



Windle Trust
International

Procurement Policy and Procedures Manual

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PREFACE

Procurement is the overall process of acquiring goods, civil works and services which includes all functions from the identification of needs, selection and solicitation of sources, preparation and award of contract, and all phases of contract management through to receipt of requisitions.

The Procurement Policies and Procedures Manual provide the essential information and brief step by step procedures for procurement of goods, works and services. To undertake quality procurement means carrying out activities that enables WTI staff to attain general and specific objectives of its projects in compliance with applicable procurement procedure. The manual is also intended to help other non-procurement staff in understanding the procurement processes thus facilitating achievement of uniformity in procurement processes.

This manual serves as a reference tool for guiding the practice of procurement and ensuring full compliance with the requirements of WTI Procurement Policy. No procurement should be carried out without first ensuring compliance with the requirements set out in this manual.

Signed this day of 29th September 2020

ORGANISATION OVERVIEW

Windle Trust International (WTI)

WTI is a UK company limited by guarantee (registration no. 4285691) and registered in the UK as a charity (registration no. 1092834). Its head office is located in Oxford, UK and country offices in Juba, South Sudan, and Khartoum, Sudan. WTI is a member of Windle International, which is an umbrella organisation that brings together Windle Trust international, Windle International

Kenya and Windle International Uganda. The organization's current strategy (2020-2024) sets out WTI's vision, mission and values:

VISION

A world where everyone has the opportunity to make the most of their potential and contribute to the public good.

MISSION

WTI challenges poverty and inequality by expanding access to and improving the quality of education and training, for communities affected by conflict, displacement, neglect or discrimination.

VALUES

In our work we aim to reflect the values which guided our founder, Dr. Hugh Pilkington, to assist those in need. We implore and encourage our staff and alumni to apply the same values in their service to their communities. These values include:

- ✓ **The importance of education, knowledge and freedom** of thought
- ✓ **Respect** - for the diversity of communities and individuals with whom we work irrespective of gender, ethnicity, disability, religion or legal status.
- ✓ **Equity and Sustainability** – in our programmes and our employment policies and practices.
- ✓ **Honesty and Integrity** - in all our relationships with beneficiaries, communities, donors and supporters and in our management systems
- ✓ **Impartiality** – in conflict situations, we take no sides but focus on enabling communities and individuals to exercise the basic human right of education
- ✓ **High quality** – we have a long history of striving to provide and support high quality education and are keen to collaborate with those who seek the same.

The principles and policies which WTI has adopted for managing its procurements are rooted in these values. This Manual sets out the Procurement Policies and Procedures to be followed by WTI. It is intended to apply to all offices, accommodating local regulations where applicable. WTI procurement systems will be clear, transparent and realistic, while also ensuring value for money and compliance with good practice.

The purpose of the guidelines is to ensure that:

- The correct goods and services are purchased in terms of quantity, specification and quality required.
- They are available where and when they are needed to properly support the operation of the organisation or delivery of a specific programme or project.
- Procurement is undertaken in the most cost effective, efficient and accountable manner, taking into consideration ethical standards and sustainability

All WTI staff responsible for procurement must be familiar with and adhere to these guidelines.

CHAPTER 1

1.0 GENERAL POLICY

1.1 Value for Money (VfM)

In the context of the procurement process, obtaining **value for money** means selection of the offer, which presents the optimum combination of life-cycle costs and benefits and which meet the organization's needs. VfM should not be equated with the lowest initial price option rather it requires an integrated assessment of technical, organizational and pricing factors in light of their relative importance (i.e., reliability, quality, delivery, and experience, reputation, past performance, cost/fee realism and reasonableness). The organization's parameters can also include social, environmental and other strategic objectives. The principle of VfM for money is applied at the award stage to select the offer that effectively meets the stated requirement.

1.2 Fairness, Integrity and Transparency

The principle of Transparency requires open tendering, involving broad advertisement. WTI Procurement shall follow formal written procedures and using explicit criteria to award contracts. Information on tender processes shall be made available to the public.

1.2 Effective Competition

All transactions involving the supply of goods, works or provision of services to WTI shall be subject to competitive bidding. The objective of WTI's competitive processes is to provide all eligible prospective bidders with timely and adequate notification and an equal opportunity to tender for the required goods, civil works and services.

1.4 Exceptions to Competition

Competition serves as the foundation of WTI procurement. Unjustifiably evading such process is a serious departure from WTI procurement policies and should never be allowed by WTI management. Exceptions to competition should be limited to natural and NOT an artificially induced crisis. Waiver to such exceptions should be strictly reviewed and appropriately approved and authorized as detailed in **1.4.1 & 1.4.2** below.

1.4.1 Waiver of Competitive Process

All requests seeking waiver of competitive process must be approved by the Country Director or Executive Director who has authority to incur expenditure following verification and review by line managers and procurement committees. When seeking a waiver, justifications must delineate all parameters of impracticability or impossibility, which preclude the use of standard competitive processes.

1.4.2 Procurement in Crisis Situations

In a crisis situation an attempt is generally made to give priority to “curative operations” to recover from risk to health or life, through emergency intervention, deployment of a security mission and/or humanitarian support. In such situations with need for quick action and immediate results, deviations from normal procurement rules may be made. It is important to strictly adhere to these procedures and keep exceptions to an absolute minimum. The project managers must place requests in writing and the Country Director or Executive Director must approve in writing, all exceptions to the policy, which require competitive bidding. The Single Source Justification form **appendix A** must be used to justify request for waiver to competitive process.

1.5 Environmental Considerations

It is WTI’s policy to manage its business in an environmentally responsible manner. Environmental responsibility is rooted in the principle of pollution prevention, which strives to eliminate or to reduce risks to human health and the environment. WTI will work and encourage its suppliers, contractors and service providers, to protect and conserve the environment in the course of their contractual service with WTI.

1.6 Local Procurement

WTI procurement policy gives due consideration to the procurement of goods and services in the area of operation to support the economy of the hosting communities and beneficiaries. Preference is to be given to procurement of goods and services readily available locally in the quantity and quality required at competitive prices. In instances where quality services and goods are not locally available; justification has to be made and approved by the Country Director in writing to the Executive Director.

1.7 Bid or Proposal Securities

A bank guarantee shall be used as security for Bids or Proposals. The quantity of the security is usually two per cent of the estimated total contract value. A bid or proposal security should always be stated as a specific sum rather than as a percentage of the contract amount. The recommended period of validity for the security shall be between 30 and 90 days.

1.8 Performance Security

Performance security will be in terms of non-payment of non-accomplished tasks for all contracts both civil and service. It is the policy of WTI not to provide any start-up funds. Payments will be made for work done in instalments after satisfactorily accomplishing specified and agreed upon tasks. Upon completion of each agreed task the contractor/service provider shall seek inspection/verification by the client. If the client is satisfied by the works/service carried out or provided he/she shall issue a Completion Certificate/Goods Received Note to the contractor/service provider. The contractor/service provider shall then raise an invoice for payment of the completed tasks. **No payments will be made without a completion certificate.**

1.9 Defects Liability Period for Civil works

The defects, liability and maintenance period for civil works shall be 6 months from the practical completion of the works and its handover to WTI. During the 6-month period, the contractor shall remedy at its own expense all defects that are the fault of construction or workmanship. The contractor shall also make good during this period any damage caused to the works, finishes, equipment etc. due to the above defects. In the event of refusal or non-compliance by the contractor, the client shall be entitled to execute the necessary work using the 10% retention fee.

1.10 Taxes

All taxes, duties and other levies payable by the consultants/contractors shall be the responsibility of the consultants/contractors excepting where the country's legal system requires otherwise.

1.11 Insurance

The consultant/contractor/service provider shall be responsible for arranging their own insurance both medical and otherwise unless agreed in advance with WTI.

CHAPTER 2

2.0 PROCUREMENT CODE OF CONDUCT

It is the policy of WTI that every staff that causes or is responsible for procurement decisions within the organization arrives at that decision in a fair, transparent, accountable and competitive manner. This section highlights some ethical requirements of all staff that cause or are responsible for procurement decisions and are ALL required to sign the **Conflict of Interest Statement form Appendix B**; to commit and uphold this Code of Conduct.

2.1 Collusion

No Procuring official may collude or attempt to collude with any other person to make any proposed price higher than would otherwise have been the case or to have a vendor refrain from submitting a tender, proposal or quotation or withdraw or change a tender, proposal or quotation; or to submit a tender, proposal or quotation with a specified price or with any specified inclusions or exclusions.

2.2 Conflict of interest

- a) Any WTI employee or a member of a committee of WTI who has conflict of interest with respect to procurement activities or decisions shall not take part in procurement proceedings and shall not after a procurement contract has been entered into, take part in any decision relating to the procurement or contract.
- b) WTI staff responsible for procuring goods and services must declare any outside interests or business relationships that may be reasonably deemed to affect the officer's impartiality in conducting his or her daily work.

- c) If a WTI employee overlooks the conflict of interest prohibition and awards a contract to a person or his/her relative or to another person of whom one of them has a direct or indirect economic interest, the contract shall be voidable at the discretion of Country Director or the Executive Director and the employee disciplinary action taken against the employee, including the possibility of terminating employment.

2.3 Confidentiality of Information

Every WTI staff member that causes or is responsible for procurement decisions must:

- a) Safeguard all information coming into their possession while executing their official duties in respect to procurement functions.
- b) Not allow any bidder access to information, whether technical, financial or of any other nature before such information is available to the business community at large.
- c) Not to disclose proprietary and source selection information, directly or indirectly, to any individual other than such authorized to receive information, at any time prior to or after the selection and contracting process.
- d) Not to disclose information relating to a procurement whose disclosure would prejudice legitimate commercial interests or inhibit fair competition.
- e) Not to disclose information relating to the evaluation, comparison or clarification of tenders, proposals or quotations, the contents of tenders, proposals or quotations.

All WTI employees are obliged to inform their line managers or if need be, the Country Director, of instances of breach of this policy within a reasonable time. WTI reserves the right to take disciplinary action against any person who contravenes this policy on confidentiality.

2.4 Business Gifts

All WTI staff are forbidden from accepting gifts or favours of any kind offered by, or on behalf of, suppliers or other organizations with which WTI engages or may engage in business. All suppliers should be made aware of this principle. Any infringement by suppliers must be immediately reported to the respective sector manager with a copy sent to the Human Resources Officer for appropriate action.

2.5 Segregation of Duties

Segregation of duties is an internal control mechanism used to ensure that no single individual or organizational unit is given responsibility for more than one related function. The respective procuring entity within WTI shall be organised according to an administrative structure based on the segregation of responsibilities for the various steps of the procurement process. Typically, such a structure separates the functions of the requester, the buyer and the payer, in order to provide appropriate organisational checks and balances. The different phases of the procurement process shall be undertaken by a minimum of three individuals. Further, the functions of the buyer and the payer shall always be separated and performed by independent individuals; the payer must never undertake the receipt of good/services function.

For some procuring units and, in particular, small offices, it might not be possible to establish

the required separation of the aforementioned functions. Any deviation must be properly documented and on file. In such cases, as a minimum, a segregation of the functions mentioned must be established by ensuring that even when functions are performed by the same individual, the individual is performing the tasks in the capacity of various functions. Nevertheless, the separation between the buyer and the payer, and the receiver and the payer must never be waived.

CHAPTER 3

3.0 PROCUREMENT COMMITTEES

3.1 Purpose

This policy is necessary to ensure that procurement decisions are made by committees and not left to individuals. This process is expected to make sure the procurement proceedings are transparent and accountable.

A procurement committee may be formed in order to:

- a) Approve and review lists for “prequalified” suppliers or
- b) For purchases of high value single or bulk items for the organisation or a specific project/programme including capital items
- c) And where there is a formal tendering process for approval of the request for bid documents, advertising and quotation assessment process and selection of successful supplier
- d) Agree the proper disposal of goods or materials

A procurement committee will consist of at least 3 WTI personnel (usually the staff/programme manager responsible for the project/procurement and/or budget holder, administrator/logistics officer involved in the procurement process, and one other authorised member of staff e.g. finance officer, senior line manager/Country Director/staff with special knowledge of items/services being procured). From time to time additional expertise or project stakeholders may be involved where appropriate e.g. specialist in the particular field of training (i.e. Staff involved in the Training), engineer where construction is involved, other relevant project stakeholders e.g. Ministry of Education or Parent Teacher Association (PTA) representative. It is important that the committee comprises those who have a good understanding of the procurement procedures, the needs of the project/programme and item or services being procured. All decisions of the procurement committee will be documented in writing and signed by the members.

5.1 Committee Specific Terms of reference (ToR)

- a) Purchases of high value single items or bulk items for the organisation or a specific project/programme including capital items

- b) Approving and reviewing of prequalified list of suppliers for use in procurement items for the organization or project activities that gives value for money.
- c) Approval and reviewing of procurement requirement specifications developed by the user department and the quantities in order to avoid error during the time of specifying the procurement requirement
- d) Preparation of the bidding decrements, selection criteria that will be used during the evaluation of all the bids and advertisement of the procurement requirement on the local media and newspaper.
- e) To hold a procurement committee meeting for procurement requirements i.e. services, supply of goods or works with values in excess of USD 15,000 or, for lower values when requested by the Country Director or Executive Director to form a procurement committee, as stipulated in the WTI procurement manual for procurement authorization level 2, including taking of minutes of the meeting, to be submitted to the Country Director for approval before awarding or implementation a contract.
- e) Procurement committee will set during procurements of high value say level 3 and level 4 to allow the member selected to the procurement committee to do other activities in their various departments.
- f) The procurement committee is responsible for opening the bids submitted by the interested suppliers for provision of their service, goods and works requested for quotation. The committee must create a supplier comparative analysis sheet to enable the transparent analysis of all supplier quotations.
- g) Responsible for disposal of assets and planning for proper disposal procedure for disposal of asset in line with the country and donor regulation of disposal of assets.
- h) Prior to the commencement of a procurement meeting, all committee members must complete and sign a 'Conflict of Interest form' and submit to the Country Director. All committee members must declare any conflict of interest before the meeting commences and if any exist, they must refrain from the meeting, before opening of bids takes place.

CHAPTER 4

4.0 PROCUREMENT PROCEDURES

The procurement procedures start with identification of needs through to the receipt of and payment for the requisitioned goods or services. Every staff that causes or is responsible for procurement decisions within WTI must strive to be familiar with the complete procurement process.

4.1 Needs Identification

The Needs Identification or Needs Assessment is a step carried out before seeking funding from donors. A Needs Assessment is the identification and prioritisation of the needs existing within a community we serve. The needs are identified by involving the communities who are expected to be the beneficiaries. The identified needs form the basis of seeking funding from donors.

4.2 Budget

A budget is a quantitative expression of a plan for a defined period of time. It helps to aid the planning of actual operations and activities of a project.

4.3 Annual Implementation Plan

It is the policy of WTI that requirements for all items shall be planned locally by department and be within the approved budget. The budget shall normally be prepared by the user departments at the beginning of a project or year. The procurement plans cover goods, equipment, civil works, consultancy services and resource support for the project implementation period. The procurement plan is based on realistic cost estimates derived from the market research database which is to be compiled and updated regularly by the Procurement & Logistics Department.

The plan must be prepared as soon as the funding contract has been signed and has to determine the following:

- The supplies, works and services that are required to be carried out in each project activity
- When the supplies, works and services must be delivered
- What standards are needed

The procurement plan should be reviewed and updated if there are changes in funding within the implementation year. The department managers shall verify and approve the procurement plans in their departments to ensure that they are representative of the funded donor activities and subsequently forward the same to the Country Director or Executive Director for Authorisation.

4.4 Procurement Requisition

- a) Purchase of goods and services shall be transacted through procurement requisitions in accordance with approved procurement plans.
- b) Each Purchase Request (PR) must be approved by line managers as indicated in the PRF.

The manager or supervisor approving the PR is responsible for ensuring the following:

1. The goods and services required are funded and have clear budget lines that do not exceed the budget line item amount available.
2. All accounting information is correct, including Account code, Project name and, if appropriate justification has been provided.
3. The requisitions from the department are checked and approved by all approving authorities.
4. Purchase requisitions shall be done on the standard Procurement Requisition Form **Appendix C**
5. All purchase requisition forms shall be received by the Procurement Department.

4.5 Tendering Methods

It is the policy of WTI to subject all its purchases to competitive bidding. WTI personnel shall use competitive procurement methods when purchasing goods and services for its operations.

These methods are:

- ✓ **Open tendering**
- ✓ **Prequalification**
- ✓ **Procurement of service**
- ✓ **Local shopping**
- ✓ **Single Sourcing**

4.5.1 Method One: Open Tendering

Open Tender is the competitive bidding procedure normally used for procurement of Goods and Civil Works. The procedures provide adequate competition among participants in order to ensure value for money. The procurement steps for the Open Tender broadly consist of the following activities:

4.5.1.1 Preparation of Tender Document

- a) The specific requirements prepared relating to the goods, works or services being procured and the time limit for delivery or completion on a purchase request form and detailed specification or terms of reference attached to it where necessary.
- b) If works are being procured, relevant drawings and bills of quantities are attached to the purchase request.
- c) A tender number should be assigned to the procurement proceedings by the Procurement Department
- d) Instructions for the preparation and submission of tenders including:
 - The forms for tenders
 - The number of copies to be submitted with the original tender
 - Any requirement that tender security be provided and the form and amount of any such security.
 - Any requirement that evidence be provided of the qualifications of the person submitting the tender.
- e) An explanation of where and when tenders must be submitted and a statement that the tenders will be opened immediately after the deadline for submitting them and an explanation of where the tenders will be opened
- f) A statement of the period during which tenders must remain valid
- g) The procedures and criteria to be used to evaluate and compare the tenders
- h) A statement that the WTI member may, at any time, terminate the procurement proceedings without entering into a contract

4.5.1.2 Tender Notice

The Procurement Department shall prepare a notice inviting interested persons/entities to submit expressions of interest. The notice inviting expressions of interest shall set out the following:

- The name and address of WTI
- The tender number assigned to the procurement proceedings
- A brief description of the goods, works or services being procured including the time limit for delivery or completion
- An explanation of how to obtain the tender documents, including the amount of any fee
- An explanation of where and when tenders must be submitted and where and when the tenders will be opened
- A statement that those submitting tenders, or their representatives may attend the opening of tenders.
- The Procurement Department shall take such steps as are reasonable to bring the invitation to tender to the attention of those who may wish to submit tenders.
- Invitations for large bids shall be published in daily newspapers with wide circulation in the country.
- The advertisement shall also be placed on the WTI website.
- The minimum time given for submission of bids shall be not less than 14 days.
- The last date and time of sale and receipt of bid/tender document should be clearly indicated in the notification/advertisement.

4.5.1.3 Tender Document Amendment

- WTI may amend the tender documents at any time before the deadline for submitting tenders by issuing an addendum.
- An amendment may be made on WTI's own initiative or in response to an inquiry.
- In the event of an amendment, WTI personnel shall promptly provide a copy of the addendum to each person to whom the Procurement Department provided copies of the tender documents.
- The addendum shall be deemed to be part of the tender documents.
- If the tender documents are amended when the time remaining before the deadline for submitting tenders is less than one third of the time allowed for the preparation of tenders, the procurement department shall extend the deadline as necessary to allow the amendment of the tender documents to be taken into account in the preparation or amendment of tenders.

4.5.1.4 Tender Submission

- A tender must be in writing, signed and it must be sealed in an envelope.
- A tender and the envelope must bear the tender number assigned to the procurement proceedings.
- A tender must be submitted before the deadline. Any tender received after that deadline shall be returned unopened.
- The procurement department shall ensure that the place where tenders must be submitted is open and accessible and shall provide, in that place, a tender box that complies with the tender box requirements.

- If a tender or part of a tender is too large to be placed in the tender box it shall be received in the manner set out in the tender documents or the invitation to tender or, if no such manner is set out, in the manner determined by WTI.

4.5.1.5 Opening of the Tenders

- The time, date and venue for the tender opening shall be mentioned in the Invitation for Bid and bid documents.
- Tenders/bids should normally be opened immediately after the deadline of time fixed for submission on the same day.
- A tender opening/procurement committee shall be called upon to open the tenders immediately after the final hour of submission
- Tenders shall be opened in public. The bidders or their representatives shall be allowed to be present at the time of opening of bids.
- All tenders received should be opened. No bid should be rejected at the time of bid opening except for late tenders. Late tenders shall be returned to the bidders unopened.
- As each tender is opened, the following shall be read out aloud and recorded in a document to be called the 'Tender opening register'.
 - I. The name of the person submitting the tender
 - II. The total price of the tender including any modifications or discounts
 - III. If applicable, what has been given as tender security
- The tender opening/procurement committee shall assign an identification number to each tender.
- Each member of the tender opening committee shall:
 - I. Sign each tender on one or more pages
 - II. Sign in each tender, against the quotation of the price and any modifications or discounts.
- The tender opening/procurement committee shall prepare tender opening minutes which shall set out:
 - I. A record of the procedure followed in opening the tenders
 - II. The particulars of those persons submitting tenders
 - III. The particulars of those persons who attended the opening of the tenders
 - IV. Each member of the tender opening/procurement committee shall sign the tender opening minutes

4.5.1.6 Tender Evaluation and Comparison

- The Tender Evaluation/procurement Committee shall evaluate and compare the responsive tenders received and listed in the tender opening register.
- The tender evaluation and comparison shall be done using the procedures and criteria set out in the tender documents and no other criteria shall be used.

The following requirements shall apply with respect to the evaluation procedures and criteria:

1. The criteria must, to the extent possible, be objective and quantifiable; and each criterion must be expressed so that it is applied, in accordance with the procedures, taking into consideration price, quality and service for the purpose of evaluation.
2. The tender evaluation committee/ procurement committee may correct arithmetic error in a tender.
3. WTI personnel shall give prompt written notice of the correction of an error to the person/entity who submitted the tender.
4. If the person/entity who submitted the tender rejects the correction, the tender shall be rejected.
5. The criteria to be used in the evaluation of tenders and the award of contracts shall be made known to all bidders and not be applied arbitrarily.
6. The purpose of tender evaluation is to determine substantially responsive tender with the lowest evaluated cost, but not necessarily the lowest submitted price, which should be recommended for award.
7. The bid/tender price read out at the bid opening meeting shall be adjusted at the time of evaluation with corrections of any arithmetical errors for the purpose of evaluation with the concurrence of the bidder/contractor. Where there is a discrepancy between the rates in figures and in words, the rate in words will prevail. Where there is a discrepancy between the unit and the line item total resulting from multiplying the unit rate by the quantity, the unit rate will prevail.

4.5.2 Method Two: Prequalification

A prequalification procedure is, in principle, required for selecting and updating standing suppliers for the financial year. Potential contractors, suppliers and service providers for large-scale contracts, routine procurement of goods/services or contracts with complex and highly specialized services. The main objective of prequalification is to ensure that invitations to bid are extended only to technically and financially qualified bidders, and to avoid awarding a contract to unqualified bidders based on superficial evaluation. The prequalification procedure involves adequate competition among prequalified suppliers in provision of quotation to ensure reasonable prices.

The Prequalification Steps broadly consist of the following activities:

4.5.2.1 Step 1: Preparation of Pre-Qualification Document

- The specific requirements prepared relating to the goods, works or services being procured and the time limit for delivery or completion.
- If works are being procured, relevant drawings and bills of quantities.
- The general and specific conditions to which the prequalification will be subject, including any requirement that performance security be provided before the contract is entered into.
- The tender number assigned to the pre-qualification proceedings by the Procurement Department.
- Instructions for the preparation and submission of tenders including:

- I. The forms for tender
- II. The number of copies to be submitted with the original tender
- III. Any requirement that tender security should be provided and the form and amount of any such security
- IV. Any requirement that evidence should be provided of the qualifications of the person/entity submitting the tender
- V. An explanation of where and when tenders must be submitted including a statement that tenders will be opened immediately after the submission deadline and notification of where the tenders will be opened
- VI. The procedures and criteria to be used to evaluate the prequalification tenders

4.5.2.2 Advertisement of the Prequalification

- Timely notification of bidding opportunities is essential in competitive bidding
- Invitations shall be published in a daily newspaper with wide circulation in the country
- The advertisement shall also be placed on the institutional website
- The minimum time given for submission of bids shall not be less than 14 days
- The last date and time of sale and receipt of bid/tender documents should be clearly indicated in the notification/advertisement

4.5.2.3 Opening of the Prequalification bids

- The time, date and venue for the tender opening shall be written in the bid documents.
- Prequalification tenders/bids should normally be opened immediately after the submission deadline, on the same day.
- Tenders shall be opened in public. The bidders or their representatives shall be allowed to be present at the time of opening of bids.
- All tenders received should be opened. No bid should be rejected at the time of bid opening except for late tenders. Late tenders shall be returned to the bidders unopened.
- The name of the bidder along with special conditions, if any, shall be read out at the time of bid opening. Withdrawal notices shall be read out first, followed by the tender of the bidder.
- Minutes of bid opening must be prepared by bid opening officials and should be signed by all committee member's present including bidders.

4.5.2.4 Prequalification Evaluation Procedures

- A Preliminary examination will be conducted to assess the document formality required in the prequalification documents, for each applicant with pass-or-fail criteria. It is necessary to confirm one by one, whether the submitted documents and their format are in conformity with the requirement.
- This will be followed by qualification evaluation to examine whether submitted documents comply with the qualification requirements by using pass-or-fail criteria. The evaluation work must be carried out by following the criteria set up beforehand, and the method must be based on absolute evaluation, not by comparative evaluation. The following point is to be noted in setting up criteria and conducting evaluation.

- A Pre-Qualification Questionnaire (PQQ) is used to identify a short-list of suitable firms/companies/organizations to invite to tender. The questionnaire should only seek to identify the relevant capacity (financial and resources), experience and expertise of the bidders. It must not be used to evaluate possible solutions that the bidders may offer, and any criteria used at the pre-qualification stage should not be used again or revisited when evaluating the invitation to tender. Many elements are Pass/Fail during PQQ stage and may require input from specialist officers such as from the finance department to undertake a financial assessment of bidders to be shortlisted.

4.5.3 Method Three: Procurement of Services and Request for Proposals

The method used by WTI personnel for the procurement of services is the 'Quality and Cost Based Selection' (QCBS). Definition of services includes training, workshops, research and studies, hiring of procurement agents, hiring of consultants and other similar contracting. QCBS uses a competitive process among shortlisted firms that considers the quality of the proposals and the cost of the services in the selection of the successful firm. 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 selection process shall include the following steps:

- I. Preparation of the Terms of Reference (TOR)
- II. Preparation of cost estimate and the budget
- III. Advertisement for Expression of Interest (EOI) (to be used when the purchaser has no knowledge about the firms who could take up the assignment)
- IV. Evaluation of EOI to shortlist six firms
- V. Preparation and issue of Request for Proposal (RFP) to short listed firms
- VI. Receipt of proposals
- VII. Opening of technical proposals
- VIII. Evaluation of technical proposals
- IX. Public opening of financial proposals of firms technically qualified
- X. Combined evaluation of technical and financial proposals
- XI. Negotiations and award of the contract to the selected firm

4.5.3.1 Preparation of the Terms of Reference (TOR)

The Terms of Reference developed will include:

- I. A precise statement of objectives
- II. An outline of the tasks to be carried out
- III. A schedule for completion of tasks
- IV. The support/inputs provided by the client
- V. The final outputs that will be required of the consultant
- VI. Composition of Review Committee (not more than three members) to monitor the consultant's works
- VII. Review of the Progress Reports required from consultant
- VIII. Review of the final draft report

IX. List of key positions whose CV and experience would be evaluated.

4.5.3.2 Preparation of Cost Estimate

The Cost Estimates or Budget should be based on the assessment of the resources needed to carry out the assignment, staff time, logistical support, and physical inputs (for example, vehicles, office space and equipment).

4.5.3.3 Advertisement

An advertisement is issued in widely published newspapers to obtain expression of interest for the contract.

4.5.3.4 Evaluation and Short-listing

If the assignment has been advertised and expressions of interest received, EOIs shall be evaluated of short-listed firms. The short-listing of firms must be based on the eligibility criteria defined in TOR and the short-list shall not include Individual consultants.

4.5.3.5 Preparation and Issuing of the Request for Proposals (RFP)

Request for Proposals (RFP) is a document used to invite prospective vendors offering a solution to the requirement specifications, statement of works or terms of reference describing the business need. In addition to the proposed solutions generally offered in the form of a technical proposal, prospective vendors should indicate all associated costs as a separate financial proposal. The RFP shall include:

- Letter of Invitation (LOI)
- Instructions to Consultants (ITC) with Data Sheet
- Technical Proposal
- Financial proposals
- Terms of Reference (ToR)
- Standard Forms of contract

4.5.3.6 Receipt of Proposals

The time allowed for submission of proposal shall depend on the assignment, but normally shall not be less than 2 weeks. The firms may request clarification about the information provided in the RFP. The clarification must be given in writing and copied to all the firms. The technical and financial proposals shall be submitted at the same time but in separate sealed envelopes. The technical proposals shall be opened immediately by the committee, after the submission deadline for submission of proposals. The financial proposals shall remain sealed until opened publicly. Any proposals received after the submission deadline shall be returned unopened.

4.5.3.7 Evaluation of Proposals

The evaluation of the proposals will be in two stages: first quality and then cost. Financial proposals shall be opened only after completing the technical evaluation. The total score shall be obtained by marking the quality and cost scores and adding them. The marks for the cost shall be chosen, taking into account the complexity of the assignment and the relative importance of quality. The total score for cost shall normally be 20 points out of a total score of 100. The proposed marks for quality and cost shall be specified in the RFP. The firm obtaining highest total score shall be invited for the negotiations.

4.5.3.8 Negotiations and Award of Contract

Negotiations shall include discussions of the TOR, the methodology, staffing, client's inputs, and special conditions of the contract. These discussions shall not substantially alter the original TOR or the terms of the contract, lest the quality of the final product, its cost, and the relevance of the initial evaluation being affected. Major reductions in work inputs should not be made solely to meet the budget. The final TOR and the agreed methodology shall be incorporated in the 'Description of Services', which shall form part of the contract.

The successful firm should not be allowed to substitute key staff, unless both parties agree. If this is not the case, the firm may be disqualified, and the process continued with the next ranked firm. The key staff proposed for substitution shall have qualifications equal to or better than the key staff initially proposed.

Financial negotiations shall include clarification of the consultants' tax liability and how this tax liability has been or would be reflected in the contract.

As Lump Sum Contract payments are based on delivery of outputs (or products), the offered price shall include all costs (staff time, overhead, travel, hotel, etc.). Consequently, if the selection method for a Lump sum contract included price as a component, this price shall not be negotiated.

In the case of Time-based Contracts, payment is based on inputs (staff time and reimbursable) and the offered price shall include staff rates and an estimation of the amount reimbursable.

When the selection method includes price as a component, negotiations of staff rates should not take place, except in special circumstances, like for example, staff rates offered are much higher than typically charged rates by consultants for similar contracts. Consequently, the prohibition of negotiation does not preclude the right of the client to ask for clarification, and, if fees are very high, to ask for a change of fees. Reimbursable expenses are to be paid on actual expenses incurred at cost upon presentation of receipts and therefore are not subject to negotiation.

However, if the client wants to define a ceiling for unit prices of certain reimbursable expenses (i.e. travel or hotel rates), they should indicate the maximum levels of those rates in the RFP or define a per diem in the RFP. If the negotiations fail to result in an acceptable contract, the client shall terminate the negotiations and invite the next ranked firm for negotiation.

4.5.4 Method Four: Local Shopping

The fourth method of procurement is Local Shopping. Local Shopping is intended to be a simple and rapid procurement method to procure small amounts of low-cost goods and civil works for which rigorous competitive methods are not justified on the basis of cost or efficiency.

The following are the guidelines to be observed when using Local shopping procurement method:

- Request for Quotation (RFQ) **Appendix D** shall be written and sent by letter or email to prospective local suppliers
- The RFQ shall include the description and quantity of the goods as well as the required delivery time and date including any installation requirements as appropriate
- In case of civil works prices shall be requested inclusive of all taxes and duties payable by the contractor
- A quotation should be submitted in writing
- No bid securities are required
- In compliance with effective competition, a comparative Quotation Analysis done to evaluate the quotations received

4.5.5 Method Five: Single Sourcing/Direct Procurement

WTI personnel shall use direct procurement or single sourcing where it is very necessary and as long as the purpose is not to avoid competition.

This method shall be used if the following are satisfied:

- There is only one person/organization who can supply the goods, works or services.
- There is no reasonable alternative or substitute for the goods, works or services.
- There is an urgent need for the goods, works or service being procured and because of the urgency, the other available methods of procurement are impractical and that the circumstances that gave rise to the urgency were not foreseeable and were not the result of negligent conduct on the part of WTI.

4.6 Comparative Quotation Analysis

After receiving bids through open tendering, local shopping, prequalification and the procurement of services, the respective procurement committees shall prepare an evaluation report containing a summary comparison of tenders. The 'Comparative Quotation Analysis' form **Appendix E**, should be completed to provide a documented analysis of the quotations received from open tendering or pre-qualification. The analysis is based on price, specification, terms of payment and used to award contracts to appropriate and approved vendors.

4.7 Procurement limits and level of Authorizations

The limits for adopting particular methods of procurement are sometimes laid down by a donor. Following approval of departure from the WTI procurement procedures, where the limits set by a donor are lower than those set by WTI then the donor limits should be used on that project. Where they are higher, the WTI limits should be used. The following table summarises the current approved WTI limits and levels of authorisation for purchases according to the main currency of the approved budget (or local currency *equivalent*):

Level	Limit Items up to £	Limit Items up to US\$	Authority	Process	Required documents
1	< 330	< 500	Designated Programme Manager or Budget holder	Best value for money/ 3 verbal quotations by informal request from pre-qualified suppliers	Purchase Request Form completed by User and approved by the budget Holder or programme manager.
2	Above 330 - 9899	Above 500 - 14,999	Budget holder & Relevant Country Director (or relevant UK Headquarters (HQ) Executive Director where Country Director is the budget holder). The Country Director may choose to form a procurement committee to make a recommendation	Obtain at least three written quotations from competitive suppliers by formal request for review and selection of best value for money	Purchase Request Form completed by the requesting officer and approved by budget holder or relevant country Director, Request for Quotations (RFQs) from at least 3 suppliers, Quote Analysis completed where relevant by the staff member obtaining quotes Purchase Order completed and authorised by the budget holder and Country Director or HQ. Goods receipt note to be completed
3	From 9900 - 16500	From 15000- 25000	Relevant Country Director (or relevant UK Headquarters (HQ) Director where Country Director is the budget holder). The Country Director may choose to form a procurement committee to make a recommendation	Formal Tender process to request bids At least five written responses to formal <i>Request for Bids (ITB)</i>	Purchase Request Form completed by the requesting manager. Quote Analysis Form completed for review by Procurement Committee Purchase Order completed by the requesting manager and authorised by the Country Director (or relevant HQ Director where Country Director making the request). Goods receipt note to be completed
4	Above 16,500	Above 25,000	Procurement committee	Formal Tender process to request bids At least eight written responses to formal <i>Request for Bids (ITB)</i>	Purchase Request Form completed by the requesting manager. Quote Analysis Form completed for review by Procurement Committee. Purchase Order completed by the requesting manager, and authorised by the Country Director (or relevant HQ Director where Country Director making the request) Goods received note to be completed

4.8 Emergency Procurement

From time to time, there may be interruption of business operations due to disaster or emergency arising from either internal or external forces. Procurement procedures applied in such circumstances may be different from those used under normal circumstances. Urgent situations in which there is clear evidence that an event or a series of events has occurred which imminently threatens human life/lives or livelihoods, and where the event or a series of events produces disruption in the life of a community on an exceptional scale. The event or series of events can comprise any of the following:

- Sudden calamities such as earthquakes, floods, locust infestations and similar unforeseen disasters; human-made emergencies resulting in an influx of refugees or the internal displacement of populations or in the suffering of otherwise affected populations
- Drought, crop failure, pests, and diseases that result in an erosion of communities and vulnerable population capacity to meet their basic needs
- Pandemics
- Sudden economic shock, market failure, or economic collapse resulting in an erosion of communities' and vulnerable population capacity to meet their basic needs
- Strategic, time-critical, or risk mitigation imperatives in the development, peace building or humanitarian context: This trigger is dependent upon a judgment call by WTI management in the field. This will most likely come into play in a protracted crisis situation, when there is an unexpected and significant change in the operational environment that allows for and requires fast action. These are often characterized by a sensitive political imperative to deliver or an urgent need that cannot be met through the application of the regular procurement procedures to implement an exceptionally complex programme that has not been anticipated.
- Other events that, in the opinion of the WTI Country Director or the WTI Executive Director, would fall under the definition of a genuine emergency situation.
- Emergencies due to poor planning or factors within reasonable control of the projects or departments do not constitute an emergency situation and in these instances, normal procurement policies and procedures must be followed.

If an emergency purchase is required, the following process is followed:

- Emergency Purchase Request with concrete justification is prepared and approved by line Managers. Emergency Procurement Request- EPR form shall be used, **Appendix F**
- The EPR should be sent to the Country Director or Executive Director for approval.
- Then the Purchase Order should be prepared and approved by appropriate authority

4.9 Receipt and Storage

This policy is necessary to ensure that quality materials are received by WTI within the set lead times.

- Only goods, works or services that meet quality standards and specified conditions shall be received at WTI stores.
- All the materials shall be received at the store. Where it is uneconomical or where goods receiving capacity dictates that materials are delivered on site, and then such decisions may be made based on the prevailing circumstances. However, the standard receiving procedure shall be followed in receiving on the project site
- The procurement department shall send in advance to the respective store the procurement requisition, duplicate LPO and contracts before goods are delivered.
- The Storekeeper/logistic personnel shall open a file for the documents received and prepare the store in preparation of the deliveries.
- The supplier shall deliver all items purchased to WTI stores/offices as instructed.
- The storekeeper/logistic personnel shall check the supplier's delivery note to ensure that it matches with the physical goods/materials and matches the description of the goods with the LPO/CPO specifications and other relevant documents, namely: - Contracts, Delivery Notes and Waybill
- When technical equipment or materials are received, it is important for the requesting manager to review the items delivered before formal receipt is accepted. If any discrepancies or problems are identified, they must be raised with the relevant manager.

The following actions have to be taken for all non-conforming deliveries having taken place, irrespective of the ownership:

- **Note reason for objection:** For goods: on the transport document, i.e. the waybill as well as on the Receiving Report
- **For services:** on the Handover Report - Inform the vendor immediately
- In addition, for contracts where the vendor has full responsibility until delivery is accepted by the consignee, conclude one of the following options:
- Reject delivery or part of it
- Request replacement, re-performance or repair free of charge
- Only after approval, contract again with the second-in-line vendor/second-best bidder of the bidding process and collect excess costs from the defaulting vendor
- Terminate the contract.

4.10 Documentation

All procurement activities must be fully and transparently documented. This is the only means by which WTI can manage its procurement process and demonstrating that funds are being responsibly committed. A completed purchase must be supported with a fully cross-referenced "stand alone" file. Well-designed procurement forms will basically mirror each

step of the procurement process and, if employed correctly, they will allow effective management of procurement activities.

In order to process payment to a supplier for goods, the Finance Unit requires an original invoice, the original Receiving Report (Goods Received Note), or hand-over documents to the freight forwarder, Third Party Inspection Report, if applicable, and a copy of the Purchase Order. For payment against a Service Contract, a copy of the contract is required together with the original invoice approved by the requestor, and the Evaluation for the last payment.

The procurement department shall maintain the following basic records:

- a) **Purchase Order Log** - This contains a numerical brief record of all Purchase Orders issued. It comprises purchase order numbers, supplier's name, brief description of purchase, total value of the order.
- b) **Vendor Record File** - It contains the names, addresses of suppliers, materials that a vendor can supply, delivery and quality records.
- c) **Price list File** - This comprises the prices of common items procured by departments.
- d) **Purchase Reports** - It is desirable to have some summary reports periodically (monthly/ quarterly/ half yearly/ annually) available to the management.

CHAPTER 5

5.0 CONTRACT AWARD AND MANAGEMENT

Contract management is necessary to ensure that contracts entered into are performed as per the terms and conditions contained therein. It is the policy of WTI that the Procurement Department takes overall management and supervision of contracts. Each user department shall work in collaboration with the procurement department to track progress of the contracts. All contracts shall be signed by the relevant Country Director.

5.1 Basis of Contract Award

WTI shall award contracts within the period of the offer's validity, to the bidder that meets the prescribed requirements and whose bid has been determined:

- To be substantially responsive to the solicitation documents, and
- To offer the best value for money.

5.2 Procedures

A Contract shall contain the following information:

- Date
- Name and address of purchaser or consignee
- Delivery address
- Name and address of seller, supplier or contractor

- Vendor's address, contact person and phone number
- References to: project, Purchase Requisition Form, operations number and cost codes
- Complete description of the goods, civil works and/or services being procured
- Quantity being procured
- Contract or unit price
- Total order value
- Duration of the contract
- Conditions to be fulfilled, including applicable WTI general terms and conditions
- Packing details, transport, delivery dates and/or delivery schedule
- Cancellation details and warranty terms
- Signatures of WTI staff authorizing the purchase
- Location of delivery and mode of shipment
- Delivery date
- Authorised signature

Where a performance security is required to ensure performance during the warranty period, a contract should be signed only upon receipt of the performance security in the form of a bank guarantee.

5.3 Negotiations

As price is a key factor in the selection of the supplier, negotiation will not be recommended based on cost or price in order to get value for money. However, negotiations may be carried out with the selected supplier regarding payment terms, supplementary terms and conditions, delivery, etc. Negotiations, nonetheless, should result in a clear understanding of responsibilities under the contract.

5.4 Liquidated Damages

Where time is of the essence, provisions for liquidated damages or similar provisions, generally established at one per cent of the total contract amount per week, shall be included in the conditions of contract when delays result in extra cost, or loss of revenue or loss of other benefits. Such a provision provides a claim of right to remedies, deducting a fixed percentage for each day or week of delay as compensation for losses sustained in the case of non- or late performance. Once a deduction of 10 per cent has been obtained, the WTI procurement unit may consider termination of the contract.

5.5 Contract Amendments

Once a contract, subject to prior review has been awarded and signed, it can be amended in one of two situations:

- ✓ Contract provisions dictate modification; or
- ✓ In furtherance to the execution of original contract additional related goods, civil works or services are to be rendered by the same entity.

All amendments must be requested in writing and approved by the Executive Director.

5.6 Shipping and Insurance

The cost of transportation is a significant component in the cost of goods purchased and delivered to required locations. During transportation and storage, all cargo is vulnerable to a range of risks, such as damage, pilferage and theft, breakage, non-receipt of part or an entire consignment. Therefore, the contract should state the mode of transport and terms of insurance to be provided by the supplier. In general, transportation costs might range anywhere from 10% to 15% of the total cost of goods

5.7 Taxes

All taxes, duties and other levies payable by the consultants/contractors shall be the responsibility of the consultants/contractors unless legally deemed otherwise by country-specific circumstances. The consultant/contractor shall provide a declaration that he/she will pay other taxes individually.

5.8 Contract Management

Once a contract has been awarded and signed, contract management is the process which ensures that all parties adhere to the legally binding agreement and fully meet their respective obligations as efficiently and effectively as possible. The contract management process allows WTI personnel to track and manage the clauses, terms, conditions, commitments and milestones throughout the life of the contract to maximize business benefits and minimize associated risks. Contract management includes monitoring performance (i.e., quality standards, delivery), effecting acceptance and payment, initiating amendments and orderly resolution of any disputes that may arise in the overall process.

Contract Management responsibility rests with the following staff:

- ✓ The country Procurement Department oversees the actual delivery of all goods and services that have been ordered for the organization.
- ✓ The user departments shall be responsible for tracking progress of the contracts under them.

The Country Director or his designee shall monitor contracts being implemented by user departments to ensure that implementation is done in accordance with the terms and conditions of the contract.

5.9 Payment

In all cases, payment should be made within the contractual timeframe upon receipt of delivery documents and invoices. It is important that WTI achieve a high level of trustworthiness in this area of vendor relations since prompt payment according to contract terms is perhaps the most critical aspect of these relationships.

5.10 Breach and Termination of Contract

5.10.1 Breach of Contract

Suppliers are liable for any material breach of their contractual obligations. If a supplier materially breaches an obligation(s), the procurement department or contract initiating department should provide written notice to the supplier, copied to the Country Director, allowing the supplier a commercially reasonable period of time to remedy the defect.

5.10.2 Termination of Contract

A contract can be terminated when there is a material breach of the entire contract and the breach has not been cured or waived; or the agreement allows cancellation for the breach. Where there is a requirement to make necessary changes to an order, this must be done with the same authorisation as for the original procurement approval process and written confirmation given to the staff member undertaking the procurement. Clear justification and consideration of the impact, financial or otherwise must be documented. Termination of a contract is not a recommended course of action. If the procuring entity still wishes to seek termination, procurement officers should contact their Country Director.

5.11 Supplier Appraisal

Before entering into a contract with a supplier, WTI personnel must ensure that the supplier is eligible for the award of business and has the capability and capacity to perform the contract satisfactorily. This is usually achieved by assessing a number of technical and commercial (financial) qualification requirements. This will be achieved in line with supplier pre-qualification/eligibility criteria for more details.

5.12 Vendor Rating

Vendor rating refers to the activity of measuring supplier performance after contract signing, during implementation and at contract termination. To promote economical and efficient procurement, the performance of contractors must continually be evaluated. Contractor evaluation shall be carried out after the vendor has executed a WTI contract, whereas supplier appraisal occurs before a contract is signed; both processes are required for the purpose of strategic sourcing. After a contract has been signed, the user department in liaison with the Head of Procurement will set up Key Performance Indicators and develop a Service Level Agreement that will be discussed and signed up to with the supplier.

5.13 Suspension or removal from WTI supplier database

A vendor shall be suspended/removed from WTI vendor database and included on the WTI Ineligibility List for a specific period of time or indefinitely if:

- The vendor has been found to be guilty of unethical practices by the investigations
- The vendor has been found unable to do business with WTI by the Country Director in accordance with the requirements of the contract and service level agreements

- The vendor has been sanctioned by another or public local and international public procurement regulatory entity or government or international entity, such as the World Bank, or United Nations or Government entity and WTI has accepted any such

CHAPTER 6

6.0 PROCUREMENT FORMS

It is WTI's policy that the company produces standard procurement documents that comply with the policies and procedures set out in this WTI procurement manual and within their local manuals.

The below are example templates of a suitable style of procurement documents:

- Single Source Justification form
- Conflict of Interest form
- Procurement Request form (PRF)
- Request for Quotation (RFQ)
- Comparative Quote analysis
- Emergency Purchase request
- Local purchase order (LPO)
- Airway bill
- Certificate of completion
- Goods received note (GRN)
- Payment requisition Form
- Procurement Plan sheet
- Procurement trucking Form

Appendix A- Single Source Request



**Windle Trust
International**

SINGLE SOURCE REQUEST

This Justification form is required to waive the procurement of supplies, equipment or services requirement without open competition when the purchase is \$500 and above

Vendor Name	
Address	
E-mail	
Telephone	

Date	
Contact	
E-mail	
Telephon	

Item Description	
Cost of the Item	
Delivery Location	
Date	

JUSTIFICATION FOR SINGLE SOURCE PROCUREMENT

Prepared by:..... Title:..... Signature:..... Date:.....

Reviewed by:..... Title:..... Signature:..... Date:.....

Approved by:..... Title:..... Signature:..... Date:.....

APPENDIX B- Conflict of Interest Form



CONFLICT OF INTEREST DISCLOSURE FORM

It is the policy of Windle Trust International (WTI) to address issues of actual, potential and perceived conflicts of interest involving trustees and employees of the organisation should be identified, disclosed and managed. This form is designed to identify and disclose known conflicts in an effort to properly manage them.

I have read WTI’s Conflict of Interest policy and understand that as a Trustee/member of staff it is my obligation to act in a manner which promotes the best interests of the charity and to avoid conflicts of interest when making decisions and taking actions on its behalf.

My answers to this disclosure form are correctly stated to the best of my knowledge and belief. Should a possible conflict of interest arise in my responsibilities to WTI, I recognise that I have the obligation to notify, based on my position, the appropriate designated individual, and to act in accordance with the policy. If any relevant changes occur in my affiliations, loyalties, or personal or financial circumstances, I recognise that I have a continuing obligation to file an amended “Conflict of Interest Disclosure Form”.

I understand that the information on this form is solely for use by WTI and is considered confidential information. Release of this information within WTI will be on a need-to-know basis only. Release to external parties will be only when required by law and audit purposes or with my permission.

Name (print)

Signature.....

Date

Please answer the following questions: (Please add additional pages as needed).

<p>Question 1: Are you or a member of your immediate family an officer, director, trustee, partner, employee or regularly retained consultant of any company or organisation that currently has business dealings with WTI or which has done so in the last three years? Yes <input type="checkbox"/> No <input type="checkbox"/></p>		
<p>If yes, please list below the name of the company, firm or organisation, the position held, and the nature of the relationship:</p>		
Name of company, firm or organisation	Position held	Nature of the relationship

Question 2: Do you or does any member of your immediate family have a financial interest, direct or indirect, in a company, firm or organisation which currently has business dealings with WTI or has done so in the last three years? Yes No

If yes, please list the name of the company, firm or organisation, the nature of the interest and the name of the person holding the interest, and the nature of the business which is currently being conducted with WTI

Name of company, firm or organisation	Nature of interest	Name of the person holding interest	Nature of the business which is currently be conducted with WTI

Question 3: Have you or a family member accepted gifts, gratuities, lodging, dining, or entertainment that might reasonably appear to influence your judgment or actions concerning the business of WTI? Yes No

If yes, please provide details below:

Question 4: Do you have any other loyalties to, or interest in a firm or organisation, where that interest or relationship might reasonably be expected to create an impression that you engaged in conduct in violation of your trust as a trustee or staff member? Yes No


If yes, please provide details below:

If any material changes to the responses provided on this disclosure form occur, the trustee or employee is required to update the information on this form in writing, and submit the update to the Country Director, Executive Director or Chair of WTI (whoever is most appropriate) as soon as practicable.


Form reviewed by:

Date:

Appendix C- Purchase Request Form (PRF)

 <b style="font-size: 1.2em;">Windle Trust International					
DATE				REF No	
REQUESTING DEPARTMENT				PROJECT	
Purchase Request Form (PRF)					
COMPLETED BY REQUESTOR					
S/No	ITEM DESCRIPTION	QTY	UNIT MEASURE	BUDGED COST	
				0	
				0	
				0	
				0	
				0	
				0	
				0	
				0	
				0	
				0	
				0	
				0	
				0	
TOTAL ESTIMATED COST				0	
DATE BY WHICH THE GOODS, SERVICE OR WORK IS NEEDED AT THE POINT OF DELIVERY					
<p>Prepared by:..... Title:..... Signature: Date:</p> <p>Verified by:..... Title:..... Signature: Date:</p> <p>Approved by:..... Title:..... Signature: Date:</p>					
<p>INSTRUCTIONS</p> <p>1- PRF# is to be assigned by the logistics Dept.</p> <p>2- Request can be placed by any WTI employee with the need for the item(s) to be procured approve budget holder/CD</p> <p>3- PRF must be authorized and approved by the respective budget Managers/Finance and Top management Team (as per authorization/approval Chart)</p> <p>4- Submission Once all signatures are completed ,PRF is forwarded to Logistics for action</p>					

Appendix F- Emergency Procurement request

 Windle Trust International				
DATE		REF No		
REQUESTING DEPARTMENT		PROJECT		
EMERGENCY PROCURMENT REQUEST				
COMPLETED BY REQUESTOR				
S/No	ITEM DESCRIPTION	QTY	UNIT	BUDGEDGED COST
TOTAL ESTIMATED COST				0
JUSTIFICATIN FOR THE EMERGENCY PROCUREMENT				
Prepared by: Title: Sign: Date: Reviewed by: Title: Sign: Date: Approved by: Title: Sign: Date:				

Appendix J- Goods Receive Note (GRN)



**Windle Trust
International**

GOOD RECEIVE NOTE (GRN)

Procurement procedures state that a confirmation of receipt of goods, works and/or services must be obtained prior to payment of all invoices.

Date of goods and/or service received:

Date invoice received: _____

Invoice Number: _____

Vendor _____

Standing Order Number: _____

Your signature below acknowledges the delivery and receipt of goods and/or services depicted on the Delivery or packing slip, and authorizes payment of the invoice.

(Receiver's Signature)

(Date of Receiving)

(Print Name)

(Designation)

Other Comments:

Approval & Certification:

I hereby certify that the above expenditures are related to Windle Trust International and are in accordance with the applicable policies and guidelines which I have reviewed.

(Approver's Signature)


(Date)

(Print Name)

(Designation)

Always attach delivery or packing list and the invoice from the vendor before taking for approval

Appendix K- Payment Requisition Form

 Windle Trust International			
PAYMENT REQUISITION FORM			
payee name : Date : Explanation/Purpose : Explanation/Purpose :			
Serial Number	Description	CODES	AMOUNT SSP/USD
TOTAL Value in USD/SSP			
Amount in words Requested By Date Sign Certified By Date Sign Approved By Date Sign Received by Date Sign			