



## TERMS OF REFERENCE (TOR) FOR AUDIT OF PROJECT FINANCIAL STATEMENTS AND ACCOMPANYING STATEMENT OF EXPENDITURES (SOE) AND SPECIAL ACCOUNT (SA)/DESIGNATED ACCOUNT (DA)

The Consolidated IFAD Programmes Implementation Unit (CPIU-IFAD), a body set up by the Government of Moldova in order to implement the programmes funded by the International Fund for Agricultural Development (IFAD), is agrees to engage engage the audit firm (“the auditor”) and is requesting proposals from specialized companies to perform an audit and to report in connection with the agreement with the International Fund for Agricultural Development (IFAD) concerning:

1. Rural Financial Services and Agribusiness Development (IFAD Loan Financing Agreement no.L-I-832-MD; DANIDA Grant Agreement no.G-C-DE-832-MD; IFAD Grant Agreement no.G-I-C-832-MD);
2. Inclusive Rural Economic and Climate Resilience Programme (IFAD Loan agreement no.2000000418, IFAD Grant Agreement no. 2000000443,GEF Grant Agreement no. 2000000452),  
for the year ending 31 December 2014.

### **1. Responsibilities of the parties to the engagement :**

**1.1. The CPIU IFAD** is responsible for providing financial statements for the activities financed by the financing agreement and for ensuring that these financial statements can be properly reconciled to the CPIU IFAD records and accounts in respect of these services.

The CPIU IFAD accepts that the ability of the auditor to perform the procedures required by this engagement effectively depends on the CPIU IFAD’s providing full and free access to its staff and records and accounts.

The CPIU IFAD shall provide the auditor with all necessary documentation to perform the assignment properly; in particular, the following information shall be provided to the auditor before the beginning of the assignment:

- Financing agreement;
- Annual progress report;
- Project implementation manual;
- Financial management manual;
- Organizational charts along with names and titles of senior managers;
- Names and qualifications of officers responsible for financial management, accounting and internal audit;
- Description of information technology facilities and computer systems in use; and
- Copies of the minutes of negotiations, the project design document, the annual work programme and budget, and the Letter to the Borrower, if available.

**1.2 The auditor** refers to the auditor who is responsible for performing the agreed procedures as specified in these TORs, and for submitting a report of factual findings to the CPIU IFAD.

The auditor shall provide:

#### **1.2.1. A separate opinion on the project financial statements (PFSs).**

Minimum content of the PFSs to be provided by the project:

- Yearly and cumulative statements of sources and application of funds, which should disclose separately IFAD's funds, other donors' funds and beneficiaries' funds;
- Yearly and cumulative SOEs by withdrawal application and category of expenditures;
- Reconciliation between the amounts shown as received by the project and those shown as being disbursed by IFAD should be attached as an annex to the PFSs. As part of that reconciliation, the auditor will indicate the procedure used for disbursement (SA funds, letters of credit, special commitments, reimbursement or direct payment) and indicate whether the expenditure is fully documented or uses the summary of expenditures format;
- Cumulative status of funds by category;
- Reconciliation of SA/DA account statement;
- A statement of comparison between actual expenditures and budget estimates;
- Notes accompanying the PFSs; fixed assets;
- Full disclosure of cash balances; and
- Other statements or disclosures relevant to the project, e.g. financial monitoring reports, credit lines, etc.

### **1.2.2. A separate opinion on the use of the SA/DA.**

The auditor is also required to audit the activities of the SA/DA associated with the project, including the initial advance, replenishments, interest that may accrue on the outstanding balances, and the year-end balances. The auditor must form an opinion as to the degree of compliance with IFAD procedures and the balance of the SA/DA at year-end. The audit should examine: (i) the eligibility of withdrawals from the SA/DA during the period under review; (ii) the operation of the SA/DA in accordance with the financing agreement and other instructions provided to the borrower/recipient by IFAD; (iii) the adequacy of internal controls within the project appropriate for this disbursement mechanism; and (iv) the use of correct exchange rate(s) to convert local currency expenditures to the denominated currency of the SA.

### **1.2.3. A separate opinion on withdrawal applications/statements of expenditure/summary of expenditures (SOEs).**

The audit will include a review of SOEs used as the basis for submitting withdrawal applications. The auditor will carry out tests and reviews as necessary and relevant to the circumstances. SOE expenditures will be carefully compared for eligibility with relevant financial agreements and the disbursement letter, with reference to the project design report for guidance when necessary. Where ineligible expenditures are identified as having been included in withdrawal applications and reimbursed, auditors will note these separately. A schedule listing individual SOEs withdrawal applications by reference number and amount should be attached to the PFSs. The total withdrawals under the SOE procedure should be part of the overall reconciliation of IFAD disbursements described above. The auditor's opinion should deal with the adequacy of the procedures used by the project for preparing SOEs and should include a statement that amounts withdrawn from the project account on the basis of such SOEs were used for the purposes intended under the agreement.

**1.2.4. A separate management letter** addressing the adequacy of the accounting and internal control systems of the programme, including compliance with the IFAD Procurement Guidelines and such other matters as IFAD may notify the CPIU IFAD to include in the audit.

The auditor is requested to comment on:

- Economy, efficiency and effectiveness in the use of project resources; - Achievement of planned project results;
- Legal and financial obligations and commitments of the project and the extent of compliance or non-compliance thereof;
- Systems and procedures such as improvements in accounting, information technology or

computer systems, and operations that may be under development, on which the auditor's comments are necessary to ensure effective controls; and

- Other activities on which the auditor may consider it appropriate to report.

### **1.2.5. Auditors shall certify:**

- Whether the PFSs are drawn up in conformity with internationally accepted accounting standards;
- Whether the PFSs are accurate and are drawn up from the books of accounts maintained by the project;
- Whether the provisions of the financing agreement are adhered to;
- Whether procurement has been undertaken by the project in accordance with applicable procurement procedures and the IFAD Procurement Guidelines;
- The existence of any significant assets purchased and confirm their existence and use for project purposes;
- Whether the project has an effective system of financial supervision or internal audit at all levels; and
- Whether the expenditures claimed through SOEs are properly approved, classified and supported by adequate documentation.

### **2. Subject of the engagement**

The subjects of this engagement are the financial statements dated [31/12/2014] in connection with the agreement for the period covering [01/01/2014 to 31/12/2014]. The information, both financial and non-financial, that is subject to verification by the auditor is all information that makes it possible to verify that the expenditures claimed by the CPIU IFAD in financial statements have occurred, and are accurate and eligible. Annex 1 to these TORs contains an overview of key information about the agreement and the services concerned. Deadline for audit report delivery: [31/05/2015].

### **3. Reason for the engagement**

The CPIU IFAD is required to submit to IFAD an audit report produced by an external auditor under article IX of the General Conditions for Agricultural Development Financing.

### **4. Engagement type and objective**

This constitutes an engagement to perform specific agreed procedures following the IFAD Guidelines on Project Audits provided to the auditors by the CPIU IFAD in annex 2 of these TORs. The objective of this audit is for the auditor:

- To verify that the expenditures claimed by the CPIU IFAD in the financial statements for the activities covered by the agreement have occurred (“reality”), are accurate (“exact”) and are eligible (i.e. that expenditure has been incurred in accordance with the terms and conditions of the agreement); and
- To submit a report of factual findings with regard to the agreed procedures performed.

### **5. Scope of work**

**5.1** The auditor shall undertake this engagement in accordance with these TORs and with:

- International Standards on Auditing (ISAs) to perform agreed procedures regarding financial information as promulgated by IFAC;
- The Code of Ethics for Professional Accountants issued by IFAC. Although the International Standard on Related Services 4400 provides that independence is not a requirement for agreed procedures engagement, IFAD requires that the auditor also complies with the independence requirements of the Code of Ethics for Professional Accountants.
- IFAD Guidelines on Project Audits.

**5.2** Terms and conditions of the agreement:

The auditor verifies that the funds provided by the agreement were spent in accordance with the terms and conditions of the agreement.

### **5.3 Planning, procedures, documentation and evidence:**

The auditor should plan the work so that an effective audit can be performed. For this purpose, the auditor performs the procedures specified in the IFAD Guidelines on Project Audits and uses the evidence obtained from these procedures as the basis for the report of factual findings. The auditor should document matters that are important in providing evidence to support the report of factual findings, and evidence that the work was carried out in accordance with ISAs and these TORs.

### **6. Reporting**

The report on this audit should describe the purpose and the agreed procedures of the engagement in sufficient detail to enable the CPIU IFAD and IFAD to understand the nature and extent of the procedures performed by the auditor. Use of financial and audit reporting is governed by IFAD rules.

To accomplish the assignment the auditors will take into account IFAD procedures and guidelines available on the following website: <http://www.ifad.org/pub/basic/index.htm>

### **7. The evaluation criteria:**

The service provider will be selected in accordance with the procedures set out in the current edition of IFAD Procurement Guidelines, based on consultant qualifications.

**Annex 3 “Instructions to Consultants** to these TORs contains an overview of evaluation criteria, standard forms for Technical and Financial Proposal, other procurement rules about the agreement and the services concerned

### **8. Documents to be included when submitting the proposals**

Interested service providers (consulting companies) should submit their applications, consisting of the following documents/information to demonstrate their qualifications.

The technical offer should provide information on: organization and experience, personnel and timing, technical approach and methodology. The financial offer will provide the cost for the above provided assignment in USD. The procurement of required services will be made in accordance with IFAD Procurement Guidelines, based on selection method “**Least Cost**”. Provided technical offer will be examined to ensure that they would pass the minimum technical score of 70 points, to allow the opening of financial offers.

Proposals should be submitted until **10:00 on April 09, 2015** to the following address: 162, Ștefan cel Mare avenue, of.1301, Chisinau, Republic of Moldova, MD-2004. The public opening will take place at the same address starting with 10:15 April 09, 2015.

The questions regarding the Terms of Reference can be sent to the email address: [office@ifad.md](mailto:office@ifad.md).

## Annex 1: Information about the subject of the audit

<b>Information about the subject of the audit</b>	Rural Financial Services and Agribusiness Development
Reference number and date of the agreement	IFAD Loan Agreement no.L-I-832-MD and IFAD Grant Agreement no. G-I-C-832-MD) signed 21/02/2011; DANIDA Grant Agreement no.G-C-DE-832-MD signed 29/06/2011
Country	Republic of Moldova
Legal basis for the agreement	Legislative act no.108 dated 19 may 2011
Start date of the agreement	04/07/2011
End date of the agreement	31/03/2017

<b>Information about the subject of the audit</b>	Inclusive Rural Economic and Climate Resilience Programme.
Reference number and date of the agreement	IFAD Loan agreement no.2000000418, IFAD Grant Agreement no. 2000000443,GEF Grant Agreement no. 2000000452
Country	Republic of Moldova
Legal basis for the agreement	Legislative act no. 132 dated 11 july 2014,
Start date of the agreement	11/12/2014
End date of the agreement	25 /01/2021

[Addressee]

### **Report on the financial statements**

We have audited the accompanying financial statements of \_\_\_\_\_, which comprise the statement of financial position as at [dd/mm/yyyy], the statement of sources and uses of funds, statement of expenditures (SOEs) and statement of cash flows for the year then ended, and a summary of significant accounting policies and other explanatory information.

### **Management's responsibility for the financial statements**

Management is responsible for the preparation and fair presentation of these financial statements in accordance with International Financial Reporting Standards (or others), and for such internal control as Management determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

### **Auditor's responsibility**

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with International Standards on Auditing (ISAs) and the International Fund for Agricultural Development Guidelines for Project Audits ("the IFAD Guidelines").

Those standards (ISAs and IFAD Guidelines) require that we comply with ethical requirements, and plan and perform the audit to obtain reasonable assurance that the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by Management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence that we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### **Opinion**

In our opinion, the financial statements present fairly, in all material respects, [or give a true and fair view of] the financial position of [name of project] financed with the IFAD [mention financial product] as at [dd/mm/yyyy] and (of) its financial performance and its cash flows for the year then ended in accordance with International Financial Reporting Standards and the IFAD Guidelines.

In addition, (a) with respect to the SOE withdrawal application schedule, adequate supporting documentation has been maintained to support claims for reimbursements of expenditures incurred; and (b) such expenditures are eligible under the agreement referred to in [\_\_\_\_\_].

In addition, in our opinion, the accompanying special/designated account statement presents fairly, in all material respects, the funds received and disbursements made from the special/designated account of the project for the year ended on [dd/mm/yyyy], in accordance with the accounting convention as described in the note above [\_\_\_\_\_].

**Restriction of use**

This report is intended solely for the use of the Management of the project, IFAD, and the Government of [\_\_\_\_\_], and should not be used for any other purpose.

**Report on other legal and regulatory requirements**

[Form and content of this section of the auditor's report will vary depending on the nature of the auditor's other reporting responsibilities.]

[Auditor's signature]

[Date of the auditor's report]

[Auditor's address]

## A. General

<b>ITC Clause Reference</b>	
1 (c)	<i>Republic of Moldova</i>
2.1	<p><b>Name of the Client: The Consolidated IFAD Programmes Implementation Unit (CPIU-IFAD),</b></p> <p><b>Method of selection:</b> <u>Least cost Selection</u> as per <u>RFP</u></p> <p><b>Applicable Guidelines:</b> Procurement Guidelines adopted by Executive Board IFAD at its 100<sup>th</sup> Session in September 2010  <a href="http://www.ifad.org/pub/basic/procure/e/proceng.pdf">www.ifad.org/pub/basic/procure/e/proceng.pdf</a></p>
2.2	<p><b>Financial Proposal to be submitted together with Technical Proposal:</b> Yes</p> <p><b>The name of the assignment is:</b> Financial Audit of the :</p> <p>1.<u>Rural Financial Services and Agribusiness Development (IFAD Loan Financing Agreement no.L-I-832-MD; DANIDA Grant Agreement no.G-C-DE-832-MD; IFAD Grant Agreement no.G-I-C-832-MD);</u></p> <p>2.<u>Inclusive Rural Economic and Climate Resilience Programme (IFAD Loan agreement no.2000000418, IFAD Grant Agreement no. 2000000443,GEF Grant Agreement no. 2000000452).</u></p>
2.3	<b>A pre-proposal conference will be held:</b> <u>No</u>
2.4	<b>The Client will provide the following inputs, project data, reports, etc. to facilitate the preparation of the Proposals:</b> <u>Access to all legal documents, correspondence, and any other information associated with the project and deemed necessary by the auditor;</u>
4.1	N/A
6.3.1	N/A
<b>B. Preparation of Proposals</b>	
9.1	<p>This RFP has been issued in the <u>English</u> language.</p> <p>Proposals shall be submitted in <u>English</u> language.</p> <p>All correspondence exchange shall be in <u>English</u> language.</p>
10.1	<b>The Proposal shall comprise the following:</b>



	<p><b><u>For SIMPLIFIED TECHNICAL PROPOSAL (STP):</u></b></p> <p><b>1<sup>st</sup> Inner Envelope with the Technical Proposal:</b></p> <p>(1) TECH-4 (2) TECH-5 (3) TECH-6</p> <p>AND</p> <p><b>2<sup>d</sup> Inner Envelope with the Financial Proposal (if applicable):</b></p> <p>(1) FIN-1</p>
<b>10.2</b>	<p><b>Statement of Undertaking is required</b></p> <p><u>Yes</u></p>
<b>11.1</b>	<p><b>Participation of Sub-consultants, Key Experts and Non-Key Experts in more than one Proposal is permissible</b></p> <p><u>No</u></p>
<b>12.1</b>	<p><b>Proposals must remain valid for: 10</b> calendar days after the proposal submission deadline <b>(i.e., until: 19 April, 2015).</b></p>
<b>13.1</b>	<p><b>Clarifications may be requested no later than 02 days prior to the submission deadline office@ifad.md.</b></p> <p><b>The contact information for requesting clarifications is:</b>  <u>Attn. Mr. Nicolae Babara, Procurement Officer,</u>  CPIU-IFAD, 162, Stefan cel Mare si Sfint blvd., office 1303, MD-2004 Chisinau, Republic of Moldova <u>Tel/Fax: (+373 22) 210624;</u>  Email: <a href="mailto:nicolae.babara@ifad.md">nicolae.babara@ifad.md</a> or <a href="mailto:office@ifad.md">office@ifad.md</a></p>
<b>14.1.1</b>	<p><b>Shortlisted Consultants may associate with</b></p> <p><b>(a) non-shortlisted consultant(s):</b> No</p> <p><b>(b) other shortlisted Consultants:</b> No</p>
<b>14.1.2</b> (do not use for Fixed Budget method)	<p><b>Estimated total cost of the assignment:</b> <i>Not applicable</i></p>
<b>14.1.3</b> for time-based contracts only	<p><i>Not applicable</i></p>
<b>14.1.4 and 27.2</b> use for Fixed Budget method	<p><i>Not applicable</i></p>

15.2	<p>The format of the Technical Proposal to be submitted is: <u>STP</u></p> <p>Submission of the Technical Proposal in a wrong format may lead to the Proposal being deemed non-responsive to the RFP requirements.</p>
16.1	<i>Not applicable</i>
16.2	<p><b>A price adjustment provision applies to remuneration rates:</b> <u>No</u></p>
16.3	<p><b>“The Client has obtained an exemption for the Consultant from payment of VAT taxes in the Client’s country as per:</b> <i>The goods and services that are procured under Finance Contract between the Government of the Republic of Moldova and the IFAD: Loan no L-I-832-MD, Grant no.G-I-C-832 MD, Grant no C DE 832 MD (ratified L No.108 dated 19 may 2011); Loan no 2000000418, Grant no.2000000443, Grant no 2000000452 (ratified L No.132 dated 11 july 2014, are free of import taxes, VAT and payment of customs duties according to Government of Moldova Decision nr. 246 from 08 April 2010 (Published in the official gazette Monitorul Oficial al Republicii Moldova, from 2010, nr. 52-53 art.308).</i></p>
16.4	<p><b>The Financial Proposal shall be stated in the following currencies:</b> <b><u>Consultant should express the price for their Services in USD.</u></b></p>
<b>C. Submission, Opening and Evaluation</b>	
17.1	<p><b>The Consultants shall not have the option of submitting their Proposals electronically.</b></p>
17.4	<p><b>The Consultant must submit:</b> (a) <b>Technical Proposal:</b> one (1) original and <u>one</u> copies; (b) <b>Financial Proposal:</b> one (1) original <u>one</u> copies.</p>
17.7 and 17.9	<p><b>The Proposals must be submitted no later than:</b> <b>Date:</b> <u>April 09, 2015</u> <b>Time:</b> “10:00 local time”</p> <hr/> <p><b>The Proposal submission address is:</b> <u>Attn. Mr. Nicolaie Babara, Procurement Officer,</u> 162, Stefan cel Mare si Sfint blvd., office 1303, MD-2004 Chisinau_Republic of Moldova</p>
19.1	<p><b>An online option of the opening of the Technical Proposals is offered:</b> <u>No</u></p> <p><b>The opening shall take place at: 10:15 on April 09, 2015</b> <i>same as the Proposal submission address</i></p>

	<p><b>Date: on April 09, 2015</b>  <b>Time: 10:15</b></p>								
<p><b>19.2</b></p>	<p><b>The following information will be read aloud at the opening of the Technical Proposals:</b>  <i>(i) the name and the country of the Consultant or, in case of a Joint Venture, the name of the Joint Venture, the name of the lead member and the names and the countries of all members;</i>  <i>(ii) the presence or absence of a duly sealed envelope with the Financial Proposal;</i>  <i>(iii) any modifications to the Proposal submitted prior to proposal submission deadline;</i></p>								
<p><b>21.1</b> (for FTP)</p>	<p>Criteria, sub-criteria, and point system for the evaluation of the Full Technical Proposals:</p> <p><u>N/A</u></p>								
<p><b>21.1</b> [for STP]</p>	<p>Criteria, sub-criteria, and point system for the evaluation of the Simplified Technical Proposals are:</p> <p style="text-align: right;"><u>Points</u></p> <p><b>(i) Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference:</b></p> <p style="text-align: right;">Total points for criterion (i): <b>[25]</b></p> <p><b>(ii) Key Experts' qualifications and competence for the Assignment:</b>  <i>{Notes to Consultant: each position number corresponds to the same for Key Experts in Form TECH-6 to be prepared by the Consultant}</i></p> <p>a) <i>Position K-1: Engagement Partner</i> <span style="float: right;"><b>[30 points]</b></span>  b) <i>Position K-2: Engagement Manager</i> <span style="float: right;"><b>[25 points]</b></span>  c) <i>Position K-3: Senior Auditor</i> <span style="float: right;"><b>[20 points]</b></span></p> <p style="text-align: right;">Total points for criterion (ii): <b>[75]</b></p> <p><i>The minimum required experience of proposed key professional staff is:  15 years for Engagement partner, 10 years for Engagement manager, 5 years for Senior auditor.</i></p> <p><i>The number of points to be assigned to each of the above positions shall be determined considering the following three sub-criteria and relevant percentage weights:</i></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1) General qualifications</td> <td style="text-align: right;">30%</td> </tr> <tr> <td>2) Adequacy for the assignment</td> <td style="text-align: right;">60%</td> </tr> <tr> <td>3) Experience in region</td> <td style="text-align: right;">10%</td> </tr> <tr> <td style="text-align: right;">Total weight:</td> <td style="text-align: right;">100%</td> </tr> </table> <hr style="border-top: 1px dashed black;"/> <p><b>Total points for the two criteria: 100 points</b></p> <p>.....</p> <p><b>The minimum technical score (St) required to pass is: <u>70</u></b></p>	1) General qualifications	30%	2) Adequacy for the assignment	60%	3) Experience in region	10%	Total weight:	100%
1) General qualifications	30%								
2) Adequacy for the assignment	60%								
3) Experience in region	10%								
Total weight:	100%								
<p><b>23.1</b></p>	<p><b>An online option of the opening of the Financial Proposals is offered:</b></p>								

	<u>No</u>
<b>25.1</b>	For the purpose of the evaluation, the Client will exclude: (a) all local identifiable indirect taxes such as sales tax, excise tax, VAT, or similar taxes levied on the contract's invoices; and (b) all additional local indirect tax on the remuneration of services rendered by non-resident experts in the Client's country. If a Contract is awarded, at Contract negotiations, all such taxes will be discussed, finalized (using the itemized list as a guidance but not limiting to it) and added to the Contract amount as a separate line, also indicating which taxes shall be paid by the Consultant and which taxes are withheld and paid by the Client on behalf of the Consultant.
<b>26.1</b>	<p><b>The single currency for the conversion of all prices expressed in various currencies into a single one is: USD</b></p> <p><b>The official source of the selling (exchange) rate is: <u>National Bank of Moldova</u></b></p> <p><b>The date of the exchange rate is: April 09, 2015</b></p>
<b>27.1 (QCBS only)</b>	N/A
	<b>D. Negotiations and Award</b>
<b>28.1</b>	<p><b>Expected date and address for contract negotiations:</b></p> <p><b>Date: 19 April, 2015</b></p> <p><b>Address: 162, Stefan cel Mare si Sfint blvd., office 1303, MD-2004 Chisinau Republic of Moldova</b></p>
<b>30.1</b>	<p><b>The publication of the contract award information following the completion of the contract negotiations and contract signing will be done as following:</b></p> <p><a href="http://www.ifad.md/achizitii">www.ifad.md/achizitii</a></p> <p>The publication will be done within <b>10 days after the contract signing.</b></p>
<b>30.2</b>	<p><b>Expected date for the commencement of the Services:</b></p> <p><b>Date: 19 April, 2015</b></p> <p><b>at: 162, Stefan cel Mare si Sfint blvd., office 1303, MD-2004 Chisinau_Republic of Moldova</b></p>

## Form TECH-4 (FOR SIMPLIFIED TECHNICAL PROPOSAL ONLY)

### DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN FOR PERFORMING THE ASSIGNMENT

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Form TECH-4: a description of the approach, methodology, and work plan for performing the assignment, including a detailed description of the proposed methodology and staffing for training, if the Terms of Reference specify training as a specific component of the assignment.

{Suggested structure of your Technical Proposal}

- a) ***Technical Approach, Methodology, and Organization of the Consultant's team.*** {Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TOR), the technical approach, and the methodology you would adopt for implementing the tasks to deliver the expected output(s); the degree of detail of such output; and describe the structure and composition of your team. Please do not repeat/copy the TORs in here.}
- b) ***Work Plan and Staffing.*** {Please outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and tentative delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing understanding of the TOR and ability to translate them into a feasible working plan and work schedule showing the assigned tasks for each expert. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule Form.}
- c) ***Comments (on the TOR and on counterpart staff and facilities)***  
{Your suggestions should be concise and to the point, and incorporated in your Proposal. Please also include comments, if any, on counterpart staff and facilities to be provided by the Client. For example, administrative support, office space, local transportation, equipment, data, background reports, etc.}

## Form TECH-5 (FOR FTP AND STP)

### WORK SCHEDULE AND PLANNING FOR DELIVERABLES

N°	Deliverables <sup>1</sup> (D-..)	Days/Months												
		1	2	3	4	5	6	7	8	9	.....	n	TOTAL	
	Report													
	1) data collection													
	2) drafting													
	3) inception report													
	4) incorporating comments													
	5) .....													
	6) delivery of final report to Client}													

1. List the deliverables with the breakdown for activities required to produce them and other benchmarks such as the Client's approvals. For phased assignments, indicate the activities, delivery of reports, and benchmarks separately for each phase.
2. Duration of activities shall be indicated in a form of a bar chart.
3. Include a legend, if necessary, to help read the chart.

## Form TECH-6 (FOR FTP AND STP)

### TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS' INPUTS

No	Name	Expert's input (in person/month) per each Deliverable (listed in TECH-5)										Total time-input (in Months)		
		Position	D-1	D-2	D-3	.....	D-...	Home	Field	Total				
<b>KEY EXPERTS</b>														
K-1	{e.g., Mr. Abbbb}	[Team Leader]	[Home] [2 month]	[1.0]	[1.0]									
			[Field] [0.5 m]	[2.5]	[0]									
K-2														
K-3														
n														
<b>Subtotal</b>														
<b>NON-KEY EXPERTS</b>														
N-1			[Home]											
			[Field]											
N-2														
n														
<b>Subtotal</b>														
<b>Total</b>														

- 1 For Key Experts, the input should be indicated individually for the same positions as required under the Data Sheet ITC21.1.
- 2 Months are counted from the start of the assignment/mobilization. One (1) month equals twenty two (22) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.
- 3 "Home" means work in the office in the expert's country of residence. "Field" work means work carried out in the Client's country or any other country outside the expert's country of residence.

Full time input  
 Part time input

**FORM TECH-6  
(CONTINUED)**

**CURRICULUM VITAE (CV)**

<b>Position Title and No.</b>	{e.g., K-1, TEAM LEADER}
<b>Name of Expert:</b>	{Insert full name}
<b>Date of Birth:</b>	{day/month/year}
<b>Country of Citizenship/Residence</b>	

**Education:** {List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained}

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**Employment record relevant to the assignment:** {Starting with present position, list in reverse order. Please provide dates, name of employing organization, titles of positions held, types of activities performed and location of the assignment, and contact information of previous clients and employing organization(s) who can be contacted for references. Past employment that is not relevant to the assignment does not need to be included.}

<b>Period</b>	<b>Employing organization and your title/position. Contact infor for references</b>	<b>Country</b>	<b>Summary of activities performed relevant to the Assignment</b>
[e.g., May 2005-present]	[e.g., Ministry of ....., advisor/consultant to...  For references: Tel...../e-mail.....; Mr. Hbbbb, deputy minister]		

**Membership in Professional Associations and Publications:**

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**Language Skills (indicate only languages in which you can work):** \_\_\_\_\_

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**Adequacy for the Assignment:**

<b>Detailed Tasks Assigned on Consultant’s Team of Experts:</b>	<b>Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks</b>
{List all deliverables/tasks as in TECH- 5 in which the Expert will be involved)	

**Expert’s contact information:** (e-mail ....., phone.....)

**Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by the Bank.

{ day/month/year }

\_\_\_\_\_  
Name of Expert

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

{ day/month/year }

\_\_\_\_\_  
Name of authorized  
Representative of the Consultant  
(the same who signs the Proposal)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**FORM FIN-1**  
**FINANCIAL PROPOSAL SUBMISSION FORM**

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{Location, Date}

To: [Name and address of Client]

Dear Sirs:

We, the undersigned, offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and our Technical Proposal.

Our attached Financial Proposal is for the amount of {Indicate the corresponding to the amount(s) currency(ies)} {Insert amount(s) in words and figures}, [Insert "including" or "excluding"] of all indirect local taxes in accordance with Clause 25.1 in the Data Sheet.

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal, i.e. before the date indicated in Clause 12.1 of the Data Sheet.

Commissions and gratuities paid or to be paid by us to an agent or any third party relating to preparation or submission of this Proposal and Contract execution, paid if we are awarded the Contract, are listed below:

Name and Address of Commission of Agents	Amount and Currency or Gratuity	Purpose
_____	_____	_____
_____	_____	_____

{If no payments are made or promised, add the following statement: "No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Proposal and Contract execution."}

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorized Signature {In full and initials}: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

In the capacity of: \_\_\_\_\_

Address: \_\_\_\_\_

E-mail: \_\_\_\_\_

{For a joint venture, either all members shall sign or only the lead member/consultant, in which case the power of attorney to sign on behalf of all members shall be attached}