

## Request for Proposals for Verification Services for the AgResults Senegal Crop Storage Finance Project

Date: August 27, 2021

From: AgResults Secretariat

To: Potential Offerors

Subject: Request for Proposals (RFP) to provide Verification Services for the AgResults Senegal Crop Storage Finance Project

RFP Link: <https://agresults.org/news-and-blog/10-blog/220-rfp-senegal-crop-storage-finance-verifier>

The Secretariat of AgResults (“Secretariat”) invites your organization to submit a proposal (“Proposal”) to provide verification services in accordance with this Request for Proposals (“RFP”) for the Senegal Crop Storage Finance Project (“Project”).

The Project is a new project under the AgResults Initiative, which is financed by the governments of Australia, Canada, the United Kingdom and the United States, and the Bill & Melinda Gates Foundation. For more information about AgResults, please visit [www.AgResults.org](http://www.AgResults.org).

The Project consists of a Pay-for-Results prize competition designed to spur uptake of crop storage finance models in Senegal. The prize incentive offered by AgResults will target private sector actors and producer groups to drive uptake of warehouse receipt systems that allow smallholder farmers (SHFs) improved access to finance and increased incomes.

The Secretariat expects to award a Firm-Fixed-Price Contract to the organization(s) hired for the services detailed in this Request for Proposals (RFP) for a period of four years and two months:

- **Period of Performance:** November 1, 2021 to May 31, 2026

The overall *estimated cost* for this procurement is US\$1.2 million. This is not a minimum or maximum but offerors should propose costs that are realistic and reasonable.

Proposal procedures and instructions follow this letter in Appendix 1 and are incorporated herein and are made a part hereof. By submitting a Proposal and the required completed and signed “Anticorruption Compliance Certification” (Appendix 5), you will have consented to the terms of this RFP, including the proposal procedures and instructions.

Please note the deadline for receipt of proposal, with all required signatures, including a completed and signed Anticorruption Compliance Certification, is due no later than 1700 Hrs. US Eastern Daylight Time (US EDT) on **September 30, 2021**. Proposal documents should be submitted in one email to [info@agresults.org](mailto:info@agresults.org). Please indicate “**Senegal Project Verifier RFP**” in the subject line of the email. The full timeline for this RFP is included in Appendix 1.

AgResults will review and evaluate proposal submissions using the evaluation criteria specified in Appendix 4 of this RFP and will select the organization(s) at its sole discretion. The selected organization(s) will be notified in writing. Notwithstanding the notification by the AgResults of the contemplated award, no work shall commence prior to the issuance and signature by the AgResults Secretariat of a Project Verification Agreement. AgResults reserves the right to select any number of applying organizations or not to select any organization. The AgResults Secretariat reserves the right to award a contract for all or a portion of the work required, issue more than one contract, or to not award a contract.

We look forward to working with you on this opportunity. Should you have any questions or comments please direct them to [info@agresults.org](mailto:info@agresults.org). We appreciate your responsiveness and look forward to a mutually beneficial business relationship.

Sincerely,  
/s/  
Rodrigo Ortiz  
Secretariat Lead Consultant

Appendices:

1. Proposal Procedures and Instructions
2. AgResults Background
3. Terms of Reference
4. Proposal Requirements
5. Anti-Corruption Compliance Certificate
6. Pricing Template

## Appendix 1 Proposal Procedures and Instructions

### 1. Proposal Procedures and Instructions

This section of the RFP provides the general procedures and instructions the Offeror is expected to follow in completing its response and submitting the Proposal.

#### 1.1. Proposal Format and Content

Offerors shall submit the following clearly identified two components as separate documents, with numbered and ordered subsections in the Proposal that match those subsections detailed in Appendix 4 "Proposal Requirements":

1. Technical Proposal and
2. Price Proposal

Clarity and completeness are of the utmost importance in the Proposal, as an organization's capabilities can only be considered when properly documented within the Proposal. Proposals may be submitted in English or French.

#### 1.2. RFP Schedule of Events

- a) **Deadline for Proposals**, with all required signatures, including a completed and signed Anticorruption Compliance Certification, is no later than 1700 Hrs. US Eastern Time (US ET) on **September 30, 2021**. Proposal documents should be submitted in one email to [info@agresults.org](mailto:info@agresults.org). Please indicate "Senegal Project Verifier RFP" in the subject line of the email.
- b) **Questions** concerning the Project, or this RFP may be submitted by Offerors at any time, but no later than 1700 Hrs. US Eastern Time (US ET) on **September 6, 2021** to [info@agresults.org](mailto:info@agresults.org). Please indicate "Senegal Project Verifier RFP Questions" in the subject line of the email.
- c) **Answers** to timely-received questions will be posted on the AgResults website no later than 1700 Hrs. US Eastern Time (US ET) on **September 10, 2021**. Answers to questions will be posted on <https://agresults.org/news-and-blog/10-blog/220-rfp-senegal-crop-storage-finance-verifier>.
- d) The Secretariat expects to award the Senegal Project Verifier contract on or about **October 15, 2021** with an expected contract start date of **November 1, 2021**.

Please be advised that late Proposal submissions may be considered non-responsive and may be excluded from evaluation and award consideration.

#### 1.3. Anticipated Contract Type and Period of Performance

The Secretariat expects to award to the selected Project Verifier a Firm-Fixed-Price Contract for the Project verification services detailed in this RFP for a period of four years and six months, subject to annual reauthorization in writing from AgResults:

- **Period of Performance:** November 1, 2021 to May 31, 2026

If AgResults, at its sole discretion, decides to exercise the next annual Period, the Secretariat will inform the Project Verifier no later than 30 days before the start of the annual Period to be exercised.

Payment for the Project Verifier organization's services under the contract will be made by the AgResults' Financial Trustee. The Trustee reserves the right to withhold from payments any taxes or similar fees as may be required by applicable law.

#### **1.4. Terms of Reference**

See Appendix 3.

#### **1.5. Proposal Validity Period**

The Offeror's Proposal must remain valid for one hundred and twenty (120) days after submission and the validity period of 120 days must be noted in the Offeror's Proposal cover letter.

#### **1.6. Responsibility for Compliance with Legal Requirements**

The Offeror's products, services, and facilities must be in full compliance with all applicable laws, regulation, codes, standards, and ordinances, regardless of whether or not they are referred to by the Secretariat.

#### **1.7. Proposal-Related Incurred Costs**

The Offeror will be responsible for all costs incurred in preparing or responding to this RFP. All materials and documents submitted in response to this RFP become the property of the Secretariat and will not be returned. This RFP will in no way obligate the Secretariat to compensate any Offeror for costs associated with the preparation of its Proposal.

#### **1.8. Reservation of Rights**

This RFP does not commit the Secretariat to award a contract, to pay any costs incurred in the preparation of a Proposal in response to this request, or to procure or subcontract for services or supplies. The Secretariat reserves the right to cancel this procurement at any time without prior notice. The Secretariat may require the Offeror to participate in discussions, solely at the Secretariat's discretion, and to submit such monetary, technical or other revisions of their Proposals that may result from such discussions. Offerors do not have the right to protest or seek a claim based on the Secretariat's exercise of its discretion or judgment in evaluating or awarding a contract arising from or relating to the Proposal. The Offeror expressly waives any and all rights and remedies under any civil action arising from or related to the submittal of a Proposal.

#### **1.9. Rejection of Solicitation Response**

The Secretariat reserves the right to reject any or all responses received or any part thereof, on any basis or for any reason to accept any response or any part thereof, or to waive any informalities when deemed to be in the Secretariat's best interest.

#### **1.10. Taxes**

Any applicable taxes that may be levied in connection with the Services in any jurisdiction will be the responsibility of the selected Project Verifier and are deemed to be included in the Offeror's proposed fixed price or fixed unit prices. The Secretariat

cannot confer any special tax- or duty-free status to the Project Verifier and the work is not exempt from any taxes or duties.

### **1.11. Evaluation Criteria**

Proposals will be evaluated and ranked by the Secretariat in the order in which they represent, in the Secretariat's sole discretion, the best value for AgResults. Greater weight will be given to the technical services than to price, but price (value for money) remains an important determinant for selection. Evaluation of the Proposals may include the following criteria (not in any particular order):

- a) The Offeror's demonstrated ability to perform the requested services.
- b) The management team proposed to carry out the scope of work.
- c) Past performance of similar or relevant services in Senegal.
- d) The price and value for money of the requested services.
- e) Compliance with the terms set forth in this RFP.

### **1.12. Compliance with Anticorruption Laws**

By submission of the Proposal, the Offeror represents and warrants that, in connection with this solicitation, the Offeror and any person or entity acting on its behalf has complied, and will continue to comply, with the U.S. Foreign Corrupt Practices Act (15 U.S.C. Section 78dd-1, et. seq.) as amended ("FCPA"), and all other applicable anticorruption laws, rules and regulations. As a general description, the FCPA prohibits corruptly offering or providing money, gifts or anything of value, to foreign (i.e., non-U.S.) officials for the purpose of obtaining or retaining business, or to secure an improper advantage. Other applicable anticorruption laws may also prohibit bribery of foreign officials or commercial counterparties. The Offeror, if awarded the Project Verification contract, must notify the Secretariat immediately of any suspected or known violation of this warranty.

### **1.13. Anticorruption Compliance Certification**

The Offeror is required to submit a completed and signed Anticorruption Compliance Certification (see Appendix 5).

### **1.14. Confidential Information**

Notwithstanding any agreements, including any separate nondisclosure agreements, already in place between the parties, the Secretariat assumes no obligation regarding confidentiality of all or any portion of a Proposal or any other material **except** that the Secretariat may not disclose any portion, which the Offeror clearly designates as containing proprietary information by affixing the following paragraph **on the title page**:

*"This proposal, where explicitly marked, includes data that shall not be disclosed outside of the AgResults Initiative and its respective advisors, consultants and contractors, and shall not be used or disclosed—in whole or in part—for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this Offeror as a result of—or in connection with—the submission of this proposal, the Secretariat shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Secretariat's right to use information contained in this data if it is obtained from another source without restriction."*

The Offeror will mark **each sheet** of data it wishes to restrict with the following: *“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.”*

Notwithstanding the foregoing, the Offeror agrees that its Proposal, including any portion containing confidential information, may be shared by the Secretariat with AgResults’ Financial Trustee, the AgResults’ Steering Committee and any or all Contributors to the AgResults Trust Fund. The Offeror’s Proposal may also be disclosed to third parties if required by order of a court, administrative agency or governmental body, or by any law, rule or regulation, or by subpoena, or any other administrative or legal process, or by applicable regulatory or professional standards; provided, however, that, to the extent permitted by applicable law, the Secretariat would use reasonable efforts prior to such disclosure to notify the Offeror and allow the Offeror to seek a protective order to restrict or narrow the disclosure in accordance with applicable law.

## Appendix 2 AgResults Background

### 1. AgResults Background

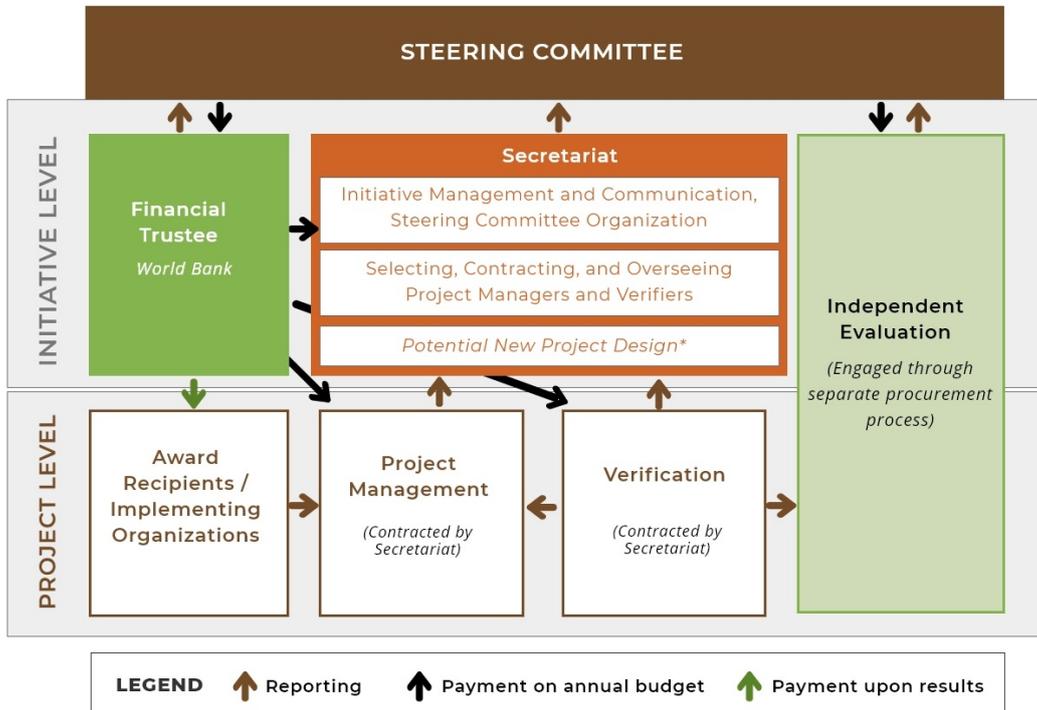
The AgResults Initiative (“AgResults”) is a US\$152 million multilateral initiative financed jointly by the governments of Australia, Canada, the United Kingdom, the United States, and the Bill & Melinda Gates Foundation (each, a “Contributor”) that uses Pay-for-Results prize competitions to incentivize, or “pull”, the private sector to overcome agricultural market barriers by investing in innovative research and delivery solutions that improve the lives of smallholder farmers. In doing so, AgResults goes beyond traditional “push”, or upfront grant funding, by harnessing private sector competition and innovation in spurring sustained market improvement. AgResults is currently implementing projects in Tanzania and Vietnam, along with a global Brucellosis vaccine development project and a regional vaccine development and delivery project in East Africa.

Several different bodies are involved in implementing the AgResults Initiative:

- A **Steering Committee**, comprised of donor organization representatives and the Trustee, makes strategic decisions.
- The International Bank for Reconstruction and Development serves as the **Financial Trustee** of the AgResults initiative and, among other things, manages donor contributions in a trust fund, makes payments of the grants or prizes to the Competitors, and contracts with the AgResults Secretariat.
- Deloitte Consulting LLP provides consulting services to AgResults and is known as the AgResults **Secretariat**. The Secretariat consults on new project design as well as on approved AgResults projects’ implementation. The Secretariat also provides services to contract the Project Manager.
- **Competitors** are organizations that participate or compete in each AgResults project and receive performance-based grants or prizes based on achieved and verified results. In case of the Senegal Project, the Competitors are private warehouse managers and producer groups (cooperatives) that will participate in the Project.
- A **Project Manager** manages day-to-day implementation of each specific project and oversees all verification work.
- A project-specific **Verifier** verifies, determines, and certifies whether Competitors have achieved their reported results and whether those results qualify for the payment of prizes.
- Subject to the prior approval by the Steering Committee, the Project Manager selects, engages, and works with a **Technical Advisory Committee** comprised of five industry experts to provide technical and advisory expertise and guidance to the Project Manager, the Secretariat and the Steering Committee. The Technical Advisory Committee is not a decision-making body but provides important input and formal links to key project stakeholders.
- The Steering Committee has also contracted with a third-party firm to serve as an **External Evaluator** of certain AgResults Projects to measure impacts and to compare AgResults project results to traditional, “push mechanism” development approaches.

The relationship among the key parties is illustrated below:

**Figure 1: AgResults Initiative Structure**



## Appendix 3 Terms of Reference

### 1. Project Verifier Period of Performance

The Secretariat expects to award to the selected Project Verifier a Firm-Fixed-Price Contract for the Project verification services detailed in this RFP for a period of four years and six months, subject to annual reauthorization in writing from AgResults:

- **Period of Performance:** November 1, 2021 to May 31, 2026

If AgResults, at its sole discretion, decides to exercise the next annual Period, the Secretariat will inform the Project Verifier no later than 30 days before the start of the annual Period to be exercised.

Payment of the Project Verifier's services under the contract will be made by the AgResults' Financial Trustee. The Trustee reserves the right to withhold from payment any taxes or similar fees as may be required by applicable law.

### 2. Project Overview

#### 2.1 Project Background

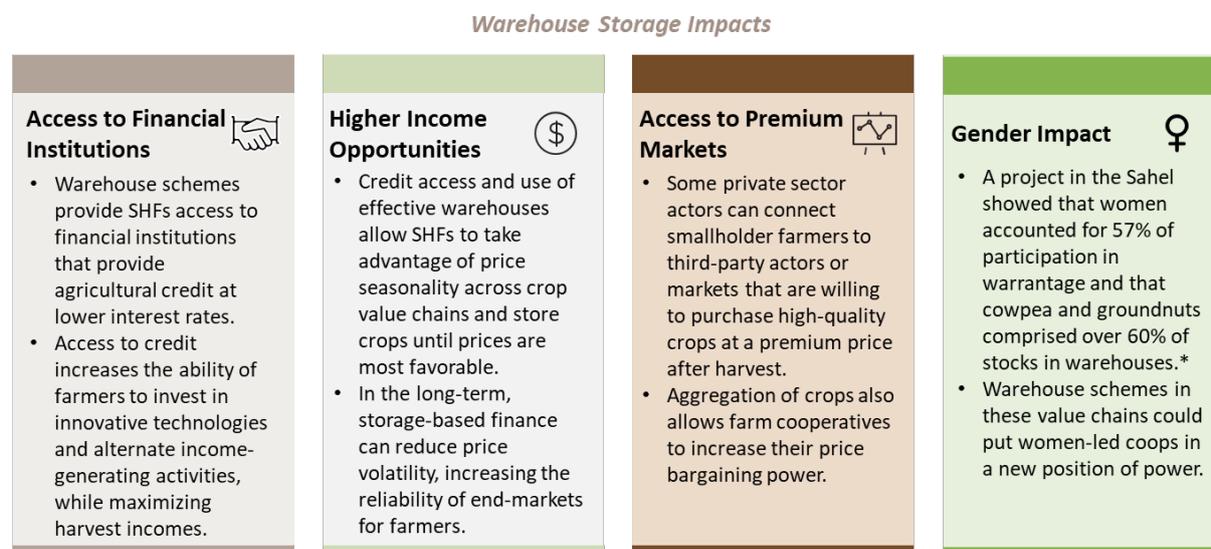
Smallholder farmers (SHF) in Senegal are often unable to maximize their harvest incomes due to limited ability to store to obtain high prices and inability to access credit.

**The storage challenge:** Pest and weather risks cause significant volumes of post-harvest loss among West African smallholder farmers, with one estimate showing that even a 5% loss in dry weight can translate to 25% of the value of that stored crop. Farmers require effective storage solutions that can increase value captured by smallholders by mitigating post-harvest losses. Storage availability can also reduce the artificial depression of farmgate prices during the harvest season, reducing overall price volatility and allowing farmers using storage to take advantage of higher, lean-season prices.

**The finance challenge:** Storage solutions alone often do not allay harvest-time financial pressure faced by smallholder farmers, who sell their crops during harvest to meet seasonal financial obligations such as school fees. This problem is particularly acute for Senegalese women, of whom just 4% are estimated to have access to loans from formal Financial Institutions (FIs). Storage-based finance could increase access to finance during the harvest that could allow smallholder farmers to pursue income gains through storage without sacrificing harvest-time liquidity. In addition, accessing finance could allow smallholder farmers to invest in productivity-increasing inputs and other enterprises, leading to further income gains.

Storage-based finance schemes such as Warehouse Receipts Systems (WRS) have the potential to solve the dual storage and finance challenges for smallholders if they reach scale. Increasing the accessibility of storage-based finance to smallholder farmers would allow for more inclusive opportunities to increase incomes across value chains. The figure below provides an overview of the potential benefits of such a system.

**Figure 1: Warehouse Storage Impacts**



However, although examples of storage-based finance schemes exist in Senegal, they have not yet been able to scale. These and other projects from across West Africa have illuminated particular barriers to entry for each required stakeholder group related to incentives, awareness, and trust.

Barriers Typically Limiting Take-off of Storage-Based Finance		
Warehouse operators	Producer Groups	Financial Institutions
Warehouse financing requires operators to access warehouses and manage relationships with farmers' groups and banks. There have not been adequate incentives for them to invest in warehouse infrastructure and in developing the required schemes.	In previous WRS trials, producer groups did not find that the seasonal price difference was enough to cover the costs to fund a third-party collateral manager. A warehouse project would need to identify the value chains and actors with the highest income gain opportunities.	Complementary to the lack of trust of SHFs, financial institutions lack the incentive to participate in storage schemes due to difficulties ensuring crops are of high quality and can be sold at a premium price that would cover interest rates.
The legal framework for WRS has typically lagged, creating an uncertain playing field for potential WRS operators.	WRS and warrantage activities have existed in Senegal at a small pilot scale. There has been a general lack of building SHFs' awareness of this model.	There are a number of banks and microfinance institutions in Senegal already providing credit to farmers' groups, but sensitization of storage-based finance solutions is still low.
As intermediaries, the warehouse operator must be local enough to obtain the trust of farmers, but professional to gain the trust of financial institutions. Warehouse operators must have the ability to establish trusted relationships with both parties.	Storage-based finance may seem complex and risky to many farmers. When introducing schemes, there has been a lack of a rigorous communication and financial education strategy that makes farmers comfortable.	Banks have historically seen farmers as risky recipients of credit. Additionally, they often do not recognize agricultural commodities as sufficient collateral that can be use when assessing loan risk.

That said, there exists an important opportunity to overcome these barriers in Senegal. Recent successful trials and policy changes have created a favorable enabling environment:

**Supportive Government Regulations**

- In July 2017, the Government of Senegal instituted a law regarding the Warehouse Receipt System that outlines the responsibilities and obligations of each actor and puts in place the general infrastructure needed to develop WRS schemes.
- The Ministry of Commerce (MoC) is currently finalizing the regulatory body that will license warehouses for participation in WRS. This regulatory body is expected to be up and running by early 2021.

### Successful Pilots with Key Guiding Lessons

- In partnership with the MoC, the International Finance Corporation (IFC) is running a series of WRS pilots in different value chains. Lessons learned from these pilots are helping to identify value chains with the highest post-harvest arbitrage opportunities, design storage-based finance schemes with low transaction costs, and incentivize warehouses located near production areas to participate.
- The Strengthening African Rural Smallholders (STARS) project has seen solid results running a WRS-like pilot in Louga involving cowpea farmers.

### Value Chain Actor Interest due to Success of Similar Programs

- The USAID-funded Nataal Mbay project in the Senegal River Valley rice value chain developed a response to financial institutions' hesitation to lend to rice farmers due to a perceived high risk and lack of available collateral. The project worked with rice processors and financial institutions to broker an alternative financial contracting arrangement using third-party collateral managers to monitor rice paddy stocks as collateral, increasing trust and transparency amongst actors.
- Due to the success of this project, key rice value chain actors—such as La Banque Agricole, the insurance company CNAAS, and private collateral manager companies—have expressed interest in pursuing further storage-based finance schemes.

### Emerging Business Outlook of Producer Groups

- There exist a number of producer groups (cooperatives, unions, and GIEs) that are already providing warehouse storage services to members and that could potentially transition to a storage finance-based service model.

## **2.2 Project Goals and Theory of Change**

The AgResults Senegal Crop Storage Finance Challenge Project (the “Project”), aims to use a private sector prize competition to incentivize uptake of WRS among SHF in Senegal. The project’s objectives are the following:

1. Increase SHF incomes.
2. Increase SHF food security.

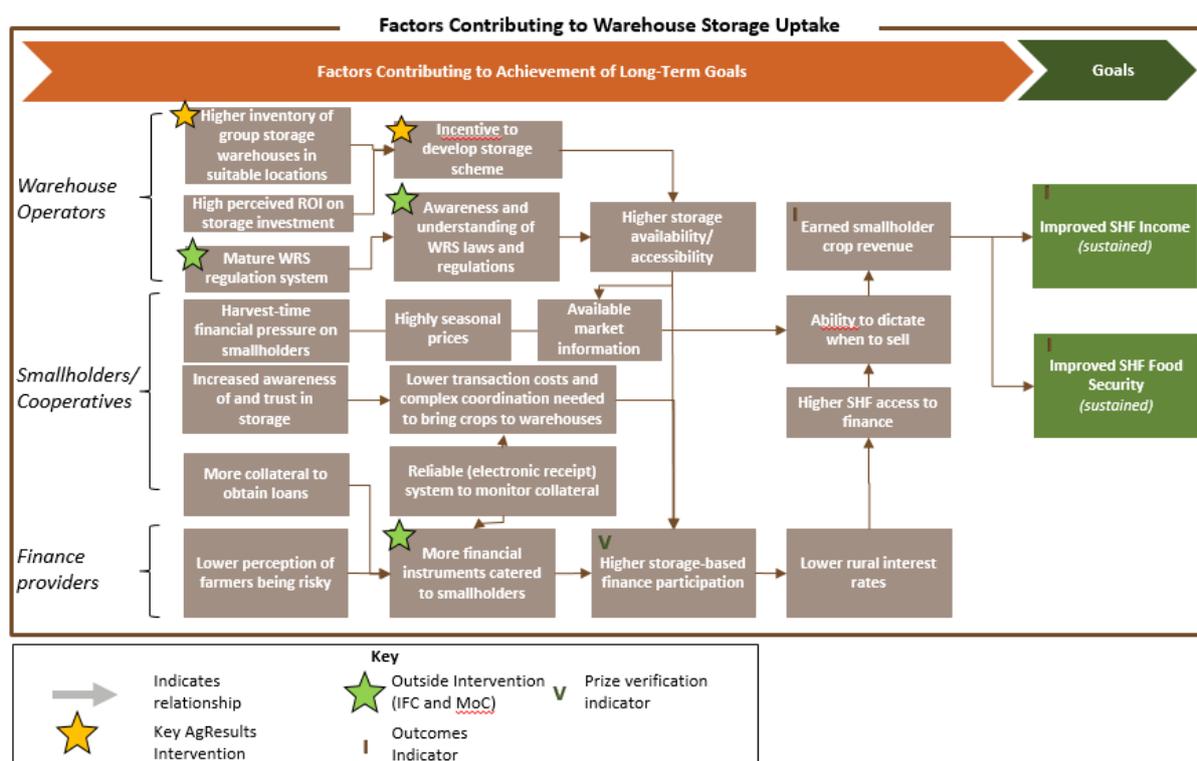
To achieve these objectives, AgResults will implement a prize mechanism to award monetary prizes to private sector competitors, including producer groups, that 1) successfully obtain a WRS license from the MoC’s licensing agency, and 2) successfully store SHF crops using

such a scheme. The project will award prizes to competitors obtaining a WRS license on a rolling basis, and to competitors successfully storing crops on an annual basis.

The project currently has no regional restrictions, except that competitors must be based in and operating warehouses in Senegal. Further research during the pre-launch period may eliminate certain regions from consideration. Please see Annex 6 for illustrative details about the proposed Project.

The project’s Theory of Change is presented below as Figure 2.

**Figure 2: Project Theory of Change**



### 2.3 Competition Timing and Stages

After an initial “pre-launch” phase to finalize the parameters of the contest, the contest will be run on a continuous basis over five years. The project includes two phases:

**Phase 1** will award competitors for upgrading their warehouses to achieve quality standards so that banks are willing to lend against commodities stored in warehouses. Competitor activities in this phase will include:

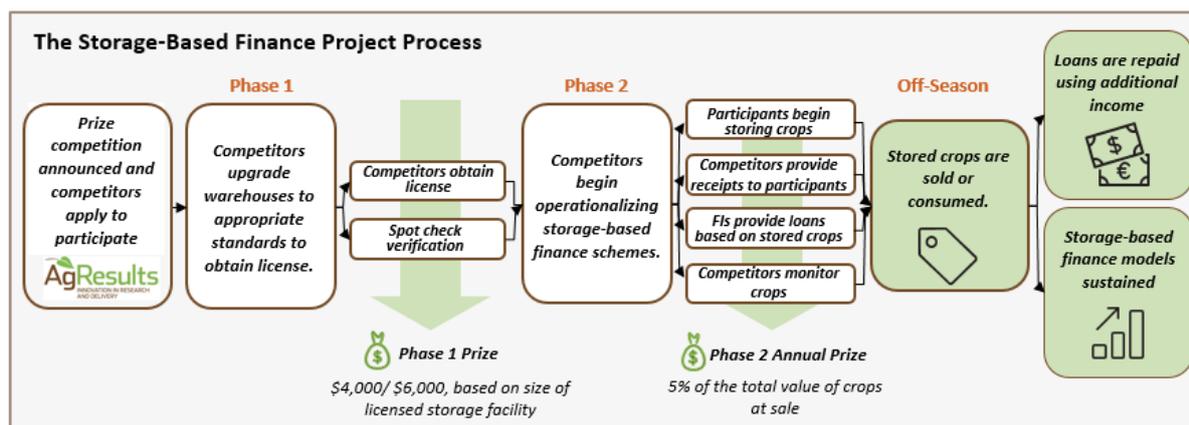
- Investing in warehouse upgrades including physical repairs and purchase of necessary equipment including scales, pallets, etc.
- Engaging farmers and financial institutions to participate.

**Phase 2** will incentivize competitors to implement storage-based finance schemes by engaging depositors and financial institutions. Competitor activities will include:

- Continued engagement with depositors and financial institutions to participate in the schemes.
- Storing and monitoring crops on behalf of SHFs.
- Releasing storage receipts and reporting to the AgResults Verifier.

Please see below for more details regarding competition phases. The full project process is provided below as Figure 3.

**Figure 3: Project Competition Process**



### **Phase 1: Warehouse License Prize**

At any point after the launch of the competition, prospective competitors can apply to participate in the competition through an application process to be managed by the Project Manager. The first stage of the application, in the form of a simple Expression of Interest (EOI), will serve to register a prospective competitor’s intent and allow AgResults to engage further with that competitor to provide more information or facilitate linkages with potential partners.

The second part of the application, a full Request for Applications (RFA), will act as both an award trigger and as a **gateway** to qualify competitors, and their proposed crop storage warehouse(s), to move to Phase 2. The second part of the application will require prospective competitors to provide proof of several required components:

1. Proof of successfully obtaining a license from the *Organe de Régulation du Système de Récépissé d’entrepôt*, the WRS governing agency managed by the MoC.<sup>1</sup>
2. Documented evidence that the actor is planning on managing storage-based finance schemes with smallholders and financial institutions. This evidence may include both a statement of intent and proof of an existing financial arrangement with a financial institution.

<sup>1</sup> As the WRS licensing agency will not be fully operational by the launch of the competition, AgResults will implement an interim verification solution until the licensing agency is fully operational.

- Evidence that the competitor has ownership and/ or management authority of a qualifying warehouse with a minimum size of **100m<sup>2</sup>**, roughly equivalent to 120t+ of storage capacity.

If an applicant provides proof of these and other criteria to be determined by AgResults during the pre-launch phase, then they will receive a **monetary prize of \$4,000 for each licensed warehouse under 200m<sup>2</sup>, and \$6,000 for each licensed warehouse over 200m<sup>2</sup>.**

These prizes are sized to help cover the estimated costs needed to upgrade warehouses to meet WRS licensing standards.

Each warehouse that a competitor wishes to propose in the competition will require its own license along with the other required documentation.

To encourage producer groups to apply to the competition, AgResults through the Project Manager will conduct outreach and facilitation events (partnering with other donor and government-funded initiatives where possible) to inform producer groups and allow them to register interest in the competition.

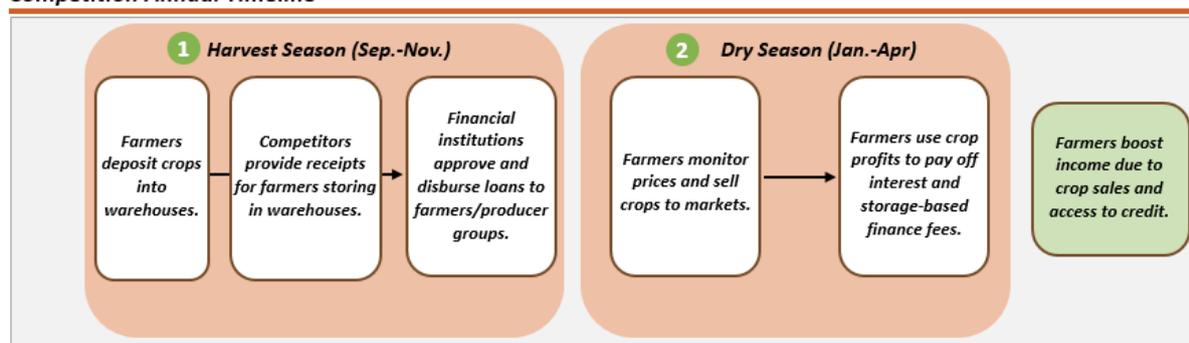
### **Phase 2: Crop Storage Prize**

The second phase of the project will aim to incentivize potential competitors to create innovative business schemes that engage SHFs for crop storage to take advantage of access to finance and seasonal price arbitrage. Only by successfully passing the Phase 1 stage (i.e. submitting a successful application) may a competitor participate in Phase 2.

Each year, AgResults competitors will engage their warehouses in WRS storage systems, allowing SHFs to deposit crops and receive receipts that they can then use to obtain loans from participating FIs. Upon the sale of the stored crops, SHFs will be able to pay off both the loans and the accumulated WRS storage fees. From AgResults, competitors will receive a monetary prize equal to 5% of the total value (at the time of sale) of all crops stored using the WRS scheme. This prize will be paid annually based on successful verification. Please see Figure 4 for an overview of the Phase 2 process.

**Figure 4: Annual Phase 2 Competition Timeline**

**Competition Annual Timeline\***



\*Rice farmers may be able to plant and store for two seasons in one year and may receive maximum benefits from 2-3 months of storage.

In addition to the requirement of employing a WRS scheme that conforms to the requirements of the WRS Law of 2017 and the WRS guidelines to be developed by the WRS regulatory

agency, competitors must also adhere to additional rules designed to encourage SHF participation:

- 1) There will be a maximum value of **30 tons per depositor** that can be eligible for the prize award. The maximum storage value per farmer will incentivize warehouse managers to store smallholders' crops rather than just large farmers' crops. This requirement will also incentivize competitors to work with the largest number of farmers possible. Receipt review and random spot checks by the AgResults Verifier will support compliance with this rule.
- 2) To avoid gaming, crops stored will be eligible for prize awards only **after one month of storage**. The storage length requirement will prevent the same crops from being stored in multiple warehouses during the same season. The requirement will also encourage farmers to store crops long enough to receive the intended income improvements.
- 3) AgResults will require competitors to track crop deposits via electronic means, ensuring data quality and audit capability.

There are no limitations at this time in terms of the types of allowable crops that could be stored under this competition. However, we anticipate that groundnuts, cashews, rice, cowpeas, and to a lesser extent maize and millet may be prioritized.

## 2.4 Verification

Verification begins at the application stage. At this point the competition's Advisory Committee and Project Manager will review the initial Expressions of Interest (EOI) and provide a high-level decision on whether to allow the prospective competitor to proceed to the Phase 1 full application submission. For example, the Advisory Committee may determine that certain competitors are not capable of meeting competition requirements and prevent their inclusion in the competition in order to avoid wasted effort and resources by all parties.

To ensure compliance with AgResults standards and rules during the Phase 1 final application and annual Phase 2 verification, AgResults will engage a third-party prize competition Verifier that will provide comprehensive verification services to AgResults. The verification will be in place prior to competition launch so that clear verification protocols are established. The Project Manager will have oversight responsibility over the process.

Specifically, the Verifier will implement two verification processes during Phase 1 and Phase 2:

1. In **Phase 1**, the Verifier will examine each competitor's full-application dossier, including competitor WRS license documentation with the Ministry of Commerce, as well as validate the competitor's compliance with quality standards stipulated by AgResults rules as well as its warehouse capacity guidelines. As the official WRS licensing process is not yet fully operational, AgResults will implement a provisional licensing process, described below in section 3, until such time as the official licensing process becomes operational.

Phase 1 Verification will include collecting storage-based finance intent documentation and following up with financial institutions and cooperatives to evaluate the legitimacy of the intent. After reviewing the documentation, the Verifier will submit results indicating the size of the prize awarded per warehouse.

Competitor document submission and Phase 1 prize determinations will occur on a rolling basis depending on the value chain in question and according to various agricultural calendars.

2. In **Phase 2**, the Verifier will collect and examine data on stored crops and loans. Using randomized spot checks, the Verifier will confirm the total quantities, ownership and value of the qualifying deposited crops that are stored at each participating facility. The Verifier will also substantiate the terms of the final crop sales at close of each year during Phase 2 in order to accurately calculate the prize amounts that each competitor will receive based upon the confirmed final value of the stored crops.

Warehouse auditing will occur on a rolling basis while annual awards will be paid out by AgResults on an annual basis. Verification services must be in place prior to competition launch so that clear and transparent verification protocols can be communicated to competitors. AgResults will put in place a dispute resolution process in the case of any results-based disputes.

### **3. Project Verifier Responsibilities and Tasks**

The Verifier Team will be responsible for carrying out the Scope of Work described in this section, based on guidance provided by the Secretariat and Project Manager and exercising the duty of care and professional skill expected of a professional audit or certification firm.

#### **3.1 Overall Responsibilities of Verifier**

The AgResults Verifier will provide comprehensive verification services for AgResults competitions, including developing reporting and auditing procedures that validate that participating warehouses meet the requirements for prizes and that all crop storage activities operate according to the rules established by AgResults. There are two types of prizes for which the Verifier will verify results.

##### ***Phase 1 Prize: Warehouse License***

The Phase 1 Warehouse License prize is awarded to competitors who successfully obtain a license from the ORSRE to implement WRS in their owned or rented warehouse(s). For this prize, the Verifier will confirm with the ORSRE that it has issued a license to the competitor.

During the first year of the contract, it is anticipated that the ORSRE will not yet be issuing licenses. During this period, the Verifier will verify that standards are being met according to those laid out in a provisional licensing process established by the Project manager and Advisory Committee and the participating Finance Institution. The Verifier will confirm that the competitor has an agreement in place with a financial institution for WRS and that the competitor has obtained crop storage insurance from the Compagnie Nationale d'Assurance Agricole du Sénégal (CNAAS).

## **Phase 2 Prize: Crop Storage**

The Phase 2 Crop Storage prizes will be paid annually to competitors that successfully store crops that meet the requirements outlined in the AgResults competition rules. The high-level tasks of the Verifier are as follows:

- Review competitor data reports during the verification period.
- Analyze storage and loan trends over time to detect abnormal activities.
- Attribute crop deposits to client types to determine an accurate picture of the participation by client type (smallholder, women, youth).
- Conduct spot audit visits to ensure that crops are appropriately stored as detailed in the original approved applications, to verify that electronic records are not missing or tampered with in abnormal ways and to ensure that competitors are adhering to the minimum storage time requirement.
- Determine total storage amounts eligible for prizes for each competing warehouse according to the AgResults rules. Tabulate prize amounts based upon the AgResults rules.
- Conduct periodic interviews with financial institutions, collateral managers, crop storage insurance providers and producer groups and other partners to detect any inappropriate collusion or coordination during the competition.
- Contact random inspection of contracts to validate amounts stored and prices received at time of sale.
- At the end of each Phase 2 cycle, submit a report of the cycle's results, detailing the quantities stored at each warehouse by client type, the final purchase prices for each client's crops and the anticipated prize payout amounts for each competing warehouse.

The specific Crop Storage prize verification methods are described in more detail below.

**Storage Audits.** For crops stored, the Verifier will conduct audits of competitor documentation to confirm that competitor/farmer reported storage information is accurate. The Verifier will monitor stocks stored by competitors to confirm that reported storage figures are aligned with crop sales data. Irregularities between storage entry/ exit information will be further investigated by the Verifier to prevent against competitor gaming or fraud.

**In-Person Spot Checks.** Spot-checks done through random visits will provide an additional layer of verification. The Verifier will use unannounced spot-checks to verify volumes and quality of stored stocks, validate that stocks are owned by real depositors, and confirm compliance with storage regulations as outlined in the AgResults rules and approved final application. The Verifier will also conduct additional spot checks if there are red-flag instances.

**Determination of Results.** The Verifier will run progress reports and tabulate results on an ongoing basis, with reporting due to the Secretariat and Project Manager every three months during the competition period. This will enable the Verifier to monitor storage stocks, track sales agreements and determine where and when to conduct spot checks, and identify any abnormalities on a periodic basis. At the end of each annual period, the Verifier will tabulate

results and recommend awards based on the AgResults award formula of 5% of total eligible stock value at sale outlined in section 2.3.

**Risk Management.** The Verifier's work will confirm whether each competitor's self-reported storage data are accurate so that prizes are calculated and paid correctly per the contest rules. Verifier must develop appropriate checks to prevent potential abuse such as:

- *Misstated quantities or sales values:* the risk that reported quantities and/or sales values are inflated by a competitor, increasing the final prize amount.
- *Ownership manipulation:* the risk that competitors manipulate data regarding stock ownership.
- *Disputes:* the risk that warehouses or finance partners dispute receipts issued to SHF.

### 3.2 Verifier Detailed Tasks

The following are the proposed tasks that the Verifier will perform.

#### 3.2.1 Verifier Orientation and Start-Up (within two weeks of signing of contract)

Activities to be carried out include:

- a) Hold an orientation meeting with the Project Manager to do the following:
  - i. Review verification objectives, the scope of work, approach, timelines and expected outputs.
  - ii. During this meeting, develop communication and feedback protocols for use during the assignment, including how to manage any significant issues or challenges that might arise during the assignment.
- b) Develop an overall detailed design of the assignment including a comprehensive work plan. The design shall describe the verification procedures to be employed, including:
  - i. Methodology and tools for conducting interim verification of the Phase 1 Warehouse License prize.
  - ii. Methodology and tools for conducting storage auditing related to the Phase 2 Crop Storage prize.
  - iii. Field visit sampling methodology for spot checks including process of randomization and the verification instruments to be employed in the completion of the assignment.
  - iv. Quality control mechanisms to be employed by the Verifier in carrying out the assignment.
  - v. Any verification tools or report templates to be used.
  - vi. The Verification design and work plan will be reviewed and approved by the Project Manager Team and the Secretariat.

#### 3.2.2 Phase 1 Prize Assessments (Ongoing)

Until ORSRE begins issuing WRS licenses, activities to be carried out include:

- a) After competitors have submitted an Expression of Interest, work with Project Manager to gather and review submitted documentation necessary for AgResults provisional licensing approval. Documentation includes:
  - i. Proof that warehouse meets ORSRE WRS regulations for facility standards and WRS procedural requirements;
  - ii. Proof of financial institution commitment to provide lending to that competitor and warehouse through WRS;
  - iii. Proof of CNAAS or equivalent crop storage insurance policy covering WRS activities in that warehouse;

- iv. Proof of agreement with producer's organization(s) to have members store crops using WRS in that warehouse;
  - v. Other documents and evidence as may be required by AgResults.
- b) For each competitor, provide Secretariat and Project Manager with the final results of Phase 1 prize assessment, including any applicable awards to be paid out.

Once ORSRE begins issuing WRS licenses, Phase 1 activities to be carried out include:

- a) For new applicants, activities include the following:
  - i. Engage with ORSRE to verify that each competitor has obtained a WRS license for the warehouse(s) in question;
  - ii. Obtain proof of agreement with finance partner(s) to provide financing per the approved WRS methodology in the approved application;
  - iii. Obtain proof of agreement with producer's organization(s) to have members store crops using WRS in that warehouse;
  - iv. Other documents and evidence as may be required by AgResults.
- b) For competitors who have received provisional AgResults approval, confirm that within six months from the date that ORSRE begins issuing licenses that existing competitors must obtain a ORSRE license.

### **3.2.3 Phase 2 Crop Storage Verification Activities (Ongoing during competition period)**

Activities to be carried out include:

- a) Review competitors' WRS implementation to ensure it is in compliance with the approved application submitted during Phase 1.
- b) Document competitor controls and accountability measures to avoid fraud and abuse that could imperil the verification objectives in Section 3.1.
- c) As per the International Standard on Auditing (ISA) 550 or similar standards in supply chain certification, identify the related party's relationships and transactions in relation to risks of misstatement, falsification, or inappropriate collusion.
- d) Identify potential risks inherent in the operations systems for each competitor as they relate to the Project.
- e) Develop a detailed verification program for each competitor based on their approved list of crops they plan to store and the methodology they will employ. This will include the plan for documentation review, field interviews, and any required travel to competitor offices, warehouses, and/ or other verification locations.
- f) Collect signed competitor self-reported crop storage reports for the verification period and test for data quality against the documents and activities below. Each sales report for each competitor shall include the following:
  - i. Description of the client type (SHF, women, youth), name, phone number, gender, geographic location, and other information to be defined prior to competition start.
  - ii. The amount and type of crop stored by each client as well as the final selling price for crop.
- g) Test internal control systems for initiation, review, approval and processing of both cash and credit sales. Activities to be carried out include:
  - i. Obtain and review written competitor policies or management representations on specific controls.
  - ii. Conduct interviews with operational staff to ensure that competitor policies are understood by the staff.
- h) Verify customer validity:
  - i. Flag and investigate any suspicious storage activities that are initiated by the competitor and/ or their project partners.
  - ii. Verify and reconcile crop sales receipt documents.

- iii. Reconcile sales recorded via warehouse receipt documentation furnished by financial institution.
- i) Sales book/ledger audit:
  - i. Verify that all competitor's electronic data for the reported crop entry and exit are supported through receipts and other documentation.
  - i. Check that ledger entries are referenced to valid warehouse receipts.
  - ii. Flag and specifically investigate sales ledger entries that are not supported by valid receipts.
  - iii. Analyze the trend of crop storage from one reporting period to the next describe any observed unusual activity.
  - iv. Obtain a listing of, and investigate reasons for, any payments made by the competitor to participants.
- j) Field visits:
  - i. Conduct an initial field visit or use other means to verify the location of each competitor's warehouse and establish a relationship.
  - ii. Conduct randomized field visits to competitor warehouses, based on the field visit sampling methodology proposed and approved in the workplan, to validate crop stocks.
- k) Gather any other relevant and sufficient evidence to substantiate in all material aspects the accuracy of each competitor's sales and quality reporting documentation.

### **3.2.4 Sales Verification Reporting and Dispute Resolution (Ongoing during the competition period)**

The Verifier will undertake the following tasks:

- a) Every three months during the competition period, prepare a short report for each Competitor showing the results of the crop storage verification in the following format:
  - i. The total amount of crops stored that were verified differentiated by crop type and client type;
  - ii. The total amount and price of crops subsequently sold and validated by the Verifier to have met the Project's criteria for award eligibility.
  - iii. The total amount of ineligible sales and reason(s) for disqualification.
  - iv. Specifically flag ineligible transactions suspected to be fraudulent.
- b) Present and discuss the draft reports with the Project Manager and Secretariat.
- c) After approval by the Secretariat, present the individual draft reports to each competitor, and provide an opportunity for the Competitor to explain any discrepancies as needed.
- d) At the end of each annual competition period, present the final Verification Report to the Project Manager and the Secretariat. This report will include the Verifier's final recommendations for annual awards in accordance with the Project's contest rules and based on verified data.
- e) Be available to answer verification-related queries and help to resolve verification-related disputes arising from the competitors:
  - i. Disputed Verifier findings will be reviewed by the Secretariat.
  - ii. Per the dispute mechanism in competitor agreements, the Secretariat may request the Verifier to re-examine their results.
- f) Hold bi-weekly calls with Project Manager to provide updates of:
  - i. Summary of ongoing verification work;
  - ii. Any significant issues and challenges experienced with the Competitors, how the challenges were resolved or are proposed to be resolved;
  - iii. Any anticipated delays in completion of the verification and plans for mitigating such delays.

### 3.2.5 Data Quality Control

The Verifier will be responsible for data quality control of the competitor verification reviews. In particular:

- a) The Verifier must demonstrate independence, integrity, ethics and objectivity
- b) All verification working papers prepared by members of the Verifier team should be reviewed and approved by a senior member of the team other than the preparer.
- c) A checklist should be prepared by the Verifier’s Team Leader in advance to guide field staff in identifying significant matters (including potentially fraudulent competitor practices) and escalating them to the Team Leader.
- d) The Verifier must create and retain complete and well referenced verification documentation and records.

## 4. Verifier Deliverables and Reporting

The table below lists the deliverables and minimum reporting requirements. This list is not intended to be exhaustive or restrictive but provide the Verifier with reporting expectations. Before submitting reports and deliverables, the Verifier will submit reporting templates for approval.

**Table 1: Deliverables and Reporting Requirements**

Corresponding Task	Deliverables Required	Due Date
Verifier Orientation and Start-up (3.2.1)	<p>Detailed design of the assignment including a comprehensive work plan. The design shall describe the verification procedures including:</p> <ul style="list-style-type: none"> <li>• Methodology for conducting interim Phase 1 and Phase 2 verification activities.</li> <li>• Field visit sampling methodology including process of randomization and the verification instruments to be employed in the completion of the assignment.</li> <li>• Quality control mechanisms to be employed by the Verifier in carrying out the assignment.</li> <li>• Any verification reporting templates to be used.</li> </ul>	Two weeks after date of fully executed contract
Warehouse License (Phase 1) Verification (3.2.2)	<ul style="list-style-type: none"> <li>• For each applicant to Phase 1, either 1) an provisional assessment of application validity based on required documentation, or 2) confirmation that the competitor has received a WRS license from ORSRE.</li> </ul>	Ongoing
Crop Storage (Phase 2) Verification (3.2.3/ 3.2.4/ 3.2.5)	<p>Verification report for each Competitor showing the results of the storage and sales verification in the following format:</p> <ul style="list-style-type: none"> <li>• The total amount of sales that were verified differentiated by crop</li> <li>• The total amount of sales deemed eligible based on the applied verification method to have met the Project’s criteria for valid sales;</li> <li>• The total amount of ineligible sales and reason(s) for such ineligibility;</li> <li>• Specifically highlight that amount of ineligible sales suspected to be fraudulent.</li> </ul>	Every three months during competition period

Final Annual Verification Report (3.2.4)	Final Verification Report to the Project Manager and the Secretariat. This report will include results of competition period verification and the Verifier's final recommendation for awards payments in accordance with the Project's contest rules.	60 days after end of each annual competition period
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## 6. Verifier Team – Key Personnel Roles and Responsibilities

The following are the roles and responsibilities of the key personnel positions for the Verifier team. The key personnel are essential to the successful performance of the sales verification. All staff filling these key personnel positions are subject to approval by the Secretariat and may not be changed without the Secretariat's prior written approval.

- Team Leader (TL)/ Lead Verifier: A Certified Public Accountant (CPA) or certification professional and member of a professional accounting or certification body with at least 10 years of experience in audit or work similar to this assignment. The Team Leader's primary role will be to ensure that all aspects of this assignment are delivered with quality and per the agreed upon deadlines. More specifically, the Team Leader will:
  - Be the principal liaison with the Project Manager and the Secretariat
  - Lead overall management of the verification team and the audit engagement
  - Understand and be able to convey the thinking behind the proposed verification system
  - Conduct thorough review of all agreed-upon deliverables.
  - Deliver high quality reports to the Project Manager and the Secretariat
  - Assist the Project Manager and the Secretariat in resolving any disputes that may arise with companies concerning the verification results
  - Ensure all verification work papers are well organized and preserved for at least 3 years after the completion of the assignment.
  - Senegalese nationals preferred.
  
- In addition to the Team Leader, the Offeror may propose any combination of staff who will together fulfill the following tasks and requirements:
  - Organize, supervise and evaluate the detailed verification activities including storage and sales audits, data collection, and field verification visits
  - Able to interact with the management of the competitor companies
  - Confirm the verified sales and quality reports
  - Resolve any disputes over discrepancies in company reported and audited sales
  - Ensure all audit papers are well organized and preserved
  - Senegalese nationals preferred.

<b>Appendix 4</b> <b>Proposal Requirements</b>
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## Proposal Requirements

### 1. Technical Proposal

Offerors are required to address the components below in a response limited to ten (10) pages, notwithstanding the separate annexes outlined below that will not count towards the page limit. Any specific additional page limits for annexes are noted below.

#### 1.1 Technical Approach and Methodology

- A) The offeror shall present their overall approach to the AgResults Senegal Project Verifier role. In particular, the offeror shall demonstrate the following:
- Technical understanding of the project and Terms of Reference;
  - A clear, logical approach to implementing the project Terms of Reference, particularly with balancing the different verification methods required.
  - Sound, objective, and transparent methodology for verifying results and proposing prize awards.

#### 1.2 Corporate Capability and Past Experience

- A) The offeror shall provide a statement of Corporate Capabilities included as part of the technical proposal response. Included in this statement, **the offeror must provide evidence of an existing presence and registration in Senegal.**
- B) In an annex, the offeror shall also provide three past performance references related to the efforts identified in the Terms of Reference. Each reference in the annex should be no more than two pages. These references should identify the specific role the offeror played in each project, particularly if they were part of a larger team.
- Please provide a description of the services, name(s), e-mail addresses, and phone numbers of the client(s)/customer(s) to whom the services were provided, dates and periods during which the indicated services were provided, and the extent and nature of services provided. (The Offeror consents to the AgResults Secretariat contacting and verifying these references at its discretion.)
- C) In an annex, the Offeror shall also provide a one-page list of relevant ongoing and past projects or activities, with budget amounts, duration and total level of effort provided for the past five (5) years or more if relevant.

#### 1.3 Personnel and Management

The Offeror should provide in the technical response details about the proposed staffing and management structure required for executing the Verifier activities. All key personnel should be indicated in the Proposal and their commitment confirmed (future substitution of such personnel will be subject to the Secretariat's written approval). The Secretariat or its designee reserves the right to interview the Lead Verifier and other individuals as part of the selection process.

##### 1.3.1 Key Personnel – Position Requirements

- a) The Offeror shall provide as an annex to the technical proposal a list of any

proposed key staff by specialty and include CVs recently signed by the proposed professional staff and authorized representatives submitting the proposal. The key information should include number of years working for the firm/entity and degree of responsibility held in various assignments and relevance of their experience with respect to the requirements set forth in Section 3. The Offeror should list the tasks that will be assigned to each proposed key staff team member.

- b) The minimum list of key positions and their qualifications are listed in Section 3.

The Offeror will include an explanation of the structure of the performing team (the key personnel and Support staff – see 1.3.2). If the Offeror proposes a different configuration, it should be included in the personnel section and justified.

### 1.3.2 Support Staff

Key Personnel are accountable for all verification tasks described in the Scope of Work. The Offeror must provide a summary of other staff, if any, that will have a role in the work and/or in supporting any of the Key Personnel. Please state the role, for which the individual is being proposed, how his or her qualifications correspond to that role, and provide a summary description of the individual and attach detailed CVs. Staff named in the proposal will be expected to be available to start performing the work upon contract award.

It is expected that for the purposes of verification field work, the Offeror would appoint Verification Assistants (equivalent of Audit Assistants), who would be persons with at least bachelor's degree and 1-3 years of experience in audit or work similar to this assignment.

### 1.4 Illustrative Year 1 Work Plan

Building on the details provided throughout the RFP, the Offeror must include as part of the technical proposal an illustrative Work Plan for Year 1, with activities defined monthly, for the activities described in the Terms of Reference in Appendix 3. Offerors must include an estimated timing of major activities, deliverables, and interaction with other entities. Upon award, a definitive Year 1 Work Plan will be required within 15 days for discussion and approval by the Secretariat.

## 2. Cost Proposal

The Offeror shall submit a separate file containing a full Cost Proposal on a **firm-fixed-price basis**, using the provided fixed-price cost template along with any information to support and justify the proposed costs. The cost response should include all fees and expenses, including any taxes, for the entire contract period, as well as on a per-year basis, as per the Terms of Reference and following the cost template.

The Cost Proposal should cover all the activities detailed in the Scope of Work in Appendix 3.

The proposal should - at a minimum - include a breakdown of anticipated costs as follows:

- a) Labor costs based on fixed daily rates for each labor category, utilizing the Verifier Pricing Template in Appendix 5.
- b) Travel costs to conduct the Scope of Work in Appendix 3 of the Terms and Reference. This may include trips to competitor facilities and warehouses as needed.
- c) Any other additional expenses related to the assignment fully broken down

### Notes:

- Proposed payments will be made quarterly and tied to deliverables proposed by the Project Verifier in the submitted illustrative Work Plan.
- All expenses should be listed separately, with sufficient detail to allow for evaluation as to the reasonableness of the items proposed.
- In budgeting for this project, assume 5 competitors in Year 1, 10 in Year 2, 15 in sales period 3, and 20 in sales periods 4 and 5.
- Offerors should include notes on labor and other direct cost assumptions to justify the expenses.
- Offerors must clearly denote any labor or other direct costs that will go towards verifying the hatcheries prizes.
- All prices shall be quoted in US dollars.
- Offeror is responsible for any applicable taxes and similar fees (those are deemed included in the proposed fixed price). Deloitte Consulting cannot confer any special tax- or duty-free status.
- Payments to the selected Offeror will be made after receipt of the deliverables by the AgResults Secretariat and will come from the World Bank-administered Trust Fund.

### 3. RFP Schedule of Events

1. **Deadline for Proposals**, with all required signatures, including a completed and signed Anticorruption Compliance Certification, is no later than 1700 Hrs. US Eastern Time (US ET) on **September 30, 2021**. Proposal documents should be submitted in one email to [info@agresults.org](mailto:info@agresults.org). Please indicate “Senegal Project Verifier RFP” in the subject line of the email.
2. **Questions** concerning the Project, or this RFP may be submitted by vendors at any time, but no later than 1700 Hrs. US Eastern Time (US ET) on **September 3, 2021** to [info@agresults.org](mailto:info@agresults.org). Please indicate “Senegal Project Verifier RFP Questions” in the subject line of the email.
3. **Answers** to timely-received questions will be posted on the AgResults website no later than 1700 Hrs. US Eastern Time (US ET) on **September 10, 2021**. Answers to questions will be posted on <https://agresults.org/news-and-blog/10-blog/220-rfp-senegal-crop-storage-finance-verifier>.
4. The Secretariat expects to award the Project Verifier’s contract by **October 15, 2021** with an expected contract start date of **November 1, 2021**.

## **Appendix 5**

### **Anticorruption Compliance Certification**

AgResults requires full compliance by the Offeror with the U. S. Foreign Corrupt Practices Act (15 U.S.C. Section 78dd-1, et. seq.) as amended (“FCPA”), and all other applicable Anti-Corruption laws, rules and regulations.

The anti-bribery provisions of the FCPA make it illegal to offer, promise, authorize, or provide anything of value, either directly or indirectly (e.g., through third parties), to a Foreign Official (as defined below) for the corrupt purpose of (1) influencing an official act or decision; (2) inducing the Foreign Official to do or omit to do anything in violation of his lawful duty; or (3) securing an improper advantage; in each case in order to assist in obtaining, retaining, or directing business to anyone.

Under the FCPA, a Foreign Official includes not only a person who performs traditional governmental or administrative functions, but also any member of a royal family or an employee of an entity in which a governmental body has an ownership interest (even a minority interest). Such employee could still qualify as a Foreign Official even if he or she performs business-related functions as an employee of such entity engaged in commercial, rather than governmental, activities.

To facilitate the Offeror’s understanding and compliance with obligations set forth in this clause, ‘Foreign Official’ is hereby defined for the purposes of this clause to include:

- Any officer or employee of a non-U.S. government (including any non-U.S. military personnel) or any of its departments or agencies or incorporated entities (including state-owned enterprises);
- Any director, officer, or employee of any legal entity or joint venture that is controlled or significantly owned by a non-U.S. government (including any non-U.S. military personnel) or any of its departments or agencies or incorporated entities (including state-owned enterprises);
- Any officer or employee of any public international organization (e.g., the United Nations or World Bank);
- Any person that represents or acts on behalf of, or in an official capacity for, any non-U.S. government or any of its departments or agencies or incorporated entities (including state-owned enterprises), even if honorary;
- Any non-U.S. political party or party official or candidate for non-U.S. political office;
- Any member of a royal family; and
- Any member of a non-U.S. legislative body.

The Offeror understands that prohibited payments or offerings under the FCPA need not take the form of cash or cash equivalents. For the purposes of this clause, and in line with the FCPA, the reference to ‘anything of value’ is construed broadly and covers any tangible benefit of any kind, including, without limitation, cash or cash equivalents, gifts (including, but not limited to, gifts or courtesies of local custom, wedding and personal gifts, jewellery), political contributions, donations to charities at the behest of a Foreign Official or his/her family, entertainment (including, but not limited to, meals and tickets to events), travel and travel-related expenses, hospitalities (including, but not limited to, accommodation), ownership rights in joint ventures or other entities, inflated or excessive contract prices, loans and employment (whether long-term or temporary). Even if any payments or gifts are a customary part of the culture of a particular country, they may be prohibited under the FCPA. In addition, providing

or offering gifts, payments or other benefits to another person for an improper or corrupt purpose may violate not only the FCPA but also other similar anti-bribery laws and regulations.

Moreover, certain laws and regulations, that may be also applicable in connection to the Project Verifier’s activities, prohibit bribes or kickbacks in the private sector and regulate, among other things, whether gifts, entertainment or employment may be provided to U.S. government officials. Offeror shall comply with all such applicable laws and regulations.

Therefore, in connection with the submission of this proposal for participation in the AgResults Senegal Project, the Offeror shall not cause the Secretariat, or any other entity associated with the AgResults Initiative to be in violation of the FCPA or any other applicable anticorruption laws or regulations. The Offeror must refrain from either directly or through others, making or offering to make bribes, kickbacks or other corrupt payments or provide anything of value to a Foreign Official or anyone else for purposes of influencing them to benefit the Secretariat or any other entities associated with AgResults Initiatives, the Offeror, or any other party.

The Offeror shall notify the Secretariat immediately if it learns of any violations of the FCPA or any other anticorruption laws in connection with the Offeror’ s involvement in the AgResults Senegal Project. Notifications can be made to Secretariat through email: [info@agresults.org](mailto:info@agresults.org). Notifications can be also made anonymously through the website [www.integrityhelp.com](http://www.integrityhelp.com), or by calling +1 866 850 1485 (within the U.S.) or +1 503 748 0570 (outside the U.S.).

### **Compliance Certification**

By my signature, I certify as an authorized representative of Offeror, that in connection with the preparation and submission of this proposal, the Offeror has complied with and will comply with the U. S. Foreign Corrupt Practices Act (15 U.S.C. Section 78dd-1, et. seq.) as amended (“FCPA”), and all other applicable anticorruption laws, rules and regulations.

For and on Behalf of Offeror:

Name \_\_\_\_\_

Title \_\_\_\_\_

Organization \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

## **Appendix 6 Pricing Template**

See attached.