



HUMAN APPEAL PROCUREMENT POLICY

Version 2.0.5

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GLOBAL SUPPLY CHAIN DPT

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Procurement Policy

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Revision History

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Printed copies of this document are for information purposes only and are uncontrolled. It is the responsibility of all staff to ensure that any paper material is the current version.

Non-compliance with the policy may lead to disciplinary action being taken against the individual(s) concerned.

1. Background

As an international NGO, Human Appeal is dependent on public, institutional, private sector donations to fulfil its mandate of humanitarian and development activities. These funds are used by Human Appeal to purchase goods and services each year. In order to ensure that all funds are used ethically, in line with the organisations mission, vision and values, and in line with best practise in Procurement, Human Appeal's Procurement Policy and corresponding Procurement Manual have been developed.

The Procurement Policy is an integral part of Human Appeal's overall mechanism by which the donated funds are used in line with the organisations values, to fulfil its humanitarian mandate.

There is a requirement to deliver best value for money across all spends in accordance with HA's mission, vision and values alongside best practise in Procurement.

The Procurement Policy is approved by the Board of Trustees/Board of Directors, and compliments the Financial Handbook.

This policy highlights the code of ethics required for all purchases for Human Appeal such as, but not limited to, transparency, accountability and impartiality.

This document sets out the roles, responsibilities and mandatory requirements for Procurement. It also provides guidance on good Procurement practices.

2. Policy Statement

Human Appeal is committed to the effective use of its financial resources.

Human Appeal seeks to responsibly source and deliver, at the best value for money, the goods and services that Human Appeal needs (including consultants, contractors and freelancers), to achieve its mission and vision.

All persons involved in Procurement and supply activities on behalf of Human Appeal are expected to use their best judgement to decide whether goods and services are necessary and to purchase items that provide the best value for money, in a fair, ethical, transparent and responsible manner.

This policy captures essential principles that provide a framework for empowering staff to make good business decisions, to give them confidence that they are providing organisational responsibility, and to ensure that the goods and services that Human Appeal requires are sourced responsibly. The level of detail and scrutiny required will vary according to the importance, complexity, and risks associated with the purchase.

3. Scope

This policy is applicable to all persons involved or related to the approval of expenses for goods and services, the management of purchases, including commercial contracts on behalf of Human Appeal. This policy is applicable to all departments in the International Office, the country offices and partners.

4. Purpose And Objectives

The purpose of this policy is to establish a general operating framework for the Procurement of goods and services by Human Appeal for the fulfilment of its programmatic and commercial activities worldwide. This policy set up the standards expected at Human Appeal's International Office and Field Offices alike. For questions on applicability, support and advice contact the Global Supply Chain Department: tenders@humanappeal.org.uk

Implementing partners non-affiliated with Human Appeal must follow Human Appeal's Procurement policy unless their own documented Procurement procedures have been vetted as by Human Appeal's Global Supply Chain Department.

The objectives of this policy are:

- Establish regulatory and responsibility framework that governs the Procurement and supply of goods and services.
- Guarantee internal coherence (with respect to our values and other policies), transparency and uniformity in the application of the modalities of Procurement and supply in scope.
- Ensure the efficient use of our financial resources, the compliance with professional, commercial, legal, ethical and security standards and procedures in Procurement and supply procedures.

Compliance with these principles is expected of all those involved in or related to Human Appeal's Procurement and supply processes.

5. Approval & Responsibilities

Human Appeal has the responsibility to ensure that all its activities for the purchase of goods or services are carried out in an efficient, responsible manner and in compliance with legislation and donors' requirements.

To fulfil its humanitarian and development mandate, the Procurement policy is an integral part of Human Appeal's overall mechanism through which the donated funds are respected and spent in line with the organisation's values.

The Procurement policy is approved by the Board of Trustees/Board of Directors and also set out in the Financial Handbook Section of which contains the policy on Procurement. The objective of this statement is to provide a succinct and clear statement of Procurement policy. This policy highlights the code of ethics required in all purchases for Human Appeal such as:

- Effectiveness & Efficiency (value for money)
- Open, fair and transparent procedures
- Effective competition
- Sustainable Procurement principles
- Bribery Act 2010 and Modern Slavery Act 2015

The Procurement function in all offices is responsible for the sourcing of all goods and services required from external suppliers, ethically and in compliance with global & local legislations and regulations.

To support departments and staff with delegated purchasing authority, the Global Supply Chain Department has developed this policy document along with the Global Supply Chain Manual where best practices and resources have been detailed. Please contact tenders@humanappeal.org.uk for support and guidance.

6. Basic Principles Of Action

All Human Appeal Procurement activities must be targeted to be **Efficient** and **Responsible**.

Human Appeal wants to ensure that all purchases are conducted in an ethical manner in consistency with our values, our campaigns and programs, legislation and an awareness of the impact on all stakeholders.

The Procurement of goods and services for or on behalf of Human Appeal will be carried out based on the principles set out below:

6.1. Best Value For Money, Efficiency And Profitability

- Human Appeal adopts **Procurement and supply processes and strategies** that ensure the best quality/price ratio in the purchase and contracting of goods and services, and that which meet Human Appeal's needs through efficient, effective and fair market allocation processes. Human Appeal's objective is to also have an efficient use of resources to achieve intended outcomes through an optimal combination of cost and quality of Goods, Services, and Works to meet the needs of right-holders.
- Human Appeal recognises the importance of **competitive processes** as an effective means of achieving value for money and that contracts have been awarded fairly. Human Appeal ensures **proportionality** between the procedures to be followed for the award of contracts, the value of the contracts and the associated risks. The higher the expenditure on goods and services, the more elaborate, extensive and documented the process of searching for offers (sourcing) and selection is. Written Procurement procedures ensure proportionality between the procedures to award contracts and the value of those contracts.
- Market attribution processes must be competitive and based on **objective, predefined and communicated selection criteria** or generally known to all potential interested parties prior to the award of contracts.
- The award of a contract is based on the most economically advantageous tender (MEAT) offer or the best quality/price ratio, which involves the sum of several criteria present in the specifications. The cost of the goods or services purchased must be as economical as possible¹ without compromising quality and compliance with the required requirements.
- The selection criteria vary from one contract to another and should not be limited exclusively to the offer meeting the technical specifications and the lowest price but must also consider other criteria such as:
 - Quality standards
 - Sustainability

¹ *The cheapest should not be chosen over the best quality, unless the specifications of the lowest priced item meet Human Appeal's requirements.*

- Product life cycle cost
- Delivery times
- Warranties
- After-sales service
- Technical assistance offered
- Supplier reputation
- Supplier performance
- Compliance with Human Appeal principles and policies.

6.2. Quality

- We are committed to providing quality products and services and locally **appropriate** solutions that meet the needs of our right-holder end users.
- Our **specifications** are detailed, contemplated and adapted to achieve the intended purposes. Efforts are made to ensure that Procurement procedures are clearly defined and that they allow suppliers to respond to our demands.
- We are committed to providing **standardised quality tools and procedures** that enable Human Appeal offices to manage and monitor overall performance and efficiency of their procurement and supply systems.
- Our procurement team is comprised of **experienced professionals** who understand and apply good procurement practices. We are committed to promoting innovative ways of working and thus improving the quality of our purchases.
- We are committed to taking a **collaborative approach** and leveraging Human Appeal’s technical expertise, which will allow the products and services provided to continue to meet optimal technical standards. Human Appeal aims to develop quality programs in changing environments and in complex market conditions.
- We are committed to those suppliers that manage their offer effectively, ensuring a **consistent and safe supply** that meets our quality standards.
- Human Appeal aims that all items meet quality standards, including those mandated by host country laws and regulations.

6.3. Transparency and Accountability

- Human Appeal’s sourcing activities promote openness, **communication** and transparency.
- Human Appeal is committed to maintaining a fair and transparent process in the Procurement of Goods, Services and Works, while maintaining confidentiality too.
- We take a **results-oriented** approach, which holds us accountable.
- We share information with our stakeholders pro-actively and **explore new opportunities** to improve communication, working effectively and flexibly to ensure transparency.
- We source in a **responsible** way, taking into account the potential impact of our sourcing decisions and going above and beyond **to mitigate the associated risks**.

- We communicate effectively with our suppliers to ensure market access and **fair competition** through our market attribution processes.
- All phases of the Procurement process will be carried out in a fair and documented manner. Transparency in procurement complements **good governance** and improves the capacity for internal controls.

We guarantee **Traceability** in all stages of the Procurement process and **separation of responsibilities** with sufficient and accurate documentation of activities and a clear and complete documentary record.

6.4. Ethical and Sustainable Purchases

- We are committed to increase **sustainable** purchases and ensuring that Procurement decision-making processes meet the needs of the organisation in a way that benefits not only the organisation but also society, while minimising **their impact on the environment**.
- We are committed to taking all possible measures to ensure that the **working conditions** of your suppliers' employees are decent and that the products or services purchased are environmentally sustainable, whenever possible. **Socio-economic issues are also addressed**, like inequality and poverty.

6.5. Personnel Integrity & Professionalism

All Procurement transactions shall be conducted in a manner that provides open and free competition to the maximum extent practically possible. Human Appeal personnel shall be aware of organizational conflicts of interest as well as non-competitive practices among suppliers that may restrict or eliminate competition, including non-competitive pricing practices between firms or between affiliated companies.

All persons involved in Procurement processes on behalf of Human Appeal must:

- Be **impartial** and must not **use their authority** or status for their own benefit, but seek to improve Human Appeal's position in any business operation.
- Maintain **integrity**² in all business relationships and reject business practices that may be considered reasonably inappropriate.
- Try to achieve the highest standard of **professional competence** within the areas under their responsibility.
- **Optimise the use of resources** under their responsibility to ensure **maximum benefit** for Human Appeal and its right-holders.
- Do not accept **any personal gift** or other types of rewards/incentives that, individually or cumulatively, may influence the procurement decision. Low value marketing gifts (\$5 dollars approx.) offered at Exhibitions or as part of marketing visibility/merchandising (pens, calendar, business card holders, mugs, etc.) are deemed acceptable provided they are given as free access.

² Integrity includes, but is not limited to the following: Impartiality, ethics, confidentiality of the Procurement process, lack of conflict of interest, drafting specifications that do not give a supplier an unfair advantage, fair, ethical and legal business practices, good faith and equal treatment of suppliers, not taking advantage of the supplier errors, not causing unnecessary expenses or inconvenience when requesting offers and proposals, avoiding obligations to any supplier, equitable and mutually acceptable agreement if a dispute arises with a supplier.

- Do not be involved in any activity with suppliers or buyers that could be considered **anti-competitive**, or that breaks any statutory requirement in the country or region.
- In the event that a buyer or any person involved in the decision-making process falls into **conflicts of interest** (for example, when selecting a supplier, evaluating offers, assigning a contract or evaluating the performance of a supplier), the Code of Conduct and the Conflict-of-Interest Management Protocol will be followed.
- We will not deliberately confuse **or take advantage of inadvertent errors** made by suppliers, but will take the necessary actions to mitigate and minimise the impact of the situation and any errors for Human Appeal and our suppliers.
- At field level, Senior Management Team (SMT) must be involved in the Procurement Committee either directly or by appointing trained and relevant staff to deputise for them. A list of SMT members alongside authorised people to deputise on their behalf must be shared with Global Supply Chain Department at International Office. Any changes to the list must be notified immediately to the Global Supply Chain Department at International Office.
- **All staff involved in Procurement processes will have to undertake relevant Procurement Training** facilitated by the Global Supply Chain Department at International Office.

6.6. Equal Opportunity, Treatment and Non-Discrimination

The **requirements** required for the contracting of a good or a service must be established **in detail and communicated in a transparent way** and on time for all potential suppliers to allow them to offer adequate proposals.

- Any form of discrimination that discourages participation in procurement processes undermines the **principles of competitive bidding**.
- Procurement processes **will not discriminate** current or potential suppliers on the basis of gender, ethnicity, religious affiliation, physical disability or political party affiliation, except where such discrimination is a direct and unavoidable consequence of a Human Appeal policy on preferential treatment of disadvantaged group, without unjustified discrimination or differentiation.

6.7. Compliance, Due Diligence and Confidentiality

- Procurement procedures will respect current agreements, as well as the requirements of **donors** and other funding sources.
- We are committed to ensuring that our Procurement activities respect all international and local laws, as well as the regulations, conventions and agreements in force in the countries where we are working and where we source.
- Our team will respect the letter and spirit of the law in the countries where it works, and will comply with the contractual obligations contracted on behalf of Human Appeal.
- Our team will appropriately and respectfully treat information on processes, fees or other sensitive/confidential information about suppliers.
- We are committed to launching transparent contests and treating information confidentially, especially before the award of contracts.

6.8. Support the Local Economy/Empowerment of Partners

- We are committed to effectively promoting local business capabilities and pro-actively exploring the opportunities and capabilities of local suppliers when responding to our needs.
- We are committed to working with local and regional suppliers with the aim of developing, whenever possible, market strategies that meet our needs today and in the future.
- We pro-actively engage with partners in all sourcing activities, including where possible sharing information and resources, to contribute to mutual learning and development.
- We will encourage counter-parties to know and understand the principles of our Procurement and Supply Policy. We are committed to providing support in the implementation of the relevant principles of this policy, including accountability.

7. The Role of the Global Supply Chain function at Human Appeal

To provide professional and qualified Procurement expertise, advice and services; for all spent with external suppliers in compliance with the relevant laws, sanctions, regulations and any other directives. Human Appeal will procure all goods and services with high ethical standard and focus on social, economic and environmental considerations by applying principles of sustainable Procurement.

As part of our role, we will:

1. Develop, promote and implement appropriate Procurement strategy, category Procurement strategies and procedures.
2. Fulfil the needs of Human Appeal by the formal acquisition of goods and services, which meet best standards of quality, delivered in a timely manner through respectfully deploying donated funds in line with best practise in Procurement.
3. Introduce Business Justification as a precursor to initiating Procurement process, thus eliminating waste and moving Human Appeal towards a lean basis of Procurement.
4. Improve effectiveness & efficiency in the Purchase to Pay cycle.
5. Establish appropriateness in Human Appeal's Procurement activity, to balance the need for sound control of donated public money and avoiding excessive bureaucracy that distracts Human Appeal from achieving its organisational objectives of humanitarian activities.
6. Establish (VfM) Value for money for all levels of expenditure.
7. Ensure Procurement process is open, fair and transparent with effective competition.
8. In built mechanisms that ensure misappropriation of funds is eliminated by the introduction of clear policy initiatives.
9. Manage all Procurement activity to be fully compliant to relevant rules, regulations and best practice applicable to charities including conformity to Bribery Act 2010 and Modern Slavery Act 2015.
10. Introduce and apply Sustainable Procurement principles.
11. Move from multiple members of staff actively involved in purchasing activity across the organisation to centralising all Procurement to the Procurement function in each office, who are responsible for Procurement of all goods and services required from external suppliers - sourced ethically and in compliance with best practise.

12. Support departments and staff with their purchasing requirements by providing up to date and relevant advice on Procurement policy interpretation, Procurement strategies and methodologies.
13. Foster and develop co-operative purchasing relationships with suppliers, utilising the Human Appeals charity status and using purchasing forums that are designed specifically for the charities sector.
14. Identify goods and services that is/are common to more than one department and to negotiate centralised contracts to take advantage of bulk discount.
15. Make use of the whole product/service life costing as a basis for comparing goods and services.

See Global Supply Chain Manual for info concerning Field Offices and procedures.

8. Segregation of Duties

Below is a table highlighting necessary segregation of duties:

The person who:	Must not:	Because:
Prepares payment vouchers or cheques	Approve payment vouchers or cheques	A staff member with the relevant authority who is not involved in the payment process should check all payments and receipts.
Prepares payroll	Sign salary cheques	
Prepares bank deposits	Reconcile bank accounts	
Is responsible for the storage & recording of stock or assets	Verify the inventory of stock or assets	Staff should not self-check or review stock, assets or funds within their control.
Initiates a purchase requisition	Receive goods & prepare the good received documentation	A separate staff member must receive & verify that goods are in accordance with the original requirements.
Initiates a purchase request for goods or services	Approve purchase orders or contracts	A committee should approve the selection of suppliers & approval should be in line with approval authority thresholds.
Gets quotations from suppliers for purchasers	Select the supplier for high value Procurement	There should not be one staff member overseeing a transaction from beginning to end. A staff member should not approve or authorize their own decisions. Where possible the receipt function should be undertaken by another individual (i.e., The warehouse Manager).
Undertakes visits to suppliers and/or conducts due diligence checks	Prepare, records or distribute payments to suppliers	
Receives goods and prepares the goods received documentation	Acknowledge and approve the specification of the goods received	

Staff members who do not have Procurement responsibility assigned cannot contact vendors during the Procurement process or solicit prices, quotes or technical proposals.

Communication with vendors by un-authorized staff should be referred to Country Director (or reported through Human Appeal’s reporting mechanisms at feedback@humanappeal.org.uk)

In exceptional circumstances when there are not sufficient members in the team at a specific location, segregation of duty may not always be possible, but should be resolved as soon as circumstances allow. Compensating controls (i.e., remote transactions approvals) should be put in place in order to mitigate any segregation of duty related risks.

In addition, no staff is allowed to share cost estimates or available budget details with any vendors.

9. Purchasing Thresholds

A key part of the managing all of Human Appeal’s purchasing activity is to see and monitor the expenditure around purchasing thresholds. These thresholds will have their own processes and procedures with accompanying Forms and templates and guidelines to adhere to.

The Procurement Policy thresholds are as follows: please refer to the Procurement & Logistics manual for further details.

9.1 Standard Procurement Thresholds

Initial Value (incl. VAT)	Procurement Process / Quotes	Procurement Approach
Purchases under USD 1,000 ³	You must obtain at least one written quote. (3 is preferred)	Business Justification
<p>Purchases under USD 1,000</p> <p>Smaller levels of purchases are usually greater in number than higher levels of spend, that does not mean that effort is not made to attain value for money or the need to reduce waste.</p>		
From USD 1,000 to USD 20,000 ⁴	You must obtain at least three written quotes.	Business Justification
<p>For all purchases from USD 1,000 and up to USD 20,000</p> <p>A minimum of 3 quotes must be obtained. The Business Justification Form shall be used for low value items; this form will facilitate policy compliance.</p> <p>The forms need to be completed and sent to the Procurement Department which will formally place the order with the supplier.</p> <p>Business Justification – Requestor needs to provide relevant information (specification, budget, timeframe...) to the Procurement Department who will formally place the order with the supplier after the formal RFQ process. With higher spend, naturally Human Appeal will endeavour to ensure that value for money is achieved and the best possible deal is in place to meet its humanitarian mandate. The Procurement Department will then prepare the relevant paperwork and send it off to the suppliers. Three quotations will be required for purchases of up to USD 20,000. No split orders allowed to bypass the tender process (example: purchases for USD 30,000 split in 2 RFQ of USD 15,000 each).</p>		
USD 20,000+ ⁵	Tendering Exercise	Tender Request Form
<p>Purchases above USD 20,000</p> <p>These will require a formal tendering exercise and will be guided by the Procurement Department. The Request to Tender Form will need to be completed and formal documents will be formulated and advertised on the online platforms. Evaluation criteria will be collated, and an evaluation panel (Procurement Committee) formed. (From Finance, Procurement, and Programmes Departments).</p> <p><i>Any deviation from the above will need to be recorded in a Single sourcing/waiver form duly signed by the Budget holder, Director and a staff member from the Head of Global Supply Chain Department at Human Appeal Headquarters.</i></p> <p><i>Please refer to the Global Supply Chain Manual accordingly.</i></p>		

³ purchases under £1,000 in the UK

⁴ Purchases between £1,000 and £20,000 in the UK

⁵ Purchases above £20,000 in the UK

9.2 Emergency Procurement

An emergency is defined as an unexpected situation that is so compelling that, if not corrected immediately, would endanger life, property or adversely affect essential operations. Additionally, the situation is so severe that it precludes normal Procurement through the methods described in this document. Examples would include the sudden influx of large numbers of refugees or IDPs to an area without the infrastructure to support them, fire, flood or other natural or manmade disasters.

Due to the nature of Human Appeal’s work, there will be occasions for humanitarian reasons to carry out emergency Procurement, where the Procurement processes can be simplified or waived in order to save lives and act quickly when the situation requires. These requests shall be examined by the Global Supply Chain Department through the single source/waiver form. Human Appeal can request a waiver of normal tendering procedures from Headquarters supply Chain manager for emergency reasons, explaining why time does not permit the normal procedures to be followed, and the alternative Procurement arrangements that the Human Appeal proposes to make. The decision on the status of Emergency for an operation falls under the Director of International Programs Department or in his/her absence the designated person. The decision should be limited in time and reviewed at minimum after 30 days.

9.3 Fundraising specific needs

At Headquarters level, the Fundraising Teams need to be able to purchase goods and services in line with their fundraising campaigns. Being agile is key to fundraising events success. Yet, although no institutional donor funds are involved, we need to ensure value for money. For fundraising activities, Global Supply Chain will review and approve the list of vendors who offer goods and services and will endeavour to have framework agreement or search better alternatives. However, for the **TV Channels, pull of freelancers, public speakers, social media influencers, comedians and other artists**, this cannot be based on price only: availability for set dates, understanding of current trends etc. will need to be considered.

Fundraising Teams can source directly with the following entities based on below criteria:

Items	Approved Namely in budget	Procurement ruling
Specific Artist/named TV Channels	Yes	No need for Procurement as the specific vendor has been named and approved in the Budget (for Example, Islam Channel, Iman Channel). Budget has been approved by CEO and Trustees. This would replace the waiver. However: <ul style="list-style-type: none"> - Copy of Contract to be shared with Procurement (to ensure within budget and for performance review afterwards).
List of other people, freelancers, artists, speakers, advertising agencies	No	If in Approved List of Vendors (People) List with rates needs to be shared and endorsed by Procurement. Fundraising Team can then use them as long as it is within their budget. <i>Any facilitator fees for artists need to be approved via waiver form by the Head of Global Supply Chain prior to contracting (Director’s/CEO signature on waiver must be obtained prior to submission to Head of Global Supply Chain).</i>

<p>Venues, Catering, Hotel Bookings, merchandising, car rental and other</p>	<p>No</p>	<p>Approved List of Companies List with rates needs to be shared and endorsed by Procurement. Fundraising Team can then use them as long as it is within their budget.</p> <p>If not in the approved list Only venues/catering can be booked and negotiated by fundraising Teams directly provided that the 4 below conditions are met:</p> <ul style="list-style-type: none"> • Final sign off is done with Procurement prior to committing Human Appeal into the bookings. • Cost is below the tender threshold (£20,000 per annum). • Copy of received quotes are shared with Procurement (prices tend to fluctuate based on offer/demand and specific dates during the year). • A contract is in place or at least a detailed agreement showing breakdown of service provided (what's included and what is not). <p>All other items:</p> <ul style="list-style-type: none"> • please liaise with the Procurement Team first for advice.
<p>All Suppliers mentioned above are used to generate funds through fundraising activities. Fundraising Director to share feedback on Return on Investment (ROI) to Head of Global Supply Chain so recommendations and adjustments on the approved Supplier list can be done.</p>		
<p>Head of Global Supply Chain will have to sign contracts of £25,000 and above</p>		

9.4 Request for Quotation Process (RFQ)

The RFQ is a formal Procurement process of acquiring goods and services to meet Human Appeals requirements, whereby asking outside vendors to submit a quote for the completion of a specific task or project. An RFQ, akin to a request for proposal (RFP), provides comprehensive information to the bidder concerning the project's requirements. An RFQ frequently requires the bidder to itemize costs for each phase of the project allowing Human Appeal to compare several bids for like services.

Human Appeal will award the contract to the bidder that meets the minimum qualifying criteria and presents the most suitable bid in terms of cost, lead-time, quality, and capacity to supply. **Therefore, it is of paramount importance that the Requester has clearly defined selection criteria.**

9.4.1 Request for Quotation RFQ

This is when there is a clear stated requirement of goods and services that Human Appeal are looking for. The supplier has to provide a cost for the delivery of the requested goods and services. This is usually for tangible goods or services (purchase laptop, freight quotations...).

9.4.2 Request for Proposal RFP

This is when the supplier has to provide a solution for Human Appeal's clearly stated requirement. The supplier has a greater discretion to provide a range of costed proposals. In other words, vendors can come up with the methodology they want to implement. This is often used for complex and intangible services (e.g. construction tender).

9.4.3 RFQ Documentation

The RFQ & RFP documentation typically contains:

- Details of the required goods and services
- Timelines of the RFQ including deadlines
- Instructions on how to request further details or ask questions
- Information about Human Appeal
- Factors influencing bid selection
- Any other necessary information required for bid consideration.

9.5 Single Sourcing/Waiver

Sometimes it is necessary to request an exemption from the normal Procurement procedures due to various reasons. In this case, a waiver form stating the business case, the total cost involved and approval from:

- The budget holder.
- The Divisional Director or CEO.
- The Head of Global Supply Chain (or authorised people deputising for him/her).

Reasons for requesting a waiver can be manifold such as, but not limited to:

- **Emergency Response:** when following the process would prevent Human Appeal meeting urgent humanitarian needs (e.g., lifesaving in the initial days of an emergency response).
- **Time:** urgent request requires to source items ASAP (this is different from poor planning where sourcing items or services are left to the last minute. For such cases a waiver will not be granted), this can be recorded under the case where following the process would cause a delay that would compromise security of Human Appeal staff and assets. If the time given for the Procurement is too short due to factors outside Human Appeal control (e.g. late donor funding, delays due to security) and will result in an inability to operate. Failing to plan is not an acceptable reason for an exception.
- **Niche market:** sometimes, only a handful of a single supplier can offer the service and as such, this need to be captured in the waiver form for justifying the single sourcing. For instance, fundraisers using Google, Facebook and other similar advertising platform. This can be recorded under the case where there is an evidenced local restriction on imports that prevents international Procurement.
- **Sensitivity/Confidentiality:** Sometimes critical items cannot be sourced openly and when a closed tender is still not recommended, then a waiver form will be sought. A good example is sourcing Legal firm for specific services.
- **Sole of Source:** Where there is a sole source supplier situation, in other words insufficient suppliers to meet the minimum quotation requirements of 3.
- **Donor Rules:** Where a donor wishes to impose an obligation on Human Appeal which is in conflict with (as opposed to stricter than) this policy.
- **Supplier commitment:** When the goods or services are needed to complete a project and it would not be appropriate to get a different supplier to finish it as to do so would mean the

project could not be completed (provided that the total amount of additional supplies, works or services does not exceed 50% of the value of the initial contract, that the initial sourcing).

Requesters should provide sufficient detailed specification and time for the goods or services to be sourced by the Procurement Team. Lack of planning requesting a last-minute order do not justify a waiver; usually no less than 5 working days for tangible goods under the tender threshold and 3 weeks minimum for tenders and some service requests are required.



Full details can be found in the Human Appeal Global Supply Chain Manual.

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