declare misprocurement.

6.6 Valuation of Contracts

For the purpose of determining the applicable procurement method, CCARDESA shall ensure that the estimation of the contract value is made correctly and cover all costs related to the specific contract, whether it is a so called one-off contract or a time-based contract for a certain period of time.

CCARDESA shall not structure procurement as two or more procurements for the purpose of avoiding the use of a procurement procedure.

6.7 Time Limits

Sufficient time shall be allowed for the preparation and submission of all applications to pre-qualify or tender. The following minimum time limits shall apply (Table 3):

Table 3. Minimum time limits allowed for preparation and submission of applications to pre-qualify or tender

Pre-qualification:	Duration
• Submission of qualification documents	28 days
Open tendering	
• International Competitive Bidding (ICB)	42 days
• National Competitive Bidding (NCB)	28 days
Restricted/Selective tendering	28 days
Request for quotations/shopping	7 days
Micro Procurement	Depending on the need

The time limits may be extended subject to the size and complexity of the tender.

6.8 Advertising

1. CCARDESA shall take such steps as are reasonable to bring the invitation to tender or propose, to the attention of those who may wish to submit tenders/proposals under the open tendering method.
2. A bid notice shall be published in at least one national/regional newspaper which must be of wide circulation to reach sufficient prospective bidders to ensure effective competition.

3. A bid notice shall be displayed on SADC or CCARDESA's website and notice board not later than the date of publication of the bid notice and shall remain on display until after the closing date for submission of bids.
4. Notices of invitations to bid shall be drafted so as to permit and encourage the widest possible response.
5. If a contributing financier requires the invitation notices to be submitted to them for placement on their websites, then these will be shared accordingly.
6. A nominal fee may be charged for bidding documents to cover costs of reproduction and of despatching the documents by courier.

6.9 Records Management

The following procurement records shall be maintained by the Procurement Unit of CCARDESA, where appropriate, to facilitate future review of procurement activities:

- (a) a request to initiate procurement proceedings;
- (b) a copy of the published advertisement or shortlist;
- (c) a copy of the pre-qualification and solicitation documents and any amendments or clarifications;
- (d) a record of bid closing and bid openings;
- (e) a copy of all bids evaluated or clarifications requested and responses received;
- (f) the evaluation reports;
- (g) minutes of meetings on procurement, including pre-bid and negotiation meetings;
- (h) notification of award letters;
- (i) acceptance letters from awarded service providers;
- (j) the contract documents and any amendments;
- (k) all correspondences between CCARDESA and bidders or potential bidders; and
- (l) a copy of all submissions to and all decisions of the Procurement Committee related to the procurement including, but not limited to, the choice of procurement method, approval of pre-qualification and solicitation documents, approval of evaluation reports, contract award, approval of contract documents and contract amendments and any decision to suspend or cancel procurement proceedings

Contract management records maintained by the budget holder units shall include:

- (a) a copy of the signed contract document, including any signed contract amendments;
- (b) any variations or change orders issued under the contract;
- (c) post-contract documents relating to the fulfilment of contract obligations, in particular, copies of bank guarantees or payment guarantees;
- (d) minutes of any meetings related to contracts management, including contract progress or review meetings;

- (e) delivery documents evidencing delivery of supplies or completion certificates in relation to a contract for services or works under the contract;
- (f) a copy of all invoices for works, services or supplies including work papers verifying the accuracy of payments claimed and details of the actual payment authorised by a contract manager to be provided by the Finance Unit in collaboration with the contract manager;
- (g) a copy of cumulative payment worksheets evidencing management of all payments made;
- (h) all correspondence between CCARDESA and the service provider; and
- (i) a copy of all submissions to the procurements committee and decisions related to the contract management including, but not limited to, the approval of contract amendments.

6.10 Bid Opening

1. Under open and restricted tendering processes, the solicitation document shall contain instructions to bidders regarding the:
 - (a) date and time of the bid opening;
 - (b) precise location of the bid opening; and
 - (c) information to be read out and recorded at the bid opening. The information to be read out at the bid opening shall be in accordance with the solicitation document and shall include:
 - (i) the name of the bidder;
 - (ii) the presence or absence of a bid security and the form or amount of any bid security, where such bid security was requested in the solicitation document;
 - (iii) the total price of the bid, including the currency and amount;
 - (iv) the technical score obtained by the bid under one stage-two envelope, two stage-two envelope or two stage submission methods where applicable; and
 - (v) any other information required as may be stated in the solicitation documents.
2. Bids shall only be opened in the presence of an officer of the Procurement Unit, and where applicable, the presence of the bidders.
3. Bids submitted under one stage-two envelope, two stage-two envelope or two stage submission methods, the presence of the bidder representative shall be required during the financial bid opening meeting.

6.11 Bid Evaluation

1. Bid evaluation shall be conducted in accordance with the methodology and criteria stated in the solicitation documents and a written evaluation report shall be produced. No other methodology or criteria shall be used except that stipulated in the solicitation documents.

2. An evaluation shall be conducted by an evaluation committee, which shall prepare a report to be approved by the Procurement Committee.
3. A preliminary examination shall be conducted to determine whether a bidder is eligible and whether a bid is administratively compliant to the basic instructions and requirements of the solicitation document.
4. The preliminary examination shall be conducted on a pass or fail basis only.
5. A bid which is evaluated as 'not qualified' or 'non-compliant' as being non-responsive, shall be rejected and eliminated from further evaluation.
6. A detailed evaluation shall be conducted only on a bid which is determined to be eligible and compliant during the preliminary examination.
7. An assessment shall be conducted jointly by the evaluation committee on whether each bid conforms to all the terms and conditions of the solicitation document, without material deviation or reservation.
8. Any bid which is declared to be non-responsive shall be rejected and not evaluated further; a responsive bid shall be further subject to a financial or merit-point evaluation.
9. Once both the technical and financial bids have been evaluated, the results shall be passed on to the Procurement Committee for final decision making and both the winners and the unsuccessful bidders shall be informed of the decision.

6.12 Key Control Processes

1. Members of the bid evaluation committee shall not be members of the Procurement Committee;
2. All procurement activities shall be properly and adequately documented;
3. Bidders shall be given adequate notice to respond to a tender;
4. Procurement shall not be split or structured for the purpose of avoiding the use of a procurement method or procedure; and
5. The bid evaluation processes shall be completed within the bid validity period.

CHAPTER SEVEN

7. Procurement of Goods and Works

7.1 Policy Objectives

To ensure that;

1. There is maximum value for money through an orderly, efficient and effective execution of procurement of goods and works;
2. Transparency and competition is secured throughout the procurement process; and
3. Goods/works delivered meet the specifications agreed with the suppliers/contractors.

7.2 Policy Statement

All members of staff shall comply with the following general principles:

1. The procurement of goods/works is to be conducted with the ultimate aim of optimising value for money to the benefit of CCARDESA;
2. Clearly written specifications shall be prepared by the user department and approved by the respective budget holder; and
3. Procurement of goods/works shall be undertaken in the most transparent manner that is consistent the CCARDESA procurement guidelines.

7.3 Key Documents

Key documents and related Policies and Procedures include:

- (i) Procurement Requisition Form;
- (ii) Approved Procurement Plan;
- (iii) Bidding Documents;
- (iv) Technical Specifications;
- (v) Evaluation Report; and
- (vi) Executed Contract with supplier/contractor.

7.4 Responsibility

- (i) Executive Director
- (ii) Procurement Unit
- (iii) Finance Manager
- (iv) User Unit/Budget Holder

7.5 Procedures

This section addresses the rules, tendering and contracting procedures for the procurement of goods and works as outlined in the Summary of Procurement Methods, Steps and Durations shown in **Annex A**.

- 1 Goods contracts involve the design, manufacture, delivery to place of destination, assembly and commissioning of goods together with other tasks specified in the contract, for example, maintenance, repairs, installation and after sales services.
- 2 Works contracts refer to agreements entered into on construction services and have their object as either the execution, or both the execution and design of works related to building or civil engineering.

7.6 Contracting Method and Competition

- 1 To the maximum extent practicable, all contracts for goods and works shall be made on a competitive basis.
- 2 Contracts for goods and works are to be awarded on the basis of formal competitive tenders. Formal competitive tender procedures normally include public advertising for pre-qualification, issuance of Invitation for Bids (IFB), public opening of sealed bids, and evaluation of bids. The contract is awarded to the bidder whose bid meets the minimum technical specifications and is lowest in price.

7.7 Notification and Advertising

Solicitation of potential bidders is effected through widely circulated advertising. This is accomplished by publishing a notice of the availability of pre-qualification documents or, if pre-qualification is not used, IFB.

7.8 Publication of the Award of Contract

CCARDESA shall publish information on UNDB online for all contracts under ICB and LIB, direct contracts, and in the National press for all contracts under NCB, including those awarded under Framework Agreements, and small value direct contracts. Such publication shall be within two weeks of receiving the Bank's no objection to the award recommendation for contracts subject to the Bank's prior review, and within two weeks of the CCARDESA's award decision for contracts subject to the Bank's post review. Publications shall include the bid, lot numbers, and the following information, as relevant and applicable for each method:

- (i) the name of each bidder that submitted a bid;
- (ii) bid prices as read out at bid opening;
- (iii) evaluated prices of each bid that was evaluated;
- (iv) the names of bidders whose bids were either rejected as nonresponsive or not meeting qualification criteria, or not evaluated, with the reasons thereof; and
- (v) the name of the winning bidder, the final total contract price, as well as the duration and summary scope of the contract.

The Bank will arrange the publication of the awards of contract under prior review on its external website upon receipt from FARA of a conformed copy of the signed contract and the performance security if applicable.

7.9 Preference

Measures shall be taken to encourage the widest participation of the natural and legal persons of SADC Member States in the procurement of contracts. To this end, where subcontracting is envisaged, preference shall be given by CCARDESA to natural persons, companies and firms of SADC Member States capable of performing the contract required on similar terms, subject to the specified thresholds.

7.10 Specifications

Specifications referred to in the tender documents shall promote and allow the broadest possible competition, while assuring the satisfactory delivery of all requirements for the goods/works under procurement.

The use of brand names and similar references should be avoided. If it is necessary to quote a brand name or a particular manufacturer to clarify an otherwise incomplete specification, the words 'or equivalent' shall be added after such reference.

1. The procurement of goods/works shall commence with the preparation of a detailed specifications by the user unit.
2. The specification shall contain a complete, precise and unambiguous description of the goods/works required and shall include, where appropriate:
 - (i) a clear definition of the scope of the proposed purchase;
 - (ii) the purpose and objectives of the proposed purchase;
 - (iii) a full description of the requirement;
 - (iv) a generic specification to an appropriate level of detail;
 - (v) a functional description of the qualities, including any environmental or safety features required of the subject of the procurement;
 - (vi) performance parameters, including outputs, timescales, and any indicators or criteria by which the satisfactory performance of the specification can be judged;
 - (vii) process and materials descriptions;
 - (viii) dimensions, symbols, terminology, language, packaging, marking and labelling requirements; and
 - (ix) the relevant industry standard.
3. After preparing the specifications, the user department shall prepare a purchase requisition that shall be approved by the respective budget holder. The specification shall be attached to the requisition.
4. The purchase requisition shall be forwarded to the Procurement Unit, who shall review and confirm whether the request is in the procurement plan and is properly budgeted for.

7.11 Open Tendering Procedures

All goods/works contracts, subject to the prescribed thresholds, must be awarded by open tendering procedure or need to be preceded by a pre-qualification. Formal competitive tender procedures normally include public advertising for pre-qualification, issuance of IFB in the format provided as **Annex E**, public opening of sealed bids, and evaluation of bids. The contract is awarded to the bidder with the technically responsive and lowest financial offer.

The procurement process for goods and works under open tendering procedures shall involve the following steps:

1. Preparation of technical requirements/specifications, by the user units, by defining the required supplies or works, minimum quality standards and delivery dates.
2. Preparation of pre-qualification documents (where applicable)
3. Advertisement of pre-qualification (where applicable)
4. Submission and evaluation of qualification documents and short-listing of participants (where applicable).
5. Preparation of the tender document comprising:
 - (i) Letter of Invitation;
 - (ii) Instructions to Bidders;
 - (iii) Bid Data Sheet;
 - (iv) Technical Specifications;
 - (v) Bills of Quantities (BOQ) for works contracts;
 - (vi) Price Schedule;
 - (vii) Delivery Schedule;
 - (viii) General Conditions of Contract;
 - (ix) Special Conditions of Contract;
 - (x) Draft Contract; and
 - (xi) Sample Forms;
6. Advertising;
7. Submission and opening of bids;
8. Evaluation of the bids and subsequent reporting on the evaluation process; and
9. Award of contract to the successful bidder.

7.12 Selective Tendering Procedures

The procurement process for goods and works under selective tendering procedures shall involve the following steps:

1. Preparation of technical requirements/specifications by defining the required supplies/ works, minimum quality standards and delivery dates
2. Preparation of the tender document comprising:

- (i) Letter of Invitation;
 - (ii) Instructions to Bidders;
 - (iii) Bid Data Sheet;
 - (iv) Technical Specifications;
 - (v) Bills of Quantities (BOQ) for works contracts;
 - (vi) Price Schedule;
 - (vii) Delivery Schedule;
 - (viii) General Conditions of Contract;
 - (ix) Special Conditions of Contract;
 - (x) Draft Contract; and
 - (xi) Sample Forms;
3. Submission and opening of bids.
 4. Evaluation of the bids and subsequent reporting on the evaluation process.
 5. Award of contract to the successful bidder.

7.13 Instructions to bidders

The instruction to bidders shall include the following:

1. permission, if any, to submit alternative bids (within the stipulated time), including alternative materials or design;
2. a requirement that all bids must allow a period for acceptance of not less than the minimum period stipulated in the tender documents and that bids offering less than the minimum stipulated acceptance period will be rejected. The minimum period so stipulated should be enough for evaluation and post qualification of bids;
3. an anti-corruption policy statement;
4. the evaluation criteria;
5. bid security requirements;
6. a statement that CCARDESA may, at its option, reject all bids without liability;
7. a statement that requests for clarification of the tender document and explanations of the award should be addressed to the Procurement Unit of CCARDESA. This should be accompanied by communication instructions stipulating the name and the address of the person to whom such communication should be addressed;
8. a statement concerning late bids, modification of bids or withdrawal of bids;
9. arrangements to be made for inspecting the site and data which may affect performance of the work; and
10. if applicable, factors other than price to be considered during bid evaluation.

7.14 Conditions of Contract

The contract documents shall clearly define the scope of goods or works to be delivered, the rights and obligations of CCARDESA and of the service provider, and the functions and authority of the representative employed by CCARDESA, in the supervision and administration of the contract. In addition to the general conditions of contract, any special conditions particular to the goods or works to be procured and the location of the project shall be included. For example, required scheduling of different goods items, if goods have to be co-ordinated with goods assigned to another supplier, or where weather or other conditions requires specific scheduling. The conditions of contract shall provide a balanced allocation of risks and liabilities.

7.15 Clarifications

- 1 Bidders shall have the right to seek clarifications on any aspect of the tender and receive responses from CCARDESA in good time before the deadline for submission of bids. The clarification period shall be specified in the tender documents.
- 2 Where pre-qualification procedures are used, CCARDESA shall send its response to all participants that have received the tender document, at the same time. Under open tender procedures, CCARDESA shall maintain a register of participants who purchase tender documents, and will send a response to all registered participants.
- 3 The deadline for the submission of bids may be extended to allow bidders to take account of any changes.

7.16 Submission of bids

Bids shall be submitted and opened under procedures and conditions guaranteeing the regularity of the opening as well as the availability of information from the opening. The following procedures will apply:

1. bids must be submitted in accordance with the double sealed envelope system, that is, in an outer envelope containing a separate, sealed envelope. One envelope shall contain the original bid be clearly marked "Original" and the other shall contain copies of the bid and shall be clearly marked "Copies";
2. the Procurement Unit shall register all bids received and number them in order of receipt. The bid envelopes received shall be opened immediately after tender closing;
3. the location of the tender box where bids are to be placed will be indicated in the bid documents. Bids that cannot fit in the tender box will be hand delivered to the Procurement Unit and placed upon the tender box during tender closing;
4. any bids received by any means after the submission deadline will be treated as late bids endorsed as such, and returned to sender, unopened, regardless of the date and time of posting, delivery to couriers, or transmittal from the sender; and
5. only bids in envelopes received by the date and time indicated in the tender documents are considered for evaluation.

7.17 Bid Opening

- 1 The Procurement Unit shall manage the Bid Opening in presence of a representative of the user department. Bids shall be opened at a public meeting where all bidders or their representatives shall be allowed to attend.
- 2 All bids received shall be recorded in a protocol issued and signed by the bid opening committee.

7.17.1 Bid Opening Report

The Procurement Unit shall prepare a report on the bid opening process. This report will identify the bid details and will incorporate minutes taken of the bid opening session. Copies of the bid opening report may be made available for the participants in the tender.

7.18 Bids Evaluation

7.18.1 Evaluation Committee

- 1 The Executive Director shall appoint an Evaluation Committee which shall comprise a chairman, and a non-voting secretary among other members who possess the technical qualifications required to evaluate the bids. All voting members shall have equal voting rights. The names and functions of all those involved in the evaluation process shall be recorded in the evaluation report.
- 2 The committee members should attend all meetings and undertake the evaluation following Bid Evaluation Sequence provided in **Annex I**. Any absence must be recorded and explained in the evaluation report.
- 3 The evaluation committee members must each sign a declaration of impartiality and confidentiality.

7.18.2 Administrative Check

The evaluating committee shall check that the bids comply with the essential requirements of the tender document. A bid is deemed to comply if it satisfies all the conditions, procedures and specifications in the tender dossier without substantially departing from, or attaching restrictions with them. Substantial departures or restrictions are those which would:

- (i) affect the scope, quality or implementation of the contract,
- (ii) differ widely from the terms of the tender dossier,
- (iii) limit the rights of CCARDESA or the bidder's obligations under the contract, or
- (iv) unfairly distort competition against other bidders whose bids comply, or
- (v) leave doubts about the legal validity of the bidder's representative's authority to sign.

Failure to comply with the administrative requirements shall be considered non-responsiveness and will lead to a rejection of the bid.

7.18.3 Evaluation of Bids

1. Each committee member shall examine the bids and compare each bid in accordance with the agreed evaluation criteria in the tender document. The evaluation results shall be recorded in an Individual Evaluation sheet. Under no circumstances may the committee amend the evaluation criteria communicated to the bidders in the tender document.
2. On completion of the individual evaluation and in case of scoring, the points awarded by each voting member shall be presented and compared at a meeting of the committee. The committee will discuss each bid and the individual scores awarded. Once discussed and agreed upon, the secretary will prepare a joint committee ranking and summary comments of the committee members. The joint evaluation score sheet must be signed by all committee members.
3. Where no score table had been made part of the tender document (for example, in cases where compliance with the tender requirements is simply to be indicated as "Yes" or "No") the result of the technical evaluation per criterion will be indicated in the technical evaluation sheet as "Responsive" or "Non-responsive".
4. If there is disagreement, the arguments for and against the various opinions will be considered and the committee will try to arrive at a single agreed decision upon responsiveness and if applicable, rating and ranking. If there is not sufficient information, the committee may request clarification from the respective bidders as long as this does not compromise the fairness of the evaluation process. The committee must endeavour to reach a joint decision.
5. A bid shall be rejected at this stage if it does not meet the minimum technical requirements/ specifications specified in the tender document. Only bids that meet the minimum technical requirements shall proceed for the financial evaluation stage.

7.18.4 Commercial Evaluation of Bids

- 1 On completion of the technical evaluation of the bids, the committee checks that the bids that passed the technical evaluation contain no arithmetic errors; any errors are corrected without prejudice to the bidder, whereby in case of a difference between the indicated total price and the multiplication of the quantity and the unit price, the unit price prevails.
- 2 The committee shall then analyse the *bid* prices with the objective of identifying the lowest bid price. Comparison of the bids shall take into account delivery schedules and payment conditions.

7.18.5 Evaluation Report

- 1 The Evaluation Report will include details on the bid opening, evaluation and recommendation for award. In addition, the individual evaluation (score) sheets and committee summary will be annexed to the report. The report states all considerations that have led the committee to make a recommendation as to which bidder to award. For example, why bidders were deemed non-compliant and how

they fell short of the stipulated technical specifications and/or other requirements as per the tender document. The report must also set forth the specific reasons on which the recommendation is based for the award of the contract.

- 2 The report shall be formally submitted to the Procurement Committee for approval and award.

7.18.6 Request for Quotations

For goods or works contracts of the amounts specified in the thresholds, CCARDESA may award contracts using the RFQ procedures summarised below:

1. Preparation of technical requirements.
2. Selection of at least three (3) participants from a short list (the data base on suppliers).
3. Direct request to the pre-selected participants to submit a bid.
4. Bid/proposal evaluation.
5. Contract negotiation and award.

Bids must reach CCARDESA at the address given in the letter of invitation and by the date and time specified. The chosen candidates must be allowed at **least 7 days** from the dispatch of the request for quotations.

7.18.7 Contracting Procedures

7.18.7.1 Contractor Selection - Overview

1. Once a supplier/contractor has been selected and agreed upon, the Legal Office shall prepare contracts using the latest updated template for contracting.
2. Separate contracts must be prepared for each supplier/contractor.
3. The *draft contract(s)* shall then be submitted to the Finance Unit and Procurement Unit for review. The Finance Unit shall confirm that all the necessary information has been included in the contract. This will include confirmation that the agreed specifications have been included in the contract, funds are available and that the payment and taxes clauses are clear.
4. The *final contract(s)* shall then be forwarded to the Executive Director for signing and afterwards to the relevant respective supplier/contractor for signature.
5. It is the responsibility of the Legal Office to ensure that the supplier/contractor has read and understood the contract clauses and that the supplier is expected to adhere to them. Any queries that are raised by the supplier/contractor, guidance shall be sought from the Procurement Unit

6. The signed contract shall be filed and a copy forwarded to the Finance Unit, Budget Holder, the Procurement Unit and the contract manager.

7.18.7.2 Notification of Award of Contract

1. After the Procurement Committees' approval of the recommendation for award, all bidders shall be notified of the outcome of the tender simultaneously in writing. The notification to unsuccessful bidders shall indicate the successful bidder's name and the total bid price. It shall also specify the time within which appeals must be made.
2. The notification of award to the successful bidder shall specify the time within which the contract must be signed.

7.18.7.3 Publication of Awards of Contracts

CCARDESA shall publish information on UNDB online for all contracts when the short list included any foreign firm and all single source selection contracts awarded to foreign firms, and in the National press all contracts where the short list comprises only National firms and all single source selection contracts awarded to National firms. Such publication shall be within two weeks after receiving the Bank's no objection for award of the contract as per paragraphs 2(h) and 2(j) of this Appendix for contracts subject to the Bank's prior review, and within two weeks of successful negotiations with the selected firm for contracts subject to the Bank's post review. Publications shall include the following information as relevant and applicable for each method:

- (i) the names of all consultants in the short list, specifying those that submitted proposals;
- (ii) the overall technical scores and scores assigned for each criterion and sub-criterion to each consultant;
- (iii) the prices offered by each consultant as read out and as they have been evaluated;
- (iv) the final combined scores and the final ranking of the consultants;
- (v) the name of the successful consultant and the total price, duration, and summary scope of the contract. The same information shall be sent to all consultants who have submitted proposals.

The Bank will arrange the publication of the award of contracts under prior review on its external web-site upon receipt from the Borrower of a conformed copy of the signed contract in accordance with sub-paragraph 2(i) above.

7.18.7.4 Signing of the Contract

1. After the appeals period has passed and once the contract is signed by the Executive Director, the contract shall be sent to the successful bidder, who must countersign it within a specified period upon receipt and return it with the performance guarantee (where applicable)

2. The contract must be dated. It shall not enter into force before the date on which it is signed by the parties. The parties shall be bound by the contract from the moment it is countersigned, hence the importance of carefully selecting the date.

7.18.7.5 Contract Administration

- 1 CCARDESA through its representatives (the Procurement Unit and the respective User Units) shall be responsible for ensuring that the contractor/supplier performs in accordance with the terms of the contract. The User Units shall make certifications in order for the contractor/supplier to be paid.
- 2 However, CCARDESA should be aware of supplier/contractor performance at all times. Any problems or delays should be analysed and appropriate action taken as soon as possible.

7.18.7.6 Contract Closeout

The contract shall be closed out in an orderly fashion upon satisfactory completion by the supplier/contractor. Final payment to the supplier/contractor shall be withheld until the supplier/contractor provides evidence that it has met all of its obligations under the contract and all required certifications (including acceptance of the deliveries by the relevant CCARDESA user units) have been executed.

7.18.7.7 Appeals

Any bidder who is dissatisfied with the award or decision to award a contract shall submit such protest in writing to the Executive Director no later than ten days after the notification of award or the announcement of the decision to award, whichever occurs first. The written protest shall include the basis for the protest and the relief sought. The Executive Director shall issue a decision in writing within ten days after receipt of the appeal stating the reasons for the action taken. This decision shall be final unless the bidder appeals within ten days of the written decision by instituting legal action in a court of law with relevant jurisdiction.

7.19 Framework Contracts

1. This method of procurement shall be in accordance with: Guidelines – Procurement of Goods, Works, and Non-Consulting Services Under IBRD Loans and IDA Credits & Grants By World Bank Borrowers-January 2011.
2. A Framework Agreement (FA) is a long-term agreement with suppliers, contractors and providers of non-consulting services which sets out terms and conditions under which specific procurements (call-offs) can be made throughout the term of the agreement. FAs are generally based on prices that are either pre-agreed, or determined at the call-off stage through competition or a process allowing their revision without further competition. FAs may be permitted as an alternative to the Shopping and NCB methods for:

- (i) goods that can be procured off-the-shelf, or are of common use with standard specifications;
- (ii) non-consulting services that are of a simple and non-complex nature and may be required from time to time by the same agency (or multiple agencies) of the Borrower; or
- (iii) small value contracts for works under emergency operations.

The Borrower shall submit to the Bank for its no objection the circumstances and justification for the use of an FA, the particular approach and model adopted, the procedures for selection and award, and the terms and conditions of the contracts. FAs shall not restrict foreign competition, and should be limited to a maximum duration of 3 (three) years. FA procedures applicable to the project are those of the Borrowers that have been deemed acceptable by the Bank, and shall be described in the Loan Agreement. Maximum aggregate amounts for the use of an FA shall be set in the procurement plan in accordance with risks and in no case higher than the applicable NCB maximum aggregate amounts, and shall be agreed with the Bank. FAs shall follow all guiding principles and procedures of NCB, including but not limited to the procedures for advertisement, fair and open competition, an effective and independent protest mechanism, and transparent bid evaluation and selection criteria.

7.20 Key Control Processes

1. All procurements of goods and services shall be handled by the Procurement Unit and approved by the Executive Director or the Procurement Committee, depending on the value.
2. Clearly written *specifications* shall be prepared by the user department and approved by the contracts committee and these shall together with the evaluation criteria, form the basis for the selection of suppliers.
3. Contracts shall be prepared for each supplier/contractor and these shall be reviewed and approved before signing by the respective parties.

CHAPTER EIGHT

8. PROCUREMENT OF CONSULTING SERVICES

8.1 Policy Objectives

To ensure that;

1. There is maximum value for money through an orderly, efficient and effective execution of procurement of services;
2. Transparency and competition is secured throughout the selection process of consulting services;
3. Clearly written terms of references (ToR) to determine the scope of work for the consultants are prepared;
4. Consultants who best fit the requirements of the ToRs are selected; and
5. Consultancy services are delivered at the highest level of standard and quality in a timely manner.

8.2 Policy Statement

All members of staff shall comply with the following general principles:

1. The procurement of consulting services shall be conducted in accordance with CCARDESA procurement guidelines with the ultimate aim of optimising value for money; and
2. Clearly written terms of references (ToR) to determine the scope of work for the consultants shall be prepared for every consultancy to be procured.

8.3 Key Documents

Key documents shall include:

- (i) Procurement Requisition Form
- (ii) Terms of Reference (ToR)
- (iii) Checklist for the evaluation of consultants
- (iv) Evaluation report
- (v) Schedule of rates payable to consultants
- (vi) Schedule of consultants
- (vii) Consultancy contracts

8.4 Responsibility

- (i) Executive Director
- (ii) Procurement Unit
- (iii) Finance Manager
- (iv) User Unit/Budget Holder

8.5 Procedures

- 1 Service contracts involve services provided for the identification and preparation of projects, feasibility studies, research, maintenance, monitoring and evaluations, audits among others. Service contracts shall also include the provision of technical advisory services, where a service provider is to provide advisory role, to manage or supervise a project.
- 2 CCARDESA engages consulting services that are considered necessary to aid the implementation and achievement of the programme/project objectives. These are normally engaged to:
 - (i) Provide additional skills, expertise, guidance and support to the programmes;
 - (ii) Build and strengthen capacity in terms of programme implementation;
 - (iii) Assist in the documentation of programmes implementation; and
 - (iv) Temporarily fill essential staffing gaps.
- 3 The following procedures shall be followed in the selection and contracting of consultants as outlined in **Annex A** and summarised in **Annex J**.

8.5.1 Consultants Database

- 1 The programmes operated by CCARDESA are considered to be specialised areas of work with a limited resources base. Consequently a database of consultancy service providers in these specialist areas shall be maintained. The consultancy service providers may include individuals, companies, partnerships, NGOs and other institutions.
- 2 The Procurement Unit shall have the responsibility of maintaining the consultants' database based on input from programme staff.
- 3 It is the responsibility of the budget holder to ensure that they provide sufficient input on the quality of the work produced by the Consultants engaged. This shall be submitted to the Procurement Unit for purposes of updating the database.

8.5.2 The Selection Process

The selection process shall include the following steps:

- a) Preparation of the TOR;
- b) Preparation of cost estimate and the budget;
- c) Advertising;
- d) Preparation of the short list of consultants;

- e) Preparation and issuance of the RFP [which should include: the Letter of Invitation (LOI); Instructions to Consultants (ITC); the TOR and the proposed draft contract];
- f) Receipt of proposals;
- g) Evaluation of technical proposals: consideration of quality;
- h) Public opening of financial proposals;
- i) Evaluation of financial proposal;
- j) Final evaluation of quality and cost; and
- k) Negotiations and award of the contract to the selected firm

The User units shall identify the need for engaging consultant(s). This shall be supported by the draft Terms of reference (*ToR*) indicating the budget from which the funding is to be obtained and a recommendation on the selection procedure of the consultant(s). The *ToR* will determine the Scope of work for the consultant and shall be prepared by staffs that are suitably qualified and well experienced in the area of the assignment. The *ToR* shall be compatible with the approved budget.

8.5.3 Terms of Reference

- 1 The TOR give instructions and guidance to the participants at the stage of Proposal about the nature of the assignment they will need to submit a proposal for and to serve as the consultant's mandate during project implementation.
- 2 The purpose of the TOR is to outline the work that has to be done by the consultant. It is, therefore, essential that the TOR is comprehensive, easy to understand, complete and clear. TORs are a pre-requisite for mutually agreeable contract.
- 3 The User Units of CCARDESA shall prepare the TORs. The Program Manager within the User Unit shall consult all parties involved in the proposed project to ensure the TORs are comprehensive and adequately address the needs of the proposed project. The terms of reference shall formally be approved by the Executive Director in consultation with the unit heads.
- 4 Full harmonization between the objectives, tasks, deliverables and time schedule should be both prioritized and implemented.
- 5 The scope of the services described in the TOR shall be compatible with the available budget.
- 6 The TORs shall at least include the following:
 - (i) introduction on the project;
 - (ii) description of the services;
 - (iii) objectives of the assignment;
 - (iv) organisation/methodology of the task;
 - (v) work to be performed by the Consultant;
 - (vi) List of deliverables;
 - (vii) Timeframe and budget (Estimated number of days);

- (viii) Experience & qualifications required of the consultant; and
- (ix) reporting requirements.

8.5.4 Tender Documents

The tender document must contain all the provisions and information that bidders require to prepare responsive and competitive proposals. The tender document must at least contain the following sub-sections:

8.5.4.1 Request for Proposals

The RFP shall indicate the type of service that CCARDESA is seeking; and it shall also include a list of participants who have been requested for proposals; the practical arrangements for submission (i.e. number of copies, submission deadlines, submission location, tender opening session date) and the required validity of the proposals, as well as the evaluation criteria. In addition, the RFP should state the language and currency of the proposal and include the relevant legal provisions (e.g. statement on conflict of interest, ethical procedures among others).

8.5.4.2 Terms of Reference

The TOR shall contain all necessary information to help the participants prepare responsive proposals.

8.5.4.3 Comments on the Terms of Reference

Bidders shall be requested to make comments on the terms of reference.

8.5.4.4 Draft Contract and Annexes

The tender documents shall also include a draft contract form and also specify the tax and custom arrangements. Annexes to the contract shall include the general conditions for services contracts; budget break down; TORs for the assignment; an outline of the approach and methodology proposed by the consultant and curricula vitae of key staff.

8.5.4.5 Advertising

- 1 To ensure wide participation and encourage competition, CCARDESA shall publicly advertise opportunities for consulting services. Where applicable, the requirements of the tender shall be advertised in at least one newspaper of wide circulation.
- 2 The tender document may be sent by fax or electronic mail and must state the subject of the contract and all the information necessary to guide the prospective service providers.
- 3 The time allowed for the preparation and submission of proposals must be sufficient to permit proper competition.

8.5.4.6 Clarifications

Participants shall have the right to seek clarifications on any aspect of the tender and receive responses from CCARDESA in good time before the deadline for submission of proposals. The clarification period shall be specified in the Request for Proposal, CCARDESA shall send its response to all participants at the same time.

8.5.4.7 Submission of Proposals

- 1 Proposals shall be submitted and opened under procedures and conditions guaranteeing the regularity of the procedure as well as the availability of information from the opening. The following procedures shall apply:
- 2 Proposals must be submitted in accordance with the double envelope system, that is, in a sealed outer envelope containing two separate, sealed envelopes. One inner envelope shall contain the technical proposal and shall be clearly marked "Technical Proposal" and the other shall contain the financial offer and shall be clearly marked "Financial Proposal". If more than one copy of the proposal is required, the envelopes shall also bear the marking "Original" and "Copy". The outer envelope must be marked "Proposal. Do not open before (submission deadline)".
- 3 The procurement officer shall register all proposals received and number them in order of receipt. The proposal envelopes must remain sealed and kept in a safe place until they are opened in the proposal opening session.
- 4 Where applicable, the location of the tender box where proposals are to be placed will be indicated in the RFP. Proposals that cannot fit in the tender box will be hand delivered on or before the submission deadline to the Procurement Unit.
- 5 Any proposals received by any means after the proposal submission deadline will be treated as late proposals and endorsed as such, regardless of the date and time of posting, delivery to couriers, or transmittal from the sender. Late proposals shall be stamped or endorsed 'Late proposal' and returned unopened to the bidder
- 6 Only proposals in envelopes received by the date and time indicated in the RFP are considered for evaluation.

8.5.5 Proposal Opening

- 1 The Procurement Unit shall constitute the proposal opening committee. It shall manage the Proposal Opening process in the presence of a representative of the procurement Committee and user department, and where applicable, representatives of the bidders.
- 2 Proposals shall be opened in a meeting and all proposals received shall be recorded in a protocol issued and signed by the proposal opening committee members. Only envelopes containing the Technical proposals shall be opened and presented for Evaluation. After the technical

evaluation is concluded, financial proposals of the qualifying applicants shall be opened. Financial proposals for applicants, who fail to qualify under technical evaluation, shall be returned unopened after the award of contract.

8.5.5.1 Proposal Opening Report

The committee shall prepare a report on the proposal opening process. This report shall identify the proposal details and shall incorporate minutes taken of the proposal opening session.

8.5.6 Proposal Evaluation, Reporting and Notification

8.5.6.1 Evaluation Committee

- 1 The Procurement Unit in consultation with the User Unit shall propose an evaluation committee to the Executive Director for approval. The committee members should attend all meetings. Any absence must be recorded and explained in the evaluation report.
- 2 The evaluation committee members shall each sign a declaration of impartiality and confidentiality.
- 3 Each committee member will be provided with a copy of the Technical Proposal, while the envelopes containing the Financial Proposals are left unopened and locked away in a secure place.

8.5.6.2 Evaluation of Technical Proposals

- 1 Each committee members shall independently examine the Technical Proposals and award each proposal in accordance with the agreed evaluation criteria in the RFP. The criteria to be used shall be guided by the Table 4:
- 2 The award results shall be recorded in Individual Evaluation score sheets. Under no circumstances may the committee amend the evaluation criteria communicated to the participants in the RFP.
- 3 The committee members shall check the proposals for compliance with the instructions on eligibility, forms, authorisations and signatures given in the tender documents.
- 4 Failure to comply with the administrative requirements shall be considered non-compliance and shall lead to an exclusion of the proposal from further evaluation.

Table 4: Indicative Weighting of Evaluation Criteria

Specific relevant experience:	5 to 10 points
Response to the TOR and Methodology Proposed:	20 to 50 points
Key personnel:	30 to 60 points
Training:	0 to 10 points
Participation by nationals:	0 to 10 points
Total:	100 points

- 5 On completion of the individual evaluation, the verdicts on non-compliance or the points awarded by each voting member shall be presented at a meeting of the committee. The committee shall discuss each technical proposal and the individual non-compliance or the scores awarded. Once discussed and agreed upon, the Secretary shall prepare a joint committee ranking and summary comments of the committee members. The joint evaluation score sheet shall be signed by all committee members.
- 6 If there is a disagreement, the arguments for and against the various opinions shall be considered and the committee shall try to arrive at a common agreement upon compliance, rating and ranking. If there is not sufficient information, the committee may request the participants to submit additional information as long as this does not compromise the fairness of the evaluation process. The committee must endeavour to reach a joint decision.
- 7 A Technical Proposal shall be rejected at this stage if it is not compliant to the formal requirements, or is not responsive to the TORs or it fails to achieve a minimum technical score as specified in the RFP. Only proposals that meet the minimum technical score shall proceed for the financial evaluation stage. The different bidders shall be informed of the status of their proposals and those that meet the minimum technical score invited for financial bid opening. The other financial proposals shall be kept unopened.

8.5.6.3. Evaluation of Financial Proposals

- 1 On completion of the evaluation of the Technical Proposals, the envelopes containing Financial Proposals from participants whose technical proposals have passed the technical evaluation shall be opened, in the presence of the bidders that met the minimum technical score indicated in the bid solicitation documents. All pages of the original Financial Proposals, which bear individual entries, shall be initialled by the committee chairman and secretary.

- 2 Financial bids of those bidders that do not meet the minimum technical score required shall be returned unopened to the respective bidders.
- 3 Comparison of the financial proposals shall take into account all contract expenses with the exception of reimbursable expenses. The financial proposals shall then be ranked, with the lowest financial proposal receiving the highest score.

8.5.6.4. Combined Scores

The total score shall be obtained by weighting the scores awarded to the Technical and the Financial Proposals and adding them. The weighting process shall adhere to the principles set out in the RFP. The contract shall be awarded to the tender achieving the highest overall score or as per the agreed selection criteria.

8.5.6.5. Evaluation Report

- 1 The committee shall then prepare the evaluation report and invite the bidder whose proposal was evaluated as being the highest ranking for negotiations. The Evaluation Report will include details on the proposal opening, evaluation and recommendation for invitation for negotiation. In addition, the individual evaluation score sheets and committee summary will be annexed to the report. The report shall state all considerations that lead the committee to make a recommendation as to which firm to invite for negotiations. It shall also list any special aspects which need to be negotiated.
- 2 The report shall then be formally submitted to the Procurement Committee for approval and award.

8.5.7. Contracting Procedures

8.5.7.1. Contract Preparation - Negotiations

- 1 In the course of contracting the successful applicant, CCARDESA shall invite the successful bidder for a meeting in order to discuss and agree on issues related to the contract, on condition that such discussions shall lead to substantial change of the award considerations and decisions.
- 2 Negotiations may include discussions of the TOR, methodology, staffing, tax liability and special conditions of the contract. These discussions shall not alter the original TOR, or the terms of the contract, lest the quality of the services, its cost, and credibility of the initial evaluation be compromised. The final TOR and the agreed methodology shall be incorporated as an attachment to the contract. Proposed unit rates shall not be subject to negotiation, since these will have been the major factor in the financial evaluation.
- 3 If the negotiations fail to result in an acceptable contract to both parties, CCARDESA shall terminate the discussions and initiate negotiations

with the next best ranked applicant. CCARDESA shall not re-open the earlier negotiations once negotiations commence with the next ranked applicant.

8.5.7.2. Notification of Award of Contract

- 1 Before the period of validity of proposals expires, CCARDESA shall notify the bidders in writing which proposal has been evaluated to be the successful one.
- 2 The notification of award to the unsuccessful bidders shall specify the time within which an appeal must be lodged.

8.5.7.3. Contractor Selection

1. Once a consultant has been selected and agreed upon together with the fee rate payable, the Legal Affairs Officer shall prepare contracts by using the latest updated template for contracting.
2. Separate contracts must be prepared for each consultant.
3. The *draft contract(s)* shall then be submitted to the finance unit for review. The finance unit shall confirm that all the necessary information has been included in the contract. This will include confirmation that fee rates used are current and agree to the funding source rates, funds are available and that the payment and taxes clauses are clear.
4. The *final contract(s)* shall then be forwarded to the Executive Director for signing and afterwards to the relevant respective consultant for signature.
5. It is the responsibility of the Legal Affairs Officer with assistance from the Procurement Unit to ensure that the consultant has read and understood the contract clauses and that the consultant is expected to adhere to them. For any queries that are raised by the consultant, guidance shall be sought from the Deputy Executive Director.
6. The signed contract shall be filed and a copy forwarded to finance unit, budget holder and the contract manager.

8.5.7.4. Signing of the Contract

- 1 The contract shall be executed in triplicate copies. Once signed by Executive Director the contract shall be sent to the successful bidder, who shall countersign it within a specified period upon receipt and return two copies to the Executive Director
- 2 The contract shall be dated. It shall enter into force on the date specified therein.

8.5.7.5. Contract Administration

- 1 CCARDESA through the User Units and Procurement Unit shall be responsible for ensuring that the consultant performs in accordance with

the terms of the contract. The User Unit may have to make certifications in order for the consultant to be paid.

- 2 However, CCARDESA shall put measure in place to monitor contract implementation and consultants' performance at all time. Any problems or delays should be analysed and appropriate action taken as soon as possible.

8.5.7.6. Contract Closeout

The contract should be closed out in an orderly fashion upon satisfactory completion of the services by the consultant. Final payment to the consultant shall be withheld until the consultant provides evidence that it has met all of its obligations under the contract and all required certifications (including acceptance of the services by the relevant User Unit) have been executed.

8.5.7.7. Appeals

- 1 Any bidder who is dissatisfied with the decision to award a contract shall submit such protest in writing to the Executive Director no later than ten days after the notification of award. The written protest shall include the basis for the protest and the relief sought. The Executive Director shall issue a decision in writing within ten days after receipt of the appeal stating the reasons for the action taken. This decision shall be final unless the bidder appeals within ten days of the written decision by instituting legal action in a court of law of relevant jurisdiction.
- 2 The Executive Director may decide to continue with the contracting while the case is being heard in the court of law, or to hold proceedings until the court's verdict is announced.

8.5.8. Applicable Selection Methods

There are a number of methods of selection that shall be used in the selection of consultants. This shall depend on the nature, size and budget for the assignment. The following selection methods may be used by CCARDESA where appropriate: The proposal process detailed in the section above shall be applicable with appropriate modifications.

- (i) *Quality and Cost-Based Selection (QCBS)*. QCBS is the preferred selection and uses a competitive process among short-listed firms that takes into account the quality of the proposal and the cost of the services in the selection of the successful firm. Cost as a factor of selection shall be used judiciously. The relative weight to be given to the quality and cost shall be determined for each case depending on the nature of the assignment. The evaluation of the proposals shall be carried out in two stages: first the quality, and then the cost. Evaluators of technical proposals shall not have access to the financial proposals until the technical evaluation is concluded. Financial proposals shall be opened only thereafter. The evaluation shall be carried out in full conformity with the provisions of the RFP/TOR
- (ii) *Quality Based Selection (QBS)*- QBS is appropriate for the following types of assignments:

- complex or highly specialized assignments for which it is difficult to define precise TOR and the required input from the consultants, and for which the client expects the consultants to demonstrate innovation in their proposals (for example, country economic or sector studies, multisectoral feasibility studies, design of a hazardous waste remediation plant or of an urban master plan, financial sector reforms);
- assignments that have a high downstream impact and in which the objective is to have the best experts (for example, feasibility and structural engineering design of such major infrastructure as large dams, policy studies of national significance, management studies of large government agencies); and
- assignments that can be carried out in substantially different ways, such that proposals will not be comparable (for example, management advice, and sector and policy studies in which the value of the services depends on the quality of the analysis).

In QBS, the RFP may request submission of a technical proposal only (without the financial proposal), or request submission of both technical and financial proposals at the same time, but in separate envelopes (two-envelope system). The RFP shall provide either the estimated budget or the estimated number of key staff time, specifying that this information is given as an indication only and that consultants shall be free to propose their own estimates.

If technical proposals alone were invited, after evaluating the technical proposals using the same methodology as in QCBS, CCARDESA shall ask the consultant with the highest ranked technical proposal to submit a detailed financial proposal.

- (iii) *Least Cost Selection (LCS)* may be used for assignments of a standard and routine nature such as auditing and engineering services of no complex nature. Under this method, a “minimum” qualifying mark for the “quality” is established. Proposals, to be submitted in two envelopes, are invited from a short list. Technical proposals are opened first and evaluated. Those securing less than the minimum qualifying mark are rejected, and the financial proposals of the rest are opened in public. The firm with the lowest price shall then be selected
- (iv) *Fixed Budget Selection (FBS)* This method is appropriate only when the assignment is simple and can be precisely defined and when the budget is fixed. The RFP shall indicate the available budget and request the consultants to provide their best technical and financial proposals in separate envelopes, within the budget. TOR should be particularly well prepared to ensure that the budget is sufficient for the consultants to perform the expected tasks. Evaluation of all technical proposals shall be carried out first as in the QCBS method. Then the price proposals shall be opened in public and prices shall be read out aloud. Proposals that exceed the indicated budget shall be rejected. The Consultant who has submitted the highest ranked technical proposal among the rest shall be selected and invited to negotiate a contract.
- (v) *Consultants Qualifications (CQS)* may be used for assignments for which the need for proposing and evaluating competitive proposals would not be justified. In such cases, the user department/programme shall prepare the

TOR, request expressions of interest and information on the consultants' experience and competence relevant to the assignment, establish a short list, and select the firm with the most appropriate qualifications and references. The selected firm shall be asked to submit a combined technical-financial proposal and then be invited to negotiate the contract.

- (vi) *Single-Source Selection* may be used for contracts only for very rare situations. Single-source selection may be appropriate only if it presents a clear advantage over competition: (a) for tasks that represent a natural continuation of previous work carried out by the firm, (b) in emergency cases, such as in response to disasters and for consulting services required during the period of time immediately following the emergency, (c) for very small assignments, or (d) when only one firm is qualified or has experience of exceptional worth for the assignment
- (vii) *Selection of Individual Consultants*. Individual consultants are engaged on assignments for which:
 - The experience and qualifications of the individual are predominant considerations;
 - No support from a home office is needed; and/or
 - Teamwork multidisciplinary approach is not necessary.

CCARDESA shall first prepare a ToR for the consultant assignment including the scope of work and its estimated cost. Selection is done by comparing the qualifications of at least three candidates among those who have expressed interest in the assignment or have been approached directly.

Individuals considered for comparison of qualifications shall all meet the minimum relevant qualifications and those selected to be employed by CCARDESA shall be the best qualified and shall be fully capable of carrying out the services. Capability is judged on the basis of academic background, experience, and, as appropriate, knowledge of the local conditions in Southern Africa, such as culture, administrative systems and government organizations. From time to time, permanent staff or associates of consulting firms may be available as individual consultants. In such cases, the conflict of interest provisions described in this Manual shall apply to the parent firm.

8.6. Assistance to Consultants

1. CCARDESA shall ensure that the Consultants are provided with the appropriate assistance to facilitate their work while in the field. This will normally be in the form of:
 - (i) Notifying the relevant people or Implementing partners of the employment of the consultants and the nature of their work; and
 - (ii) Provide the consultants with letters of introduction where necessary;
2. The budget holder and the Contract manager shall be responsible for providing the relevant assistance.
3. The consultants shall not be provided with the facilities outlined below since these are incorporated in the daily rates paid to them:

- (i) CCARDESA's laptops or access to computer equipment;
 - (ii) Transport arrangements;
 - (iii) Office facilities e.g. stationery, printing and photocopying; and
 - (iv) Secretarial facilities.
4. Any requests for the services or facilities by the Consultants shall be approved by the Executive Director as these have additional cost implications to CCARDESA.
 5. In the event of uncertainty regarding consulting services, guidance and advice must be sought from the Procurement Unit.

8.7. Key Control Processes

1. All procurements for consulting services shall be subject to approval by the Executive Director after recommendations by the Procurement Unit.
2. The User Unit shall prepare clear written *Terms of Reference (ToR)*; these together with evaluation criteria shall be approved by the Executive Director and shall form the basis for the selection of consultants.
3. A contract shall be prepared for each consultant, which shall be reviewed and approved before signing by the respective parties.

CHAPTER NINE

9. CONTRACT MANAGEMENT

9.1. Policy Objectives

To ensure that;

1. Contracts are executed in accordance with the agreed terms;
2. Maximum value for money is obtained by CCARDESA from all procurements; and
3. There is an orderly, efficient and effective execution of contracts.

9.2. Policy Statement

All members of staff shall comply with the following general principles: “contract managers” shall be appointed by the Executive Director to ensure that the execution of the contract is in accordance with the agreed terms.

9.3. Key Documents

Key documents shall include:

- (i) Annual Work Plans;
- (ii) Contract for the procurement activity;
- (iii) Grant Agreement with financier organisation;
- (iv) Operational Work Plan; and
- (v) Strategic Plan.

9.4. Responsibility

- (i) Procurement Officer
- (ii) User Unit/Budget Holder
- (iii) Legal Affairs Officer

9.5. Procedures

1. After a contract has been placed, contract management, except the capacity to amend or terminate, shall pass from a procuring and contracting unit to a user unit/budget holder. The user department shall accordingly appoint a contract manager to oversee the execution of the contract.
2. The Legal Affairs Officer shall provide a copy of the contract to a user unit/budget holder.
3. Upon receipt of a contract, the contract manager shall prepare a contract implementation plan, and forward a copy to the Procurement Unit for monitoring purposes.
4. Where a user department has any reservations or difficulties with the terms or conditions of the contract, they shall be discussed and resolved with the Legal Affairs Officer and the Procurement Officer.

5. The user department shall report to the Legal Affairs Officer and the Procurement Officer.
 - a) any departure from the terms and conditions of a contract; and
 - b) any alterations to the conditions of a contract, either before or during the course of implementation, that in effect could have impacted on the evaluation and rankings of the bid and the choice of provider.
6. A contract of high value or which is complex or forms part of a larger project may be assigned to a contract management team, which shall have the same responsibilities as a contract manager. Where, applicable, the contract management team shall be appointed by the Executive Director before the commencement of actual work. The contract management team shall constitute at least one member from the user unit/budget holder
7. A contract may be managed by a body or person external to CCARDESA, provided the user unit supervises the external contract manager.
8. A contract manager shall:
 - a) manage the obligations and duties of CCARDESA specified in the contract; and
 - b) ensure that the consultant performs the contract in accordance with the terms and conditions specified in the contract and CCARDESA's requirements.
9. The functions of the contract manager are;
 - (a) to ensure that:
 - (i) a consultant meets all performance or delivery obligations in accordance with the terms and conditions of a contract;
 - (ii) a consultant submits all required documentation in accordance with the terms and conditions of a contract;
 - (iii) CCARDESA meets all payment and other obligations in accordance with the terms and conditions of a contract;
 - (iv) there is adequate cost, quality and time control where appropriate;
 - (v) there is compliance with the guidelines set forth in this manual and best practices;
 - (vi) all contract obligations are complete prior to closure of the contract file; and
 - (vii) all contract management records are kept and archived as required;
 - (b) to issue any required variations or change orders, in accordance with the terms and conditions of a contract;
 - (c) to provide full details of a required contract amendment to the Procurement Unit and to obtain a contracts committee's approval prior to issue of any amendment;
 - (d) to manage handover or acceptance procedures;

- (e) to provide full details of any proposed termination of a contract to a Procurement Unit and to obtain the approval of the procurements committee prior to termination; and
- (f) to submit reports on the progress or completion of a contract as required by the Procurement Unit or the Executive Director.

9.6. Key Control Processes

A contract manager shall be appointed for each contract and shall oversee the performance of both parties to the contract.

CHAPTER TEN

10. POLICY AND PROCEDURES FOR THE RECEIPT OF PURCHASED GOODS

10.1 Policy Objective

The objective of this policy is to provide guidelines governing receipt of goods purchased by CCARDESA Secretariat. Delivery of requested products / goods marks a transition in the Purchase-to-Pay process from a purchasing activity to a payables activity. All purchases must be “received” to release payment to the supplier. The “receiving” unit must determine if the products or services received are acceptable and conform to the terms and conditions of the purchase order.

10.2 Policy Statement

All members of staff shall comply with the following general principles:

- i. The receipt of all properties shall be conducted in the most transparent manner and in accordance with CCARDESA guidelines with the ultimate aim of optimising value.
- ii. There shall be transparency in the receipt of purchased goods.

10.3 Documents

The procedure for receipt of purchased goods shall include the following key documents:

- (i) A Purchase Order; and
- (ii) An Evaluation report.

10.4 Responsibility

The following officers will be responsible for the proper receipt of purchased goods:

- (i) Procurement Officer
- (ii) Finance Manager
- (iii) Human Resources and Administration Manager
- (iv) User Unit

10.5 Definition of Terms

i. Receiving

‘Receiving’ means the act of taking possession of goods in order to stage them for inspection, place them into inventory, or deploy them to end user (user unit) for immediate use.

ii. Inspecting

‘Inspecting’ means the act of examining goods that have been delivered to determine conformance to the purchase specifications.

iii. Acceptance

‘Acceptance’ means the act of acknowledging that the goods conform to the requirements of the purchase order so that the supplier may be paid. Deliveries are considered “accepted” if the customer (user unit) acknowledges receipt to Accounts Payable and do not have a quality or delivery issue.

10.6 Signing for Deliveries

Whenever possible, the person receiving the goods should sign the receiving documents provided by the supplier or shipping company. The person receiving the delivery should inspect the items before signing the receipt and should also initial the packing list. Then, submit the packing list to the Finance Unit for financial reconciliation.

10.7 Refusing Delivery, Over – deliveries and Partial Deliveries

Whenever possible, user units should refuse to accept deliveries if they are unable to confirm that the order was placed by their unit, or if the packing appears sufficiently damaged to warrant concern. Suppliers are not allowed to substitute goods or deliver more than the amount ordered without prior approval from the CCARDESA Procurement Unit. The Procurement Unit should be notified by the receiving unit whenever this occurs. The receiving unit should contact the Procurement Unit whenever a purchase is received as a partial delivery without acknowledgement or notification from the supplier. This information is typically noted on the packing list.

10.8 Record Retention

During the receiving process, the receiving unit takes physical possession and legal ownership of the delivery. Therefore, it is important for the supplier to provide the unit with a packing list for all shipments delivered to the unit. If the supplier fails to provide the packing list, the unit should contact the supplier to request that copies be sent to the unit for its files. The receiving unit must keep receiving documents on file in accordance with these guidelines. The need for saving receiving documents is particularly important when accepting any partial or staggered deliveries over a period of time.

10.9 Inspecting a Delivery

Persons receiving deliveries should, upon acknowledging receipt of an order, conduct an inspection to verify the following minimum conditions:

- i. The goods conform to the purchase order requirements and other relevant documents (for example: correct model number, description, size, type, colour, etc.)
- ii. The quantity ordered against the quantity shipped or delivered.
- iii. There is no damage or breakage.

- iv. The unit of measurement count is correct (e.g. if the unit of measurement on the purchase order is one dozen, there should be 12 in the package).
- v. Delivery documentation (packing list, certifications, etc.) is acceptable.
- vi. Perishable items are in good condition and expiration dates have not been exceeded.
- vii. Goods are functional.

10.10 Failed Inspections

Receiving units are advised to notify in writing any failed inspection results discovered during inspection and provide the results to the supplier and the Procurement Unit for appropriate action. When receiving items from freight companies, the number of packages received should match exactly the number on the freight bill. If not, the user receiving should require the driver to write the number of packages received on the bill before signing. Inspect all packages for damage to the outside container. Any visual damage should also be noted on the freight bill before signing. In cases of concealed damage, a report should be made by the Procurement Unit immediately to the delivering carrier. The report should include the following information: Freight Bill Number, Purchase Order number, the date of delivery, supplier, and the extent of damage or shortage. In the event of damage, it is essential that the receiving units retain all the original shipping cartons for inspection by a claims adjuster.

10.11 Acceptance

10.11.1 Determining Acceptance

Receiving Unit through the Procurement Unit is required to contact the supplier in a timely manner when rejecting goods that are over-shipments, defective or for any other non-conformance. Failure to notify the supplier and Procurement Unit in a timely manner will mean the shipment will be considered “accepted”.

10.11.2 Securing Rejected Products in a Secure Area

Receiving unit is responsible for storing rejected products in a secured area until the products are either shipped back to the supplier, or the supplier takes possession of the products and removes them from CCARDESA property.

10.11.3 Tagging Fixed Assets

Following acceptance of capital items, the Finance unit in collaboration with Administration unit is to ensure that asset tags are affixed to capital equipment and are also entered in asset register.

10.11.4 Product Returns for Credit/Refund

When a supplier has delivered items as specified on a purchase order, they have legally complied with their part of the contract and are under no obligation to accept returned items for credit or refund. Acceptance of a return by a supplier is not automatic. When an item is received from a supplier that has been damaged, or is rejected for failing acceptance testing or is not as specified on the purchase order, the receiving unit should return a Return Authorization Number from that Supplier. The shipping label on the returned package must be marked with the Return Authorization Number. Other identifying information should be placed on the outside of the returned package for easy identification when received by the supplier. No item should be returned without prior authorization from the supplier. Procurement Unit will assist in securing credit or refunds from the supplier.

CHAPTER ELEVEN

11. DISPOSAL OF ASSETS

11.1. Policy Objectives for Disposal of Assets

To ensure that;

1. There is guidance on disposal of property of CCARDESA;
2. Maximum value is obtained from disposal activities; and
3. There is transparency and competition throughout the disposal process.

11.2. Policy Statement

- 1 All members of staff shall comply with the following general principles:
- 2 The disposal of all properties shall be conducted the most transparent manner and in accordance with CCARDESA guidelines with the ultimate aim of optimising value; and

11.3. Documents

Key documents shall include:

- (iii) Disposal request; and
- (iv) Evaluation report.

11.4. Responsibility

- (v) Procurement Officer
- (vi) Finance Manager
- (vii) Human Resources and Administration Manager
- (viii) User Unit/Budget Holder
- (ix) Procurement Committee

11.5. Procedures

1. The Human Resources and Administration Manager shall ensure that the assets of CCARDESA are reviewed on an annual basis to identify those which are obsolete and need to be subjected to disposal.
2. Each user unit or budget holder will be responsible for initiating the disposal process of assets under its management.
3. Initiation of disposal requirement should be followed by a recommendation of the Procurement Committee.
4. Assets to be disposed of shall be grouped in contracts or lots in a manner which attracts maximum possible competition.
5. Approval to commence disposal proceedings shall be given by the Executive Director.
6. The final authority to dispose of assets of CCARDESA shall be granted by the Executive Board. However, depending on the conditions laid down by the

financier that funded the property to be disposed, that financier shall be consulted before a final decision has been reached

7. Prior to the disposal proceedings, all assets shall be valued twice by two independent valuers. No valuation for assets where the cost of valuation is likely to be in excess of the money expected to be realised through the disposal process shall be carried out.
8. Records of disposal shall contain the following documents, where appropriate:
 - (a) a request to initiate disposal proceedings;
 - (b) a copy of an invitation notice, if any;
 - (c) copies of solicitation documents, their amendments or clarifications and any additional information such as auctioneer's catalogue or general descriptive literature
 - (d) a report of inspection of the assets by potential bidders;
 - (e) a record of the bid opening;
 - (f) a copy of all bids evaluated, clarifications requested and responses received;
 - (g) the evaluation report;
 - (h) minutes of meetings on the disposal, including negotiation proceedings;
 - (i) a copy of a letter of bid acceptance to a successful bidder, if any;
 - (j) the contract, if any;
 - (k) all documents related to contracts management, including records of receipts of payment and handing over certificates;
 - (l) a copy of the updated asset register for CCARDESA;
 - (m) all correspondences between CCARDESA and the bidder, auctioneer or third party disposal agent; and
 - (n) a copy of all submissions to the Procurement Committee and all decisions related to the disposal, including, the choice of disposal method, approval of solicitation documents, approval of an evaluation report, approval of negotiations, contract award decision, approval of contract documents and any decision to suspend or cancel disposal proceedings.

11.6. Disposal Methods

1. A disposal method shall be approved by the Executive Director, once a no objection, where applicable, has been obtained from the respective financier. The Human Resources and Administrative Unit shall select one of the following disposal methods:
 - a) public auction;
 - b) public bidding;
 - c) sale to CCARDESA staff;
 - d) direct negotiations;

- e) transfer to a sub-grantee;
 - f) destruction of assets.
2. The Human Resources and Administrative Unit shall take into account the following factors in selecting a disposal method:
 - a) the potential market value of the asset;
 - b) the volume of the asset, whether one-off or bulk;
 - c) the number and location of potential bidders;
 - d) the location of the asset;
 - e) restrictions on export or end-users;
 - f) national security and public interest issues;
 - g) health and safety issues;
 - h) legal or human rights issues;
 - i) environmental considerations;
 - j) the trade-in value of the asset; and
 - k) the possibility of transferring the asset to a sub-grantee.
 3. A public auction may be used where there are no conditions of end-user or export restrictions attached to the sale or there is a large number of potential bidders or assets to be disposed of in one location and where an on-site auction is arranged to avoid transport costs.
 4. Public bidding may be used:
 - a) for high-value or unusual assets;
 - b) for assets located in remote areas;
 - c) for assets that have a geographically dispersed potential market;
 - d) for assets with end-user or export restrictions attached to their sale;
 - e) where conditions need to be attached to the sale of the asset; or
 - f) where post-bid negotiations may be required.
 5. Disposal may be by sale to a CCARDESA staff. This method shall only be used:
 - (i) where there is no likely benefit or financial advantage to CCARDESA in using any other disposal method;
 - (ii) where the assets for disposal are of low value items which are unlikely to attract public interest;
 - (iii) where the personal use of disposal assets would directly benefit the performance of a the CCARDESA staff in the execution of his/her duties within CCARDESA; or
 - (iv) in remote locations, where any other method of disposal would be difficult.
 6. Direct negotiations may be used where:

- a) the market is limited and a single buyer who is willing to pay the reserve price has been identified;
- b) national security, public interest, legal or human rights issues or environmental considerations are served by selling to a particular company, group or individual;
- c) a potential buyer is a tenant, occupier or user of an asset at the time the decision to dispose of the asset is made, and it is reasonable to give that person first option to buy the asset at a market rate; or
- d) an asset is located on a potential buyer's premises on a hire or free-use basis and it is reasonable to give that person first option to buy the asset at a market rate.

The Executive Director shall approve the use of direct negotiations disposal method prior to the commencement of disposal proceedings

- 7. Transfer to any other sub-grantee may be used where the sub-grantee shall make further use of the asset.
- 8. Destruction of an asset shall be the least favoured method of disposal, but may be used:
 - a) on grounds of national security or public interest, health and safety, legal or human rights issues or environment considerations; or
 - b) where the asset has no residual value and it cannot be transferred to a sub-grantee or converted or classified into another form with any value.

11.7. Key Control Processes

- 1. All disposals shall be approved by the Executive Director and/or the respective financier.
- 2. A disposal method shall be determined by sub-committee of the Procurement Committee and approved by the Executive Director.

CHAPTER TWELVE

12. PROCUREMENT REPORTING

12.1. Monthly Procurement Report Format

- 1 The routine reporting of procurement activity is essential for procurement planning and budgeting, and for the monitoring and tracking of procurement. Pending the introduction and full operation of a Management Information System, regular monthly reporting of procurement to the Executive Director is required as follows:
- 2 The Monthly Report of Procurement shall be submitted by using the Status Report Form provided in **Annex K** within 15 days of the end of each calendar month. The Monthly Report shall be in three sections as follows:

Section A: Procurements in Progress

Report all procurements which have passed the initial stage of approval by the relevant authority during the month and provide a status report on each procurement.

Section B: Contracts Signed or Procurements Cancelled

Report all new contracts signed during the month together with any procurements which have been cancelled after receiving an initial stage of approval by the relevant authority.

Section C: Contracts Completed

Report all contracts completed during the month following performance by the supplier, contractor, service provider or consultant, including position on final payment by CCARDESA or the authorised representative and the release of any performance security.

Annexes

Annex A: Summary of Procurement Methods, Steps and Durations

PROCUREMENT PLANS FOR GOODS		
Basic Data	Package Number	
	Lot Number	
	Estimated Amount US\$	
	Procurement Method	
	Pre-Qualification (Add) or Post Qualification	7-13 wks
	Prior or Post Review	
Draft Bid Docs (Specs, Quantities, Draft SPN)	Prep & Submission by Executing Agency	4-7 wks
	No-Objection	1-1.5 wks
SPN, Advert	On-Line UNDB, Gateway, National Press	1.5-2 wks
Bidding Period	Bid Invitation Date	6-12 wks
	Bid Closing Opening Date	
Bid Evaluation	Submission Bid Eval Rpt	1.5-3 wks
	No-Objection Date	1-1.5 wks
Contract Finalization	Contract Amount	
	Contract Award Date	1 wk
	Date Contract Signature	1.5-3 wks
Contract Implementation	Opening of Letter of Credit	
	Arrival of Goods	
	Inspection Final Acceptance	

Goods & Equipment Procurement Methods

Local Shopping (LS)
 National Shopping (NS)
 International Shopping (IS)
 Limited International Bidding (LIB)
 National Competitive Bidding (NCB)
 International Competitive Bidding (ICB)

PROCUREMENT PLANS FOR WORKS		
Basic Data	Package Number	
	Lot Number	
	Lump Sum or BOQ	
	Estimated Amount US\$	
	Procurement Method	
	Pre-Qualification (Add) or Post Qualification	7-13 wks
Draft Biddocs (Specs, Quantities, Draft SPN)	Prior or Post Review	
	Prep & Submission by Executing Agency	4-7 wks
SPN Advert	No-Objection	1-1.5 wks
	On-Line UNDB, Gateway, National Press	1.5-2 wks
Bidding Period	Bid Invitation Date	1.5-2 wks
	Bid Closing Opening Date	6 wks to
Bid Evaluation	Submission Bid Eval Rpt	12 wks
	No-Objection Date	1.5-3 wks
Contract Finalization	Contract Amount US\$	
	Contract Award Date	1 wk
	Date Contract Signature	1.5-3 wks
Contract Implementation	Mobilization Adv Payment	
	Substantial Completion	
	Final Acceptance	
	Final Cost	

Works Procurement Methods

Shopping for Works
 Forced Account
 Selective Tendering
 National Competitive Bidding (NCB)
 International Competitive Bidding (ICB)

PROCUREMENT PLANS FOR SERVICES		
Basic Data	Selection Method	
	Lump Sum or Time-Based	
	Estimated Amount US\$	
	Prior or Post Review	
Preparation of RFP	Prep & Submission by Executing Agency	3-6 wks
	No-Objection Date	1-2 wks
Request for EOI (where required)	On Line UNDB, Gateway, Nat Press	1-1.5 wks
	Lead-time before Shortlist	2 wks
Short List	Submission Date	
	No-Objection Date	1-2 wks
Consultants' Proposals	Invitation Date	4 wks to
	Submission/Opening Date	12 wks
Proposals Evaluation & Negotiation	Submission Eval Rpt (T)	2-3 wks
	No-Objection Eval Rpt (T)	0.5-2 wks
	Opening Financial Proposals	2 wks
	Preparation Eval Rpt (T) (F)	1-2 wks
Draft Contract	Negotiations (N)	2 wks
	Submission Date	1-2 wks
Contract Finalization	No-Objection Date	1-2 wks
	Contract Amount US\$	
	Contract Award Date	1 wk
Contract Implementation	Contract Signature Date	1-3 wks
	Mobilization Adv Payment	
	Draft Report	
	Final Report	
Contract Implementation	Final Cost	

Services Procurement Methods

Fixed Budget Selection (FBS)
 Least Cost Selection (LCS)
 Quality & Cost Based Selection (QCBS)
 Consultants Qualification Selection (QCS)
 Quality Based Selection (QBS)
 Selection of Individual Consultants (IC)
 Single Source Selection (SSS)

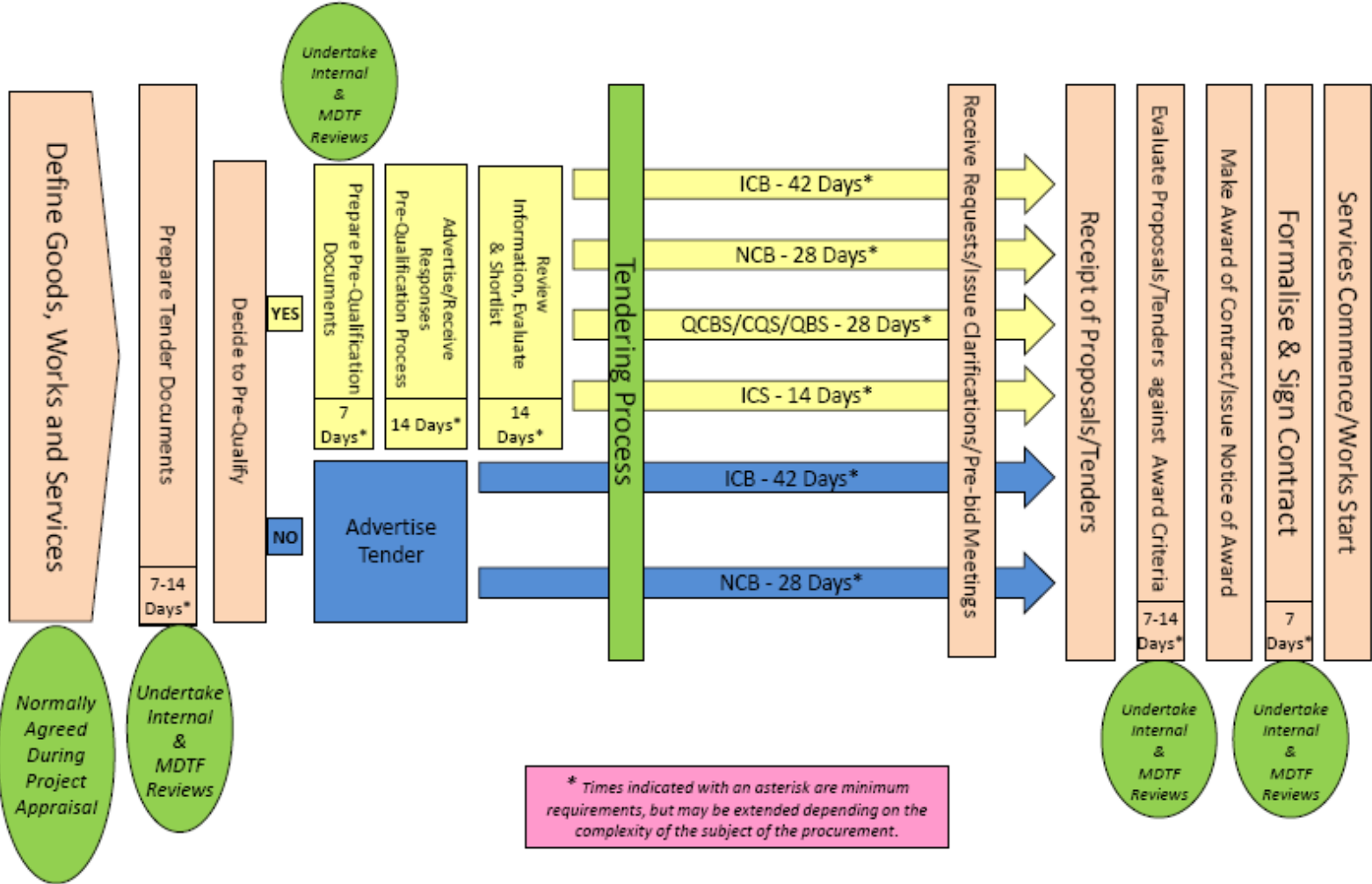
Annex B: Summary of Procurement Process

	Proper Documentation on all Procurements
1.	A history of each ICB/NCB/IS/NS shall be properly kept from the beginning to the end of the transaction.
2.	Copies of all Bid Securities/Performance Bonds shall be kept in each bidder's file.
3.	Evidence of discharge of Bid Securities/Performance Bonds shall be kept in individual files.
4.	Copies of Quotations/Minutes of procurement meetings shall be kept in exclusive local purchase file.
5.	Extension of Bid Validity (usually 90 days) shall be done before the end of the 90 days, if necessary.
6.	Contracts shall be signed within the 90 days validity period. No Objections Email shall be properly attached as evidence of World Bank's approval.
7.	Separate files shall be assigned to each project.
	<ul style="list-style-type: none">• Procurement schedules shall be kept one after the other in one file, showing an update of each. Status report of activities shall be prepared as they progress.

Annex C: Steps in Procurement Process for Goods

1.	Preparation of procurement schedule for approval by MDTF financiers (refer to financing agreement).
2.	Preparation of Draft Standard Bidding Document(s) for approval by MDTF financiers.
3.	Advertisement in Local newspapers, Embassies, Publication online, as required.
4.	Issuance of Bidding Documents to prospective Bidders.
5.	Bid opening exercise.
6.	Bid evaluation (constitute evaluation committee).
7.	Submission of evaluation report to the MDTF financiers for approval.
8.	Notification of award to successful bidder(s).
9.	Preparation of contract documents.
10.	Signing of contract with successful bidder(s).
11.	Application for Duty Exemption Certificate to the relevant authority.
12.	Application for pre-shipment inspection to the relevant authority.
13.	Appointment of Clearing Agent(s) by the project.
14.	Goods shipped CIF Port-of-Entry by Supplier(s) and Shipping documents forwarded to the project.
15.	Project prepares withdrawal application(s) for 90% payment to supplier(s).
16.	Goods cleared through appointed Clearing Agent(s) and transported to project site.
17.	Goods inspected by project representative(s).
18.	Goods received into stores.
19.	Certificate of acceptance issued to supplier.
20.	Project prepares withdrawal for the balance sum of 10% to the supplier(s).
21.	Performance security released to the supplier(s).

Annex D: Flowchart of Procurement Process



**Annex E: Sample of Specific Procurement Notice
Invitation for Bids (IFB)**

**Centre for Coordination of Agricultural Research and Development for Southern
Africa (CCARDESA)**

[insert: **IFB Title**]

[insert: **IFB Number**]

1. This Invitation for Bids follows the General Procurement Notice for CCARDESA that appeared in *Development Business*, issue no. [insert number] of [insert date].
2. The Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA) (hereinafter called “Beneficiary”) has received financing from a Multi-Donor Trust Fund (MDTF) (hereinafter called “Grant”) provided by a consortium of Donors, which include [insert names of donors], toward the cost of the CCARDESA interventions. The Beneficiary intends to apply part of the proceeds of this grant to payments under the Contract for [insert name/no. of Contract].
3. The CCARDESA now invites sealed bids from eligible and qualified bidders for [insert brief description of the Goods to be procured].
4. Bidding will be conducted through the International Competitive Bidding (ICB) procedures specified in the CCARDESA Procurement Manual, which is consistent with the World Bank’s *Guidelines: Procurement under IBRD Loans and IDA Credits*, and is open to all bidders from Eligible Source Countries as defined in the Guidelines.
5. Interested eligible bidders may obtain further information from [insert name of Agency; insert name and e-mail of officer in charge] and inspect the Bidding Documents at the address given below from 08:30 hours to 13:00 hours and from 14:00 hours to 16:00 hours from Monday to Friday.
6. Qualifications requirements include: [insert a list of technical, financial, legal and other requirements]. A margin of preference for certain goods manufactured domestically [insert “shall” or “shall not”, as appropriate] be applied. Additional details are provided in the Bidding Documents.
7. A complete set of Bidding Documents in English may be purchased by interested bidders on the submission of a written application to the address at 9(a) below and upon payment of a non refundable fee of [insert currency and amount] or equivalent in any freely convertible currency at the prevailing exchange rate. The method of payment will be cash or bank certified Cheque. The Bidding Documents shall be collected from the address at 9(a) below. For interested Bidders not represented in Botswana, the documents will be sent by courier service upon payment of an additional amount sufficient to cover the cost of the courier service.
8. Bids must be delivered to the address at 9(b) below at or before [insert latest date and time for submission]. Electronic bidding **will/will not** [delete as applicable] be permitted.

Late bids will be rejected. Bids will be opened in the presence of the bidders' representatives who choose to attend in person at the address at 9(c) below immediately after tender closing at *[insert latest date and time for submission]*. All tenders must be accompanied by a Bid Security of not less than two percent (2%) of the bid price. The Bid Security shall be duly signed and sealed by the Guarantor(s).

9. The addresses referred to above are:

(a) For clarifications:

[insert: Title and address of Client's representative providing clarifications.]

(b) For submission of the bids:

[insert: Physical address of location of tender box or office to submit to.]

(c) For Opening of the Bids:

[insert: Physical address where opening of bids shall take place.]

Annex F: Format for Expression of Interest

Request for Expressions of Interest Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA)

CONSULTING SERVICES

Grant No.: *[insert Grant number]*

This request for expressions of interest follows the general procurement notice for CCARDESA that appeared in *Development Business* No. *[insert number]* of *[insert date]*.

The Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA) *[has received/has applied for]* a grant from a consortium of Donors, which include *[insert names of donors]*, and intends to apply part of the proceeds of this grant to payments under the contract for *[insert name of the services]*.

The services include *[brief description, organization, implementation period...]*.

CCARDESA now invites eligible consultants to indicate their interest in providing the services. Interested consultants must provide information indicating that they are qualified to perform the services (brochures, description of similar assignments, experience in similar conditions, availability of appropriate skills among staff, etc.). Consultants may associate to enhance their qualifications.

A consultant will be selected in accordance with the procedures set out in the CCARDESA Procurement Manual, which is harmonious with the World Bank's *Guidelines: Selection and Employment of Consultants by World Bank Borrowers*, May 2004, revised October 1, 2006 & May 2010).

Interested consultants may obtain further information at the address below *[state address at the end of document]* from *[insert office hours]*.

Expressions of interest must be delivered to the address below by *[insert date]*.

[Insert name of office]
[Insert name of officer]
[Insert postal address and/or street address]
Tel: *[Indicate country and city code]*
Fax: *[Indicate country and city code]*
E-mail: *[Insert email address]*

Annex G: Format for preparing Terms of Reference

Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA)

Terms of Reference

The **Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA)** is responsible for the coordination of all R&D programmes in technology generation and dissemination implemented by various stakeholders in the SADC region. This will comprise (i) projects developed within the SADC region and (ii) continental programmes and projects developed through the Forum for Agricultural Research in Africa (FARA), and coordinated and implemented at regional level. Implementation of CCARDESA programme

CCARDESA has received a grant from the a consortium of Donors, which include *[insert names of donors]*, toward the cost of the establishment of the Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA). It is intended that part of the proceeds of this grant will be applied to eligible payments for the services of a *[Specify type of service(s) needed]*.

- Describe the background to the assignment further;
- State the objectives of the assignment including:
 - the scope of the services;
 - the duration of the assignment;
 - a detailed list of the consultants' duties and responsibilities;
 - where applicable, the required inputs in terms of expert days, or months;
- Detail the required outputs, e.g.: reports, detailed designs, recommendations, draft laws etc. which the consultants will be required to produce (also referred to as 'deliverables');
- Set the time periods for the deliverables;
- Not be over-detailed or inflexible, so that competing consultants may propose their own methodology and staffing.
- List any services and surveys necessary to carry out the assignment;
- Include details of the services, facilities and counterpart staff to be provided by the Client.
- Specify detailed requirements when transfer of knowledge or training is an objective, to allow candidates to estimate the required resources.

Annex H: Sample Request for Quotations

PROCESS TO FOLLOW ON NATIONAL SHOPPING

1. Identify items from the procurement plan.
2. Prepare technical specifications.
3. Identify reputable suppliers.
4. Prepare LOI-this should include: submission date, delivery period, payment terms, fixed price, price validity period, conformity with specification clause.
5. Send LOI with attached technical specifications to identify suppliers.
6. Receive quotations.
7. Evaluate the quotations and prepare an evaluation report-steps include:
 - Prepare technical evaluation using Table A. The evaluation should be on item by item basis. Do not use the table for more than one item. Each item should have its own table.
 - Summarize from the technical evaluation the responsive bids using Table B.
 - Summarize from the technical evaluation the non-responsive bids stating the reasons for non-responsiveness using Table C.
 - Prepare the financial evaluation of only the technical responsive bids using Table D. The evaluation should be on a Lot-by-Lot basis.
 - Prepare award recommendation using Table E.
8. Submit evaluation to the approving authority for approval.
9. Notify successful bidder.
10. Prepare and sign contract agreement or LPO.
11. Contract management-must ensure that items are delivered within agreed period, received properly, recorded before they are issued to users.
12. Pay for items delivered timely in line with the contract or LPO conditions.

QUOTATIONS SOLICITATION LETTER

1. The Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA) intends to purchase _____.
2. CCARDESA _____ now invites sealed bids from eligible firms for the supply of _____.
3. Your quotation should reach the undersigned within _____ working days from the date of this letter.
4. The goods shall be procured through National Shopping procedures specified in the CCARDESA Procurement Manual.

5. The specifications are provided in the attached Technical Specifications.
6. This request for quotation has been addressed to three (3) other suppliers of these items.
7. The goods supplied under this contract shall conform to the standard provided in the attached Technical Specifications.
8. All goods delivered shall be inspected and must conform with the contract and any substandard goods shall be rejected.
9. Goods shall be delivered within _____ days from the date of signing of the contract, together with supplier's invoice showing their description, quantity, unit price, and total amount.
10. The supplier is required to supply the goods together with the detail operations and maintenance manual, for each appropriate unit if they supplied the goods.
11. The supplier shall warrant that the goods supplied under the contract are new and unused. _____ months warranty is required for the goods proposed for supply.
12. The suppliers shall not assign, in whole or in part, its obligation to perform under this contract, except with the written consent of CCARDESA.
13. CCARDESA may terminate the contract, if the supplier fails to deliver any or all of the goods within the period specified, or within any extension thereof granted in writing by CCARDESA.
14. The supplier's request for payment shall be made in writing, accompanied by an invoice as stated in clause 8. All payments shall be made promptly and in no case later than twenty-one (21) days after delivery and acceptance of goods.
15. Hundred percent (100%) of the contract price shall be paid on receipt of goods and upon submission of delivery documents acceptable to CCARDESA within twenty-one (21) days after the date of certification.
16. Prices charged by the supplier for goods delivered and services rendered shall not vary from prices quoted. Prices shall therefore be fixed.
17. The supplier shall be entirely responsible for taxes.

18. The validity for the quotation shall be sixty (60) days from the date of submitting the quotation.
19. Original copy of quotation shall be submitted sealed in an envelope and addressed to CCARDESA.
20. The successful supplier shall be notified in writing and furnished with a Purchase Order and have an effective contract with CCARDESA, on receipt of the duly signed contract by CCARDESA.
21. Please acknowledge the receipt of this letter and indicate your firm's interest by submitting quotations.

Yours faithfully,

[Insert name of office]
[Insert name of officer]
[Insert postal address and/or street address]
Tel: *[Indicate country and city code]*
Fax: *[Indicate country and city code]*
E-mail:

TABLE: A

TECHNICAL EVALUATION

CHECKLIST	Specification as indicated in the Quotation Solicitation Letter(QSL)	NAME OF BIDDERS				
i) Brand/Make						
ii)						
iii)						
iv)						
v)						
vi)						
vii)						
viii)						
ix) Bid validity period						
x) Delivery period						
xi) Other accessories						
Responsiveness						

TABLE B

RESPONSIVENESS OF BIDS

RESPONSIVE BIDS

LOT	NAME OF RESPONSIVE BIDDER

TABLE C

NON-RESPONSIVE BIDS

Lot-----

NAME OF BIDDER	REASONS FOR NON-RESPONSIVENESS

TABLE D

FINANCIAL EVALUATION

Lot.....

S/N	BIDDER	ITEM	QTY	UNIT PRICE	TOTAL PRICE	TOTAL PRICE FOR ALL ITEMS	RANKING
1							
2							
3							
4							

TABLE E

RECOMMENDATIONS FOR AWARD OF CONTRACT

Based on the ranking of responsive bidders on pages, the following bidders are recommended for the award of contract.

LOT	BIDDERS	DESCRIPTION OF GOODS	QUANTITY	TOTAL Amount for contract Award (Local Currency)
1				
2				
3				
			Grand Total Equivalent to USD.....

CONTRACT AGREEMENT

THIS AGREEMENT made on theday of, 2.....

between

The Centre for Coordination of Agricultural Research and Development for Southern Africa,
Gaborone, Botswana (hereinafter called “the purchaser”) of one part

and

NAME AND ADDRESS OF SUPPLIER

(hereinafter called “the supplier”) of the other part.

WHEREAS the purchaser is desirous to procure the following items and has accepted an offer from the supplier for the supply of

.....(list items)

for the total sum of

NOW THIS AGREEMENT WITNESSETH AS FOLLOWS:

- 1) The item(s) shall be delivered withindays from the date of this award
- 2) The following documents shall be deemed to form and be read and construed as part of this agreement, viz:
 - a) The bid form and price schedule submitted by the bidder
 - b) The schedule of requirements as stated in the Quotation Solicitation Letter(QSL)
 - c) The technical specifications as stated in the Quotation Solicitation Letter(QSL)
- 3) Delivery of goods shall be to thea copy of the delivery waybill dully signed by the store officer shall thereafter be submitted to along with the request for the final payment.
- 4) All manuals, instructions and directions to user of the items shall be in English
- 5) The cost of this contract is fixed and shall include all expenses up to the delivery of the goods at the stated address stated in 3 above.
- 6) The payment terms for this contract are as follows:
(state terms e.g. 100% upon delivery and acceptance or 20% advance and 80% on delivery and acceptance)

IN WITNESS whereof parties hereto have caused this Agreement to be executed the day and year first above written.

Signed, Sealed and Delivered:

FOR AND ON BEHALF OF

CCARDESA

By : _____

Designation: _____

Date: _____

FOR AND ON BEHALF OF

Supplier

By : _____

Designation: _____

Date: _____

Annex I: Bid Evaluation Sequence

The basic sequence for bid evaluation is the same for all goods and works, and consists of the following steps:

- Preliminary examination;
- Determination of bid responsiveness;
- Correction of arithmetic errors;
- Conversion to common currency;
- Quantification of omissions and deviations;
- Application of evaluation criteria;
- Comparison of corrected bid prices;
- Verification of qualifications of the lowest evaluated bidder and
- Preparation of evaluation report.

A sample document may be downloaded from the World Bank's external website:
www.worldbank.org/procure.

Annex J: Steps of the Selection of Consultants

The procurement of consultancy services will normally include the following steps:

- Preparation of the terms of reference (TOR).
- Preparation of a cost estimate and confirmation of available budgeted funds.
- Choice of selection method.
- Advertising for expressions of interest.
- Preparation of the shortlist of consultants on the basis of the expressions of interest received.
- Preparation and issue of the request for proposals (RFP), including:
 - Letter of Invitation (LOI);
 - Information for Consultants (IfC);
 - Draft Contract.
- Receipt of proposals in two envelopes.
- Evaluation of technical proposals.
- Opening and evaluation of financial proposals.
- Consolidated evaluation according to the criteria stated in the RFP.
- Negotiations and award of the contract to the selected firm.

Annex K: Procurement Status Report

Contract Expenditure Report (Consultants' Services and Training)

as at....., 2011

Disbursement Category No.	Description	Selection Method/ii	Contract Number/iii	Contract Description	Consultant	Nationality	Contract Currency (ies)	Contract Value	Amount Invoiced To Date	Amount Paid To Date	Expenditure Type /iv
3)	Consultants'	QCBS									
	Services and	CQS									
	Training										
	Individuals	ICS									

QCBS= Quality and Cost-based Selection

CQS= Selection Based on Consultants' Qualifications

*ICS= Selection of Individual
Consultant*

Contract Expenditure Report (Goods and Works)

as at....., 2011

Disbursement		Contract	Procurement	Contract	Supplier/	Nationality	Contract	Contract	Amount	Amount	Expenditure
Category		Description	Method /ii	Number /iii	Contractor		Currency (ies)	Value	Invoiced	Paid	Type /iv
No.	Description								To Date	To Date	
1)	Works		ICB								
			NCB								
			Shopping								
2)	Goods		ICB								
			NCB								
			Shopping								
			UN Agencies								

REFERENCES

1. Guidelines – Procurement Under IBRD Loans and IDA Credits, dated May 2004, revised October 2006 and May 2010.
2. Guidelines – Selection & Employment of Consultants by World Bank Borrowers Under IBRD Loans and IDA Credits, dated May 2004, revised October 2006 and May 2010.
3. Standard Bidding Documents – Procurement of Goods Under IBRD Loans and IDA Credits, dated May 2004, revised May 2005, September 2006, May 2007, and May 2010.
4. Standard Bidding Documents – Procurement of Works Under IBRD Loans and IDA Credits, dated May 2006 revised March and April 2007 and May 2010.

All sample documents may be downloaded from the World Bank's external website:
www.worldbank.org/procure