

# APPROVALS WORKFLOW SOFTWARE AND PROCUREMENT APPLICATION

Issued by  
The Global Alliance for Improved Nutrition (GAIN)

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## **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 The Netherlands, the United Kingdom, and the United States. In addition, we have country programmes in Bangladesh, Benin, Ethiopia, India, Indonesia, Kenya, Mozambique, Nigeria, Pakistan, Rwanda, Tanzania and Uganda. Programmes and projects are also managed globally are implemented in a variety of other countries, particularly in Africa and Asia.

GAIN has been steadily growing and its budget for 2023/24 is USD 66 million. At the time of writing, we employ c. 380 staff worldwide.

### **2. BACKGROUND**

The Global Alliance for Improved Nutrition (GAIN) is issuing this Request for Proposals (RFP) and will be the administrative lead organisation for this RFP.

Currently, a few of GAIN's financial and operational processes are automated, but many procedures and associated approvals are conducted over email. GAIN is seeking to implement software that will prompt users to complete the appropriate forms or steps, direct approvals to the appropriate party, allow individuals to deploy pre-set or ad hoc workflows, document the processes for compliance with GAIN and donor policies, and record key statistics regarding the time taken for completing the various steps of the processes.

In addition, GAIN has a high-priority requirement to identify/develop and implement an application to automate our procurement processes. We spend \$34 million per year on procurement to support projects and corporate services. Nearly all of this is done by staff in dispersed offices as part of their wider project delivery responsibilities, supported by a central Finance and Legal team. Although the creation and approval of Purchase Orders is automated through our core finance system, the supplier selection process is not run by a workflow application, but instead is supported by the use of email and a number of other digital tools. Recognising the change in our procurement environment, we now need to support both the supplier selection and purchase order processes through the implementation of a comprehensive application.

The purpose of this RFP is to engage the services of a contractor to deliver recommendations for a software program or set of software tools that will meet our requirements and design and implement a software application for procurement.

### **3. SCOPE OF WORK AND DELIVERABLES**

The successful bidder will:

- Provide a business case for a software suite that will permit the design, implementation and evolution of approval workflows to automate multiple business processes, mostly but not exclusively financial in nature. The recommended software suite must utilise either the Salesforce or SharePoint platforms.
- Design and implement an application for the automation of GAIN's procurement procedures.

- Design and implement a portal from which various workflows can be accessed and initiated.
- Design workflows for two other business processes for future implementation by GAIN staff. These are Payroll Approvals and Ad-hoc Approval Requests.
- Provide training, guidance and access to written materials that will permit GAIN staff to maintain, amend and update the workflows implemented by the contractor, and design and implement new workflows in future, independently and unaided.

Each of these deliverables is explained in more depth in the sections below.

#### **4. PLATFORM**

GAIN has a number of software applications that utilise the SharePoint and Salesforce platforms. In order to maintain consistency with our software strategy, our preference is that the software tools, solutions and applications proposed by the bidder will utilise either SharePoint or Salesforce. However, we recognise that procurement is a specialised area, and so the requirements for this application may dictate a different solution to that for the approval workflows need. And so we are prepared to consider bids that utilise more than one development platform, if this is recommended by the bidder. The acceptable approaches to this are:

All of the requirements are fulfilled on one software platform, either SharePoint or Salesforce.

The approval workflows solution and the procurement application are fulfilled separately, one on SharePoint and the other on Salesforce.

The approval workflows solution is provided on either SharePoint or Salesforce, and the procurement application is implemented on a different platform or using a specialist software system.

#### **5. SOFTWARE – REQUIREMENTS**

The successful bidder will present a full business case making recommendations for the use of a set of software tools for the design, implementation, future amendment and further development of approval workflows. The software recommended can either be standard tools already available to GAIN, or a software suite/add-ons necessary to provide the required functionality. In the latter case, GAIN will purchase the software suite on the basis of the recommendations. The software must comply with the following requirements:

Utilises either the Salesforce or SharePoint platforms, to ensure compliance with GAIN's software strategy.

Permits the design, implementation and amendment of workflows by permitted GAIN staff in real time using visual tools, (e.g. a "point and click" interface) and without the need for specialist programming knowledge.

Facilitates ease-of-use by GAIN staff by permitting the design of simple, user-friendly interfaces that comply with common accessibility standards.

Enables users to launch standard **workflows**. Over time, these will be used by almost all staff members of the organisation for the various approval processes that, to date, have taken place over email. A non-exhaustive list of examples of standard workflows is included in Annex A.

Enables each standard workflow to have a defined set of forms, steps, and approvals determined by A) the logic underlying the selected workflow and B) if relevant, the financial threshold.

Allows data to be recorded in relation to each step of the workflow, most importantly, the time and date that each step is completed.

Provides the key components of the workflow system, which are:

- **Forms:** customizable documents, in some cases pre-filled using logic
- **Approvals:** generally based on project-code assigned approvals derived from Sylogist Mission ERP (Microsoft Dynamics NAV BC)
- **Documentation:** all completed forms and processes accessible in the future for compliance and audit purposes.
- **Reporting:** it is critical that all data created and maintained in the system can be easily extracted and reported upon, including the time taken to complete each workflows step.

Facilitates the grouping together of workflows into **Processes**. For example, the Supplier Selection Process (see below) may consist of the following workflows: procurement specification, bid evaluation, procurement decision, supplier verification, and conflict of interest.

Integrates with GAIN's other software and databases, including the financial system Sylogist Mission ERP (Microsoft Dynamics NAV BC), Sage People, Data cubes, and GAIN's financial planning system, Vena.

Ensures security of the workflows and data, through different classes of user permissions and the storage of data in line with GAIN's protocols to prevent corruption or change outside of the approved channels.

## **6. APPLICATION – PROCUREMENT**

The automation of GAIN's key procurement workflows in a closed, coherent system is a high priority. The contractor will work with GAIN staff at various levels, including a working group, to:

Make recommendations regarding the development platform upon which the procurement application should be implemented and the software tools/system to be utilised. If utilising a different technology platform, the application must still comply with the requirements in Section 5 above.

Prepare, agree and present for approval a design for the procurement workflows, including standard reports, data flows to and from other systems and secure data storage.

Implement the approved design, including successful user and systems testing.

GAIN's requirement is to automate our procurement processes as far as possible. From initiating a procurement, the workflows will branch depending upon the nature and value of the transaction. Information related to the procurement and potential suppliers will be entered or gathered at various stages, and should be stored so as to be available for later steps of the process and as audit evidence. The workflows should prompt those engaging with the procurement to take the correct action at each step, issuing digital notifications and reminders where needed. Ultimately, the process should result in an approved Purchase Order that will be uploaded to our financial systems.

The new application is expected to incorporate the following workflows:

Supplier Selection. Currently, this process is not automated, but staff utilise a number of different software tools to manage it, including email, standard templates and document signature applications.

Purchase Orders. This process is currently automated, using the functionality of Microsoft Dynamics NAV. However, GAIN wishes to move away from this system for a number of reasons, including limited options for customisation resulting in a poor user experience.

Further background information in relation to these workflows is provided in the rest of this document.

### **6.1. APPROACH – THE WORKING GROUP**

For the design and implementation of the procurement workflows, the contractor will collaborate with a working group that GAIN will form for the purpose. This will consist of a small number of representatives from different parts of the organisation, including Finance, IS/IT, and our Country Programmes Team, including users from Africa/Asia. The working group will meet with the contractor both individually and collectively to:

Discuss the requirements for the new workflows;

Act as a sounding board for concepts and ideas;

Sign off on the recommendations for the development platform and the design developed by the contractor; and

Monitor progress on implementation, including user testing.

### **6.2. APPROACH – PROCESS ANALYSIS & DESIGN**

The contractor will analyse the existing business processes, discuss requirements and issues with members of the working group, and make recommendations for adaptations and changes to these in the design of the new workflows. The key factors in the analysis and design will be: ease-of-use; business efficiency; effective financial control; and good business practice.

### **6.3. THE SUPPLIER SELECTION PROCESS**

GAIN requires that the supplier selection process for the procurement of goods and services be automated as far as possible. The specific steps of the process will depend on the nature and estimated amount of the procurement.

The starting point for the design of the process will be GAIN's existing procurement procedures. However, as noted above, the contractor will analyse the process and redesign it as required, in discussion with the working group and subject to its agreement.

GAIN's current supplier selection procedures are described in Annex B.

### **6.4. THE PURCHASE ORDER PROCESS**

Once Supplier Selection is complete, users will create a Purchase Order (PO) directly from the Supplier Selection Process to A) seek approval for the specific amount to be committed to the supplier and B) serve as a means of tracking committed funds. Once approved, data from each Purchase Order will be uploaded to NAV for incorporation in GAIN's core financial database.

The steps of the current Purchase Order process are set out in Annex C.

## **7. PORTAL – REQUIREMENTS**

Over time, we plan to develop and implement a number of automated workflows and processes, including and in addition to those described in this document. To facilitate this, we require the contractor to design and implement a portal from which the workflows can be initiated, a "single point of access". The outline requirements for the portal are as follows:

- Facilitates ease-of-use by GAIN staff through a simple, user-friendly interface that complies with common accessibility standards.

- Enables easy update and additions as workflows are amended, and new ones are implemented.

- Located within one of GAIN's existing software platforms, either SharePoint or Salesforce.

## **8. OTHER BUSINESS PROCESSES**

In addition to Procurement-related processes, the proposed solution should be capable of organizing other approval workflows and processes. The contractor will develop designs for two other business processes, working in conjunction with nominated GAIN staff from the user departments. The purposes of this are twofold: firstly to serve as proof of concept examples to demonstrate the relevance of the software to GAIN's ongoing needs; and to provide templates for the future implementation of these workflows by GAIN staff.

The two example processes chosen for development are Payroll Approval, and Ad hoc Approval Workflows.

### **8.1. PAYROLL APPROVAL WORKFLOW**

Each of GAIN's offices runs payroll independently. The purpose of this approval workflow is to document approvals and store relevant documentation associated with the payroll process. The general steps of this process are laid out below:

1. The Initiator uploads a pre-determine set of core payroll documentation for their office
2. The Initiator completes a checklist in the system
3. The Initiator launches the approval workflow.
4. The first reviewer reviews the associated documentation and completes a checklist specific to their role. If approved, the reviewer approves the task.
5. The approver receives the task and reviews the associated documentation. After completing a checklist specific to their role, the approver approves the task.
6. The payroll file for that month is then locked, with the ability to draw data

An example of a payroll process flowchart is provided in Annex D.

A basic, SharePoint-based process already exists for the approval of payrolls. The contractor should adopt the same approach to process analysis and redesign as outlined for the procurement application.

## **8.2. AD HOC APPROVAL WORKFLOWS**

Through this application, users will be able to submit ad hoc workflows to approve documents. The ad hoc workflow function will utilize the same flexible workflows used to approve procurement decision forms etc. To submit an ad hoc workflow, users will complete a short submission form including :

- Workflow title
- Workflow description
- Notes
- Budget Code(s) (optional)
- Attachment(s)

Workflow status notifications will be directed to the workflow creator. The user will have the option to accept the approvers populated by selecting budget code(s), or to select their own approvers. The system will indicate if approvers have been customised from those associated with the selected budget code(s).

## **9. TRAINING AND CLIENT SUPPORT**

At the conclusion of the contract, GAIN's requirement is that the applications and workflows created can be modified and updated, and new workflows designed and implemented, without the engagement of external contractor support and solely by our staff. Therefore, the contractor is expected to deliver the following:

- Training and associated materials available for staff/users & system administrators.
- Software/applications that are fully configurable and capable of amendment by GAIN's system administrators.
- User manuals, comprising one for system administrators and one for users.
- Support contract in place with agreed SLA's.
- Ad-hoc support should problems be encountered.

## **10. ACCESS AND VISUAL GUIDELINES**

The workflow system and procurement application will be used by most of GAIN's employees. A subset of these users from multiple departments should have permissions to create and amend workflows.

The systems should be capable of being accessed using a web browser on any computer (PC or Mac). SSO with GAIN's o365 implementation is preferred, if required.

User access and entry screens must comply with GAIN's visual guidelines, including our branding and colour palette templates.

## **11. TECHNOLOGY PLATFORM**

As noted above, the approval workflows software should utilise one of GAIN's existing software platforms, SharePoint or Salesforce. The procurement application may utilise one of these or a different technology platform, if recommended.

GAIN's preference is for the solution to be provided through off-the-shelf configurable packages, rather than bespoke developments.

The solution must be accessible from all common web browsers. Including but not limited to Microsoft Edge, Google Chrome, Firefox, Safari.

## **12. DATA COMPLIANCE AND SECURITY**

The data stored or accessed by the software must comply with the following requirements:

- Cannot be accessed, amended or updated outside of the software applications delivered.
- GDPR Compliant.

Permits daily data backup.

Facilitates data restore within 8 hours.

Secure hosting environment with Business Continuity and Disaster Recovery in place to ensure integrity and safe storage of data.

Permits access by approved third parties on a read-only basis, e.g. external auditors.

Includes provision for GAIN to be able to retrieve all data belonging to the organisation and processes in place to ensure availability of such data.

All data residing on the system must remain the property of GAIN.

## **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 questions about the scope of work and the tender process, and any other enquiries inquiries or communications to the contact below. Responses will not be confidential except in cases where proprietary information is involved.

Laura Beth Hooper, Manager, Financial Planning and Analysis, [lhooper@gainhealth.org](mailto:lhooper@gainhealth.org)

### **2. BUDGET**

Applicants are required to provide GAIN with a detailed fee percentage proposal. The final budget amount will have to be approved by the organisation prior to starting the project. The budget shall include:

Design & Development of the components of the System:  
Integrations (e.g., to NAV, Sage, Salesforce, SQL Cube)  
Support & Annual maintenance  
Training

### **3. FORMAT FOR PROPOSAL**

The proposal needs to be formatted as follows:

1. Executive summary
2. Technical proposal
  - a. Development process: explain the process you envisage to create the system, including major milestones and evaluation
  - b. Address usability standards and testing
  - c. Address any important technical information
  - d. Detail envisaged risks, issues and any requirements you are unable to meet
3. Schedule
  - a. Provide a detailed workplan with deliverables, on a week-by-week basis
  - b. Include an estimated schedule for development and testing
4. Budget break down
  - a. Include a break-down of the number of days required and costs for development and implementation activities
  - b. Include a break-down of the license fee costs
  - c. Include costs for maintenance, support, training and drafting a user manual
  - d. Include any hosting arrangements that would be necessary
5. Attachments
  - a. Relevant qualifications and experiences relevant to this RFP



#### **4. SUBMISSION**

Originals should be submitted as follows:

One hard signed copy of the Proposal and an electronic copy containing the documents preferably in MS Word along with all the required information including the fee proposal should reach GAIN at the address mentioned below:

Email copy:

[rfpFAQ@gainhealth.org](mailto:rfpFAQ@gainhealth.org)

Hard copy:

GAIN C/O Laura Beth Hooper, 1201 Connecticut Ave. NW, Suite 700B2, Washington, DC 20036, USA

#### **5. DEADLINE**

Completed proposals should be submitted to GAIN **no later than Monday, 10 June**. Proposals may be postmarked on the due date, provided that an email of the proposal is submitted by the deadline.

#### **6. UNACCEPTABLE**

The following proposals will automatically not be considered or accepted:

- Proposals that are received after the RFP deadline at the specified receiving office.
- Proposals received by fax.
- Incomplete proposals.
- Proposals that are not signed.

#### **7. REVISIONS**

Proposals may be revised by electronic mail and confirmed by hard copy provided such revision(s) are received before the deadline.

#### **8. 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.

#### **9. COMPLETION**

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

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.

#### **10. 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.

## **11. 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.

## **12. RELEASE OF INFORMATION**

After awarding the Proposal and upon written request to GAIN, only the following information will be released:

Name of the successful applicant.

The applicant's own individual ranking.

## **III. TERMS AND CONDITIONS OF THIS SOLICITATION**

### **13. 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.

### **14. 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.

### **15. 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.

### **16. EVALUATION CRITERIA**

Proposals will be reviewed by the Selection Team. The following indicate a list of the significant criteria against which proposals will be assessed. This list is not exhaustive or 100% inclusive and is provided to enhance the applicants' ability to respond with substance.

Applicants are required to submit the following information, conforming to the guidelines given in this section:

Understanding of the scope of work:

- Proposal shall demonstrate a clear understanding of the project objective and deliverables as outlined in Section I.

Demonstrate a clear understanding of the technical requirements of this RFP:

- Providing detailed technical documentation of the proposed strategy.
- Evidence of experience delivering solutions using the proposed information technology platform.

The creative and methodological approaches required to implement each of the parts of the scope of work.

Comprehensiveness of work plan and reasonableness of proposed time frame:

- Proposal shall include a feasible work plan to ensure successful completion of deliverables.
- The work plan details how activities will be coordinated.

Detailed budget and cost-effectiveness of proposed approach:

- Evidence of cost-effective approaches to undertaking the scope of work within the proposed budget.
- Proposal shall identify possible challenges and include creative approaches to addressing them.

Management and personnel plan:

- The team members working on this project shall have the relevant qualifications and overall experience required to successfully implement the project.
- Roles and responsibilities of each team member shall be clearly defined. GAIN shall have one main contact person clearly identified in the proposal.

A duly completed offer of services (see IV below).

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

#### **17. REVIEW PROCESS**

The review process will involve a Review Panel with participants selected by GAIN.

#### **18. 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.

#### **19. 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.

#### **20. 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.

#### **21. 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.

#### **22. 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.

#### **23. 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.

#### **IV. FORMAT - OFFER OF SERVICES**

1. Offer submitted by:
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_
8. (Print or type business, corporate name and address)
9. I (We) the undersigned hereby offer to GAIN, to furnish all necessary expertise, supervision, materials, and other things necessary to complete to the entire satisfaction of the Executive Director or authorised representative, the work as described in the Request for Proposal according to the terms and conditions of GAIN for the following prices:
10. Click or tap here to enter text.
11. Click or tap here to enter text.
12. Click or tap here to enter text.
13. Click or tap here to enter text.
14. I (We) agree that the Offer of Services will remain valid for a period of sixty days (60) calendar days after the date of its receipt by GAIN.
15. I (We) herewith submit the following:
  - (a) A Proposal to undertake the work, in accordance with GAIN's requirements specified.
  - (b) A duly completed offer of services, subject to the terms herein.

**OFFERS WHICH DO NOT CONTAIN THE ABOVE-MENTIONED DOCUMENTATION OR DEVIATE FROM THE PRESCRIBED COSTING FORMAT MAY BE CONSIDERED INCOMPLETE AND NON-RESPONSIVE.**

Date this day of [Click or tap here to enter text.](#) in [Click or tap here to enter text.](#)

\_\_\_\_\_ [Click or tap here to enter text.](#)

Signature (applicant)

\_\_\_\_\_ [Click or tap here to enter text.](#)

Signature (applicant)

## ANNEX A - LIST OF STANDARD WORKFLOWS

Finance	Human Resources	Operations
Supplier selection/ procurement Reclasses Expense claims Office cash requests Monthly financial statement approvals Credit card statements	Approving a starting salary above or below the top of the scale Individual training request Office payroll approvals	Approving travel to a high- risk country Accessing a member of staff's email Terminating access to email by a member of staff Use of GAIN assets for personal reasons Tax filings / other formal approvals taking place outside of the contracting system.

## ANNEX B - CURRENT SUPPLIER SELECTION PROCESS

The following is a summary of GAIN’s procurement procedures as they relate to supplier selection. In the summary, workflow steps are grouped into Supplier Selection processes (determined by the financial value of the procurement). In some circumstances, it may not be appropriate to follow the normal procurement method, and in these cases a Waiver is prepared and approved.

### 1. PROCESS A: SINGLE QUOTE METHOD

This process is used for procurements between \$1,000-\$5,000 USD.

Name of Workflow	Task Details
<b>Procurement Specification</b>	<ol style="list-style-type: none"> <li>1. Initiator completes procurement specification form.</li> <li>2. Initiator requests quote from supplier.</li> <li>3. Initiator uploads quote to system.</li> </ol>
<b>Supplier Evaluation</b>	<p>Initiator completes a form describing the procurement and evaluating the quote.</p> <ol style="list-style-type: none"> <li>1. The finance lead, project manager, and budget holder on the project code are pre-filled but can be overwritten by the Initiator. The Initiator can also add additional approvers.</li> <li>2. Approvers are sent the quote and evaluation and are asked to log approval in the system.</li> </ol>
<b>Conduct Supplier Verification</b>	<ol style="list-style-type: none"> <li>1. Initiator completes verification form unless the system flags that verification has been conducted for this supplier in the previous 12 months.</li> </ol>
<b>Select Vendor</b>	<ol style="list-style-type: none"> <li>1. On the basis of the steps above, the Initiator either selects a vendor from a searchable dropdown from NAV or create a new vendor to inform the NAV vendor list.</li> </ol>

### 2. PROCESS B: MULTIPLE QUOTE METHOD

This process is used for procurements between \$5,000-\$75,000 USD.

Name of Workflow	Task Details
<b>Procurement Specification</b>	<p>Initiator completes procurement specification form.</p> <ol style="list-style-type: none"> <li>1. Initiator requests quotes from at least 3 suppliers.</li> <li>2. Initiator uploads quotes to system.</li> </ol>
<b>Supplier Evaluation</b>	<p>The finance lead, project manager, and budget holder on the project code are pre-filled but can be overwritten by the Initiator. The Initiator can also add additional approvers.</p> <ol style="list-style-type: none"> <li>1. The Initiator has the opportunity to revise pre-set evaluation fields on the bid evaluation form.</li> <li>2. Approvers are sent the quotes along with the specification details (read-only) and a bid evaluation form to score the quotes against the pre-determined criteria.</li> <li>3. The system tallies the scores on the evaluation and generates a provisional recommendation based on the highest score.</li> </ol>

	4. The finance lead, project manager, and budget holder approve this provisional recommendation in the system.
<b>Conduct Supplier Verification</b>	1. Initiator completes verification form unless the system flags that verification has been conducted for this supplier in the previous 12 months.
<b>Select Vendor</b>	1. On the basis of the steps above, the Initiator either selects a vendor from a searchable dropdown from NAV or create a new vendor to inform the NAV vendor list.

### 3. PROCESS C: TENDER METHOD

This process is used for procurements over \$75,000 USD.

<b>Name of Workflow</b>	<b>Task Details</b>
<b>Procurement Specification</b>	Initiator completes procurement specification form. 1. Initiator identifies members of the Procurement Committee.
<b>Establish Tender Plan &amp; collect bids</b>	1. The system guides the initiator through the following steps to establishing a Tender Plan: o Establish Supplier selection criteria, which must be clear and objective. o Create a draft timetable. o Establish arrangements for receiving or opening tenders/bids and an advertising strategy o Instructions to the suppliers for submitting tenders, including supporting documentation to be provided to them and required from them. 2. The Initiator uploads the bids received to the system (will function in the same way as quotes).
<b>Supplier Evaluation</b>	The Procurement Committee are sent the quotes along with the specification details (read-only) and a bid evaluation form to score the quotes against the pre-determined criteria. 1. The system tallies the scores on the evaluation and generates a provisional recommendation based on the highest score. 2. The finance lead, project manager, and budget holder approve this provisional recommendation in the system.
<b>Conduct Supplier Verification</b>	1. Initiator completes verification form unless the system flags that verification has been conducted for this supplier in the previous 12 months.
<b>Select Vendor</b>	1. On the basis of the steps above, the Initiator either selects a vendor from a searchable dropdown from NAV or create a new vendor to inform the NAV vendor list.

### 4. PROCESS D: WAIVER

In certain situations where the normal procurement process cannot be observed, individuals can raise a waiver to select an alternative procurement method. The waiver process is described below:

<b>Name of Workflow</b>	<b>Task Details</b>
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<b>Specification</b>	At the Specification stage of the procurement methods above, the initiator can select “Waiver” to launch the waiver workflow.
<b>Waiver Form</b>	<p>The initiator completes the waiver form with the following information:</p> <ul style="list-style-type: none"> <li>• Budget Code</li> <li>• Date of request:</li> <li>• Description of the procurement</li> <li>• Total US\$ value of the procurement</li> <li>• Local currency value of the procurement</li> <li>• Method being waiver / to be used in stead</li> <li>• Justification for the waiver request</li> </ul>
<b>Waiver Approval</b>	The waiver is sent to the Budget Holder, Project Manager, and Finance Lead for approval on the basis of the selected budget code.



## ANNEX C - PURCHASE ORDER PROCESS

GAIN's current purchase order process is summarised as follows:

Name of Workflow	Task Details
<b>PO Header</b>	<p>The following fields shall be auto-populated:</p> <ul style="list-style-type: none"> <li>Supplier Name (Pre-filled via the Supplier Selection Process)</li> <li>Anticipated Payment Location* (NAV lookup based on vendor record (can be manually changed))</li> <li>Posting Date (Defaults to date the PO is created (can be manually changed))</li> <li>Created Date (Date the PO is created)</li> <li>Vendor Number (NAV lookup based on vendor record (can be manually changed))</li> <li>Currency (NAV lookup based on vendor record (can be changed by selected users). If the value causes the PO to cross a procurement threshold requiring a stricter procedure, the individual making the change will be prompted to restart the supplier selection process.)</li> <li>PO Creator (Auto-filled from system (Can be changed by selected users))</li> <li>Contract ID (If applicable, linked from CLM)</li> <li>Link to contract (If applicable, linked from CLM)</li> <li>Contract Amount (If applicable, linked from CLM)</li> </ul> <p>The following fields are free-text fields that can be updated by the user:</p> <ul style="list-style-type: none"> <li>Posting Description</li> <li>Notes</li> </ul>
<b>PO Lines</b>	<p>The lines section of the PO is where the Initiator enters detailed information about what is being purchased and where it should be charged (using budget codes). Each budget code is linked to a parent project code. A project code determines who will approve each line of the PO.</p> <p>PO should include the following fields on each purchase line:</p> <ol style="list-style-type: none"> <li>1. GL Account No &amp; description (drop-down searchable by either number or description)</li> <li>2. Description (automatically populated from posting description, can be overwritten)</li> <li>3. Budget Code*</li> <li>4. Quantity – visible if qty/unit option selected by user</li> <li>5. Unit Cost – visible if qty/unit option selected by user</li> <li>6. Line total – user can enter a line total without Qty or Unit Cost. If Line total is manually entered, Qty and Unit Cost cannot be used. If Qty and Unit Cost are used, line total is calculated and not manually changeable.</li> <li>7. Line approval status (clicking on “Line Approval Status” should pull up a list of approvers and their status)</li> <li>8. Amount pending payment</li> <li>9. Amount paid</li> <li>10. Balance</li> </ol>
<b>Approval</b>	<p>When a PO is created, a user specifies who will be paid, from where, and which budget code each line should be allocated to. Each budget code is linked to a parent project code and a fund/award number. A project code determines the approvers for that line of the PO.</p>

	<p>Approval is considered to take place at the level of the project code. For this reason, a budget code can be changed any time after a PO is submitted, until the PO is paid, provided the new budget code is linked to the originally approved project.</p> <p>Once a purchase order is completed and all required documentation has been provided, the PO will be submitted for approval. A different approval workflow is followed based on the value of the PO.</p> <p>The following approval roles exist in GAIN systems and should be available to PO workflows:</p> <ul style="list-style-type: none"> <li>Finance Lead</li> <li>Global Finance Contact</li> <li>Project Manager</li> <li>Budget Holder</li> <li>Second Approver</li> <li>Programme Lead</li> <li>Project Sponsor</li> </ul> <p>Approval requests should be sent via email and should include:</p> <ul style="list-style-type: none"> <li>• The purchase order number</li> <li>• A link to the purchase order</li> <li>• The value of the line requiring approval</li> <li>• Option to add comment</li> <li>• Options to "Approve" or "Reject"*</li> </ul> <p>*If rejecting a PO, the approver must add a comment.</p>
<p><b>Receive Goods or Services (Pay an invoice)</b></p>	<p>When goods/services have been received and payment is due, users will access the PO system to:</p> <ul style="list-style-type: none"> <li>upload invoice and any other relevant attachments</li> <li>enter invoice number</li> <li>enter invoice amount</li> <li>allocate the invoice amount to the PO lines</li> </ul> <p>Provided the requested payment amount, when added to previous payments, is less than or equal to the PO amount, or is within a threshold specified at the system level (e.g., 10%, max US\$1,000), no further approvals will be required. If a payment will cause the total paid to exceed the approved amount by more than the allowable threshold, a user will be prompted to add new line(s) to the PO and submit for authorisation.</p> <p>The amount requested will be considered a pending payment and will be deducted from the available balance.</p> <p>Multiple invoices may be submitted against one PO. Each invoice entry will have a status label:</p> <ul style="list-style-type: none"> <li>Not submitted (Grey)</li> <li>Submitted to finance (Yellow)</li> <li>Paid by finance (Green)</li> <li>Rejected by finance (Red)</li> </ul>

<b>Payment</b>	<p>As GAIN has a financial accounting function in each of its 14 locations, the payment location is a key reporting field.</p> <p>Financial accounting will have the ability to          filter POs by payment location          filter POs by status (e.g., received/pending payment)</p> <p>Accounting will select POs for payment, confirm/modify the amount to be paid, and transfer the selected payments to NAV. Once an item is transferred to NAV the invoice line(s) for the respective payment should be updated to reflect a completed payment. If there is an issue with the payment request, accounting personnel can reject the payment request.</p>
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### Example of Payroll Process Flowchart

