

REQUEST FOR PROPOSALS - INTERNAL AUDIT SERVICES

Issued by

The Global Alliance for Improved Nutrition (GAIN)

May 2023

I. PROJECT BACKGROUND AND SCOPE OF WORK

1. ABOUT GAIN

The Global Alliance for Improved Nutrition (GAIN) is a Swiss-based foundation launched at the UN in 2002 to tackle the human suffering caused by malnutrition. Working with both governments and businesses, we aim to transform food systems so that they deliver more nutritious food for all people.

At GAIN, we believe that everyone in the world should have access to nutritious and safe food. We work to understand and deliver specific solutions to the daily challenge of food insecurity faced by poor people. By understanding that there is no “one-size-fits-all” model, we develop alliances and build tailored programmes, using a variety of flexible models and approaches.

We build alliances between governments, local and global businesses, and civil society to deliver sustainable improvements at scale. We are part of a global network of partners working together to create sustainable solutions to malnutrition. Through alliances, we provide technical, financial and policy support to key participants in the food system. We use specific learning, evidence of impact, and results of projects and programmes to shape and influence the actions of others.

Headquartered in Geneva, Switzerland, GAIN has representative offices in Denmark, The Netherlands, the United Kingdom, and the United States. In addition, we have country offices in Benin, Bangladesh, Ethiopia, India, Indonesia, Kenya, Mozambique, Nigeria, Pakistan, Tanzania and Uganda. Programmes and projects are carried out in a variety of other countries, particularly in Africa and Asia.

The organisation has an annual budget of approximately USD 65 million, the income being by way of grants from government agencies and large private funds. GAIN’s workforce is approximately 350 staff worldwide.

The **latest audited Consolidated Financial Statements** of the Foundation are available on our website: <https://www.gainhealth.org>.

2. BACKGROUND

GAIN is issuing this Request for Proposals (RFP) and will be the administrative lead organisation for this RFP.

The purpose of this RFP is to appoint a suitable, independent service provider that can provide internal audit services for the organization from 1st of July 2023. The purpose of the creation and the implementation of the internal audit function is to provide independent assurance to the Board of Directors and its Finance and Audit Committee (FAC) that the organization’s risk management, governance, and internal control processes are operating effectively.

3. SCOPE OF WORK AND DELIVERABLES

The scope of work for the internal audit services will include the following:

- Developing a Strategic Plan for Internal Audit, based on an assessment of key areas of risk for GAIN, taking into consideration the organisation’s current operations, other audit and risk-related work being implemented by the external auditors, GAIN management and the Board, the operations proposed in its strategic plan and its risk management strategy.
- Developing an Internal Audit framework and reviewing GAIN’s Internal Policy, taking into consideration the organisation’s current operations, Strategic Plan and risk management strategy.
- Developing an annual Internal Audit Plan driven by the Strategic Plan approved by the Board, designed to ensure coverage of priority risk areas and including an accompanying financial budget.

The Strategic Plan for Internal Audit, the Internal Audit framework and Policy and the annual Internal Audit Plan will be approved by the FAC and the Board

- Implementing the Internal Audit Plan by:
 - Carrying out reviews and performing specific audit assignments as required, including: conducting interviews with GAIN’s managers and staff; performing tests; and comparing outcomes with external benchmarks as necessary.
 - Engaging GAIN staff and/or third-party suppliers to carry out specific audits where necessary.
 - Providing regular reports to the FAC on progress in implementation.

- Following the conclusion of each audit, preparing or arranging for the issuance of written reports to the appropriate distribution and for submission to the FAC and the Board, with recommendations to allow effective monitoring and intervention where necessary.
- Monitoring the actions taken to address the findings and recommendations from Internal Audit reports, and periodically reporting on these.
- Providing information and guidance to the FAC and the Board on the adequacy and the effectiveness of management practices, systems and internal controls and on the quality and use of management information.

We anticipate appointing the provider of internal audit services for an initial period of 18 months, with a possibility of extension.

II. INSTRUCTIONS FOR RESPONDING

This section addresses the process for responding to this solicitation. Applicants are encouraged to review this prior to completing their responses.

1. CONTACT

Please direct all inquiries and other communications to the contact below. Responses will not be confidential except in cases where proprietary information is involved.

- rpfAQ@gainhealth.org

The panel members and GAIN management will be happy to answer any questions you might have on this request for proposals (RFP) at the email address above.

2. BUDGET

Applicants are required to provide GAIN with a detailed time and fee proposal.

3. FORMAT FOR PROPOSAL

Proposals should include the following information:

- A description of the firm or individual's qualifications and experience in providing internal audit services, including specific examples of similar engagements.
- Names of those who would provide the services, their location and relevant experience.
- A description of the approach for conducting the internal audit services, including the methodology, tools, and techniques that will be used.
- A proposed timeline for completing the internal audit services, including key milestones and deliverables.
- A fee proposal, including hourly rates and estimated total fees for the engagement.
- Names of referees from past clients who have received similar services (these will only be approached with the bidder's explicit permission).
- A duly completed offer of services.

4. SUBMISSION

Proposals must be submitted on the official letterhead of the lead organisation or firm and must be signed by a principal or authorising signatory of the lead firm or organisation.

Proposals should be submitted as an attachment to an email sent to the contact address listed above.

GAIN staff will be happy to answer any questions you might have. Please submit these to the contact address.

5. REVISIONS

Proposals may be revised by email to the address set out above, provided such revision(s) are received before the deadline for submission.

6. TIMELINE AND DATE FOR SUBMISSION

Completed proposals should be submitted to GAIN **before 17.00 Central European Time on 2 June 2023.**

The project timeline is as follows:

Target Date (all 2023)	Action
15 May	RFP and supporting documentation issued to specific contacts and publicised
2 June	Deadline for receipt of proposals
7 June	Shortlisting discussion and agreement
w/c 19 June	Presentations and interviews by shortlisted firms
w/c 19 June	Decision & recommendation by panel
w/c 26 June	Approval of appointment by the Board of GAIN

The presentations in w/c 19 June will be made to a panel consisting of members of the Board of GAIN, supported by members of the Strategic Management Team. Further details including the confirmation of timings will be provided to the shortlisted bidders.

7. EVALUATION CRITERIA

Proposals will be evaluated in accordance with the criteria listed below. Award will be made to the responsive, responsible contractor who complies with the requirements and scores the highest total on the evaluation criteria as it pertains to the overall needs of GAIN.

- Qualifications and experience of the individual/ the firm and its personnel.
- Demonstrated understanding of the scope of work.
- Proposed approach, methodology, and timeline for the internal audit services.
- Fee proposal and value for money.
- Quality control procedures.
- References from other clients.

III. TERMS AND CONDITIONS OF THIS SOLICITATION

1. NOTICE OF NON-BINDING SOLICITATION

GAIN reserves the right to reject any and all bids received in response to this solicitation and is in no way bound to accept any proposal. GAIN additionally reserves the right to negotiate the substance of the successful applicants' proposals, as well as the option of accepting partial components of a proposal if deemed appropriate.

2. CONFIDENTIALITY

All information provided as part of this solicitation is considered confidential. In the event that any information is inappropriately released, GAIN will seek appropriate remedies as allowed. Proposals, discussions, and all information received in response to this solicitation will be held as strictly confidential.

3. RIGHTS OF REJECTION

GAIN reserves the right to reject any or all submissions or to cancel or withdraw this RFP for any reason and at its sole discretion without incurring any cost or liability for costs or damages incurred by any applicant, including, without limitation, any expenses incurred in the preparation of the submission. The applicant acknowledges and agrees that GAIN will not indemnify the applicant for any costs, expenses, payments or damages directly or indirectly linked to the preparation of the submission.

4. ACCEPTANCE

GAIN will not necessarily accept the lowest cost or any of the Proposals submitted. Accordingly, eligibility requirements, evaluation criteria and mandatory requirements shall govern.

5. COMPLETION

- In case of errors in calculating overall costs, the unit costs will govern.
- It is the applicant's responsibility to understand the requirements and instructions specified by GAIN. In the event that clarification is necessary, applicants are advised to contact the responsible person at GAIN under section II. point 1., prior to making their submission.
- While GAIN has used considerable efforts to ensure an accurate representation in this Request for Proposal (RFP), the information contained in this RFP is supplied solely as a guideline. The information is not warranted to be accurate by GAIN. Nothing in this RFP is intended to relieve applicants from forming their own opinions and conclusions with respect to the matters addressed in this RFP.
- By responding to this RFP, the applicant confirms its understanding that failing to comply with any of the RFP conditions may result in the disqualification of their submission.

6. UNACCEPTABLE

The following proposals will automatically not be considered or accepted:

- Proposals that are received after the RFP deadline at the specified receiving email address.
- Incomplete proposals.
- Proposals that are not signed.

7. REFERENCES

GAIN reserves the right, before awarding the Proposal, to require the applicant to submit such evidence of qualifications as it may deem necessary, and will consider evidence concerning the financial, technical and other qualifications and abilities of the applicant.

GAIN reserves the right to contact the individuals and contractor(s) in order to verify the information provided as part of the Proposal.

8. RIGHT TO FINAL NEGOTIATIONS ON THE PROPOSAL

GAIN reserves the right to negotiate on the final costs, and the final scope of work of the proposal. GAIN reserves the right to limit or include third parties at GAIN's sole and full discretion in such negotiations.

9. LIMITATIONS WITH REGARD TO THIRD PARTIES

GAIN does not represent, warrant, or act as agent for any third party as a result of this solicitation. This solicitation does not authorise any third party to bind or commit GAIN in any way without GAIN's express written consent.

10. COMMUNICATION

All communication regarding this solicitation shall be directed to appropriate parties at GAIN. Contacting third parties involved in the RFP, the review panel, or any other party may be considered a conflict of interest and could result in disqualification of the proposal.

11. FINAL ACCEPTANCE

Award of a Proposal does not imply acceptance of its terms and conditions. GAIN reserves the right to negotiate on the final terms and conditions including the costs and the scope of work when negotiating the final contract to be agreed between GAIN and the applicant.

12. VALIDITY PERIOD

The offer of services will remain valid for a period of 60 days after the Proposal closing date. In the event of award, the successful applicant will be expected to enter into a contract subject to GAIN's terms and conditions.

13. INTELLECTUAL PROPERTY

Subject to the terms of the contract to be concluded between GAIN and the applicant, the ownership of the intellectual property related to the scope of work of the contract, including technical information, know-how, processes, copyrights, models, drawings, source code and specifications developed by the applicant in performance of the contract shall vest entirely with GAIN.

14. SCOPE OF CHANGE

Once the contract is signed, no increase in the liability of GAIN or in the fees to be paid by GAIN for the services resulting from any change, modification or interpretation of the documents will be authorised or paid to the applicant unless such change, modification or interpretation has received the express prior written approval of GAIN.