



**COMMUNICATIONS
AUTHORITY OF KENYA**

**OPEN NATIONAL TENDER SUPPLY, DELIVERY, INSTALLATION,
CONFIGURATION AND MAINTENANCE (LICENSE RENEWAL) OF AUDIT
MANAGEMENT SOFTWARE**

TENDER NO: CA/PROC/OT/44/2019-2020

SUBMISSION DEADLINE

29TH April 2020 at 10:30AM

Director General
Communications Authority of Kenya
P.O Box 14448
Westlands 00800
NAIROBI
Tel: +254 703 042000
Email: tenders@ca.go.ke
Website: www.ca.go.ke

SECTION I – INVITATION TO TENDERERS

TENDER REF NO : CA/PROC/OT/44/2019- 2020

TENDER NAME: THE *COMMUNICATIONS AUTHORITY OF KENYA (CA)* INVITES SEALED BIDS FROM ELIGIBLE BIDDERS FOR SUPPLY, DELIVERY, INSTALLATION, CONFIGURATION AND MAINTENANCE (LICENSE RENEWAL) OF AUDIT MANAGEMENT SOFTWARE

- 1.1 The Communications Authority of Kenya (CA) is the regulatory authority for the ICT industry in Kenya with responsibilities in telecommunications, cyber security, e-commerce, broadcasting and postal/courier services. CA is also responsible for managing the country's numbering and frequency spectrum resources, administering the Universal Service Fund (USF) as well as safeguarding the interests of users of ICT services.
- 1.2 **The Communications Authority of Kenya (CA)** wishes to invite interested and eligible firms to participate in the **tender for supply, delivery, installation, configuration and maintenance (License renewal) of audit management software.**
- 1.3 Interested eligible candidates may obtain further information from and inspect the tender documents at Procurement Office, 2nd Floor Wing A, upon payment of non-refundable fee of **Kenya Shillings One Thousand (Kshs 1,000)** only either in cash or bankers cheque payable to the **Communications Authority of Kenya**
- 1.4 .The tender document can be accessed and downloaded from the Authority's website <https://ca.go.ke/about-us/do-business-with-us/open-tenders/> or Public Procurement Information Portal (PPIP) supplier portal (<http://www.tenders.go.ke/website/tenders/index> *free of charge*.

The firms that download the document must arrange to forward their particulars/contacts to the Head of Procurement, Communications Authority of Kenya, through email address ***tenders@ca.go.ke*** before the closing date for records and for the purposes of **receiving clarifications** and/or addendum, if any. Additional information relating to this tender, if any, will be availed through the Authority's website and PPIP from time to time.

A complete tender document may also be obtained by interested candidates upon payment of a non-refundable fee of Kshs.1,000. The payment can be remitted through Pay-Bill No.522522 and a receipt obtained from our Accounts office, located at the Ground Floor, CA Centre
- 1.5 Bidders are required to undertake serialization of all bid documents as per requirements of the Public Procurement and Asset Disposal Act (PPADA), 2015 clause 74(1)(i) to enable safeguard loss of documentation during and after evaluation.
- 1.6 Prices quoted should be net inclusive of all taxes and associated costs, must be expressed in Kenya shillings and shall remain valid for a period of 150 days from the closing date of the tender.

- 1.7 Duly completed tender documents, in a plain sealed envelope marked: **“CA/PROC/OT/44/2019-2020 –“ SUPPLY, DELIVERY, INSTALLATION, CONFIGURATION AND MAINTENANCE (LICENSE RENEWAL) OF AUDIT MANAGEMENT SOFTWARE’** should be deposited in the CA tender box on the ground floor of the CA Centre along Waiyaki Way **on or before 29th April 2020 at 10.30 a.m.**

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- 1.8 Bids shall be opened soon thereafter in the presence of the Bidders’ representative(s) who choose to attend at the Authority’s meeting room 2 Ground floor.

SECTION II- INSTRUCTIONS TO TENDERERS

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SECTION II - INSTRUCTIONS TO TENDERERS

2.1 Eligible Tenderers

- 2.1.1 This Invitation for Tenders is open to all tenderers eligible as described in the Invitation to Tender. Successful tenderers shall complete the supply of goods by the intended completion date specified in the Schedule of Requirements Section VI.
- 2.1.2 The procuring entity's employees, committee members, board members and their relative (spouse and children) are not eligible to participate in the tender.
- 2.1.3 Tenderers shall provide the qualification information statement that the tenderer (including all members of a joint venture and subcontractors) is not associated, or have been associated in the past, directly or indirectly, with a firm or any of its affiliates which have been engaged by the Procuring entity to provide consulting services for the preparation of the design, specifications, and other documents to be used for the procurement of the goods under this Invitation for tenders.
- 2.1.4 Tenderers shall not be under a declaration of ineligibility for corrupt and fraudulent practices.

2.2 Eligible Goods

- 2.2.1 All goods to be supplied under the contract shall have their origin in eligible source countries.
- 2.2.2 For purposes of this clause, "origin" means the place where the goods are mined, grown, or produced. Goods are produced when, through manufacturing, processing, or substantial and major assembly of components, a commercially-recognized product results that is substantially different in basic characteristics or in purpose or utility from its components
- 2.2.3 The origin of goods is distinct from the nationality of the tenderer.

2.3 Cost of Tendering

- 2.3.1 The Tenderer shall bear all costs associated with the preparation and submission of its tender, and the procuring entity, will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the tendering process.
- 2.3.2 The price to be charged for the tender document shall not exceed Kshs.5,000/=
- 2.3.3 All firms found capable of performing the contract satisfactorily in accordance with the set prequalification criteria shall be prequalified.

2.4. The Tender Document

- 2.4.1 The tender document comprises the documents listed below and addenda issued in accordance with clause 2.6 of these instructions to Tenderers
- (i) Invitation to Tender
 - (ii) Instructions to tenderers
 - (iii) General Conditions of Contract
 - (iv) Special Conditions of Contract
 - (v) Schedule of requirements
 - (vi) Technical Specifications
 - (vii) Tender Form and Price Schedules
 - (viii) Tender Security Form
 - (ix) Contract Form
 - (x) Performance Security Form
 - (xi) Bank Guarantee for Advance Payment Form
 - (xii) Manufacturer's Authorization Form
 - (xiii) Confidential Business Questionnaire
- 2.4.2 The Tenderer is expected to examine all instructions, forms, terms, and specifications in the tender documents. Failure to furnish all information required by the tender documents or to submit a tender not substantially responsive to the tender documents in every respect will be at the tenderers risk and may result in the rejection of its tender.

2.5 **Clarification of Documents**

- 2.5.1 A prospective tenderer requiring any clarification of the tender document may notify the Procuring entity in writing or by post at the entity's address indicated in the Invitation to Tender. The Procuring entity will respond in writing to any request for clarification of the tender documents, which it receives not later than seven (7) days prior to the deadline for the submission of tenders, prescribed by the procuring entity. Written copies of the Procuring entities response (including an explanation of the query but without identifying the source of inquiry) will be sent to all prospective tenderers that have received the tender document.
- 2.5.2 The procuring entity shall reply to any clarifications sought by the tenderer within 3 days of receiving the request to enable the tenderer to make timely submission of its tender.

2.6 **Amendment of Documents**

- 2.6.1 At any time prior to the deadline for submission of tenders, the Procuring entity, for any reason, whether at its own initiative or in response to a clarification requested by a prospective tenderer, may modify the tender documents by amendment.
- 2.6.2 All prospective candidates that have received the tender documents will be notified of the amendment in writing or by post and will be binding on them.

2.6.3 In order to allow prospective tenderers reasonable time in which to take the amendment into account in preparing their tenders, the Procuring entity, at its discretion, may extend the deadline for the submission of tenders.

2.7 Language of Tender

2.7.1 The tender prepared by the tenderer, as well as all correspondence and documents relating to the tender exchange by the tenderer and the Procuring entity, shall be written in English language, provided that any printed literature furnished by the tenderer may be written in another language provided they are accompanied by an accurate English translation of the relevant passages in which case, for purposes of interpretation of the tender, the English translation shall govern.

2.8 Documents Comprising of Tender

2.8.1 The tender prepared by the tenderers shall comprise the following components

- (a) a Tender Form and a Price Schedule completed in accordance with paragraph 2.9, 2.10 and 2.11 below
- (b) documentary evidence established in accordance with paragraph 2.1 that the tenderer is eligible to tender and is qualified to perform the contract if its tender is accepted;
- (c) documentary evidence established in accordance with paragraph 2.2 that the goods and ancillary services to be supplied by the tenderer are eligible goods and services and conform to the tender documents; and
- (d) tender security furnished in accordance with paragraph 2.14

2.9 Tender Forms

2.9.1 The tenderer shall complete the Tender Form and the appropriate Price Schedule furnished in the tender documents, indicating the goods to be supplied, a brief description of the goods, their country of origin, quantity, and prices.

2.10 Tender Prices

2.10.1 The tenderer shall indicate on the appropriate Price Schedule the unit prices and total tender price of the goods it proposes to supply under the contract

2.10.2 Prices indicated on the Price Schedule shall include all costs including taxes, insurances and delivery to the premises of the entity.

2.10.3 Prices quoted by the tenderer shall be fixed during the Tender's performance of the contract and not subject to variation on any account. A tender submitted with an adjustable price quotation will be treated as non-responsive and will be rejected, pursuant to paragraph 2.22

2.10.4 The validity period of the tender shall be 60 days from the date of opening of the tender.

2.11 Tender Currencies

2.11.1 Prices shall be quoted in Kenya Shillings unless otherwise specified in the Appendix to Instructions to Tenderers.

2.12 Tenderers Eligibility and Qualifications

2.12.1 Pursuant to paragraph 2.1. the tenderer shall furnish, as part of its tender, documents establishing the tenderers eligibility to tender and its qualifications to perform the contract if its tender is accepted.

2.12.2 The documentary evidence of the tenderers eligibility to tender shall establish to the Procuring entity's satisfaction that the tenderer, at the time of submission of its tender, is from an eligible source country as defined under paragraph 2.1

2.12.3 The documentary evidence of the tenderers qualifications to perform the contract if its tender is accepted shall be established to the Procuring entity's satisfaction;

- (a) that, in the case of a tenderer offering to supply goods under the contract which the tenderer did not manufacture or otherwise produce, the tenderer has been duly authorized by the goods' Manufacturer or producer to supply the goods.
- (b) that the tenderer has the financial, technical, and production capability necessary to perform the contract;
- (c) that, in the case of a tenderer not doing business within Kenya, the tenderer is or will be (if awarded the contract) represented by an Agent in Kenya equipped, and able to carry out the Tenderer's maintenance, repair, and spare parts-stocking obligations prescribed in the Conditions of Contract and/or Technical Specifications.

2.13 Goods Eligibility and Conformity to Tender Documents

2.13.1 Pursuant to paragraph 2.2 of this section, the tenderer shall furnish, as part of its tender documents establishing the eligibility and conformity to the tender documents of all goods which the tenderer proposes to supply under the contract

2.13.2 The documentary evidence of the eligibility of the goods shall consist of a statement in the Price Schedule of the country of origin of the goods and services offered which shall be confirmed by a certificate of origin issued at the time of shipment.

2.13.3 The documentary evidence of conformity of the goods to the tender documents may be in the form of literature, drawings, and data, and shall consist of:

- (a) a detailed description of the essential technical and performance characteristic of the goods;
- (b) a list giving full particulars, including available source and current prices of spare parts, special tools, etc., necessary for the proper and continuing functioning of the goods for a period of two (2) years, following commencement of the use of the goods by the Procuring entity; and
- (c) a clause-by-clause commentary on the Procuring entity's Technical Specifications demonstrating substantial responsiveness of the goods and

service to those specifications, or a statement of deviations and exceptions to the provisions of the Technical Specifications.

2.13.4 For purposes of the documentary evidence to be furnished pursuant to paragraph 2.13.3(c) above, the tenderer shall note that standards for workmanship, material, and equipment, as well as references to brand names or catalogue numbers designated by the Procurement entity in its Technical Specifications, are intended to be descriptive only and not restrictive. The tenderer may substitute alternative standards, brand names, and/or catalogue numbers in its tender, provided that it demonstrates to the Procurement entity's satisfaction that the substitutions ensure substantial equivalence to those designated in the Technical Specifications.

2.14 Tender Security

2.14.1 The tenderer shall furnish, as part of its tender, a tender security for the amount specified in the Appendix to Invitation to Tenderers.

2.14.2 The tender security shall be in the amount of 0.5 – 2 per cent of the tender price.

2.14.3 The tender security is required to protect the Procuring entity against the risk of Tenderer's conduct which would warrant the security's forfeiture, pursuant to paragraph 2.14.7

2.14.4 The tender security shall be denominated in Kenya Shillings or in another freely convertible currency, and shall be in the form of a bank guarantee or a bank draft issued by a reputable bank located in Kenya or abroad, or a guarantee issued by a reputable insurance company in the form provided in the tender documents or another form acceptable to the Procuring entity and valid for thirty (30) days beyond the validity of the tender.

2.14.5 Any tender not secured in accordance with paragraph 2.14.1 and 2.14.3 will be rejected by the Procuring entity as non responsive, pursuant to paragraph 2.22

2.14.6 Unsuccessful Tenderer's tender security will be discharged or returned as promptly as possible but not later than thirty (30) days after the expiration of the period of tender validity prescribed by the Procuring entity.

2.14.7 The successful Tenderer's tender security will be discharged upon the tenderer signing the contract, pursuant to paragraph 2.27 and furnishing the performance security, pursuant to paragraph 2.28

2.14.8 The tender security may be forfeited:

- (a) if a tenderer withdraws its tender during the period of tender validity specified by the procuring entity on the Tender Form; or
- (b) in the case of a successful tenderer, if the tenderer fails:
 - (i) to sign the contract in accordance with paragraph 2.27
 - or
 - (ii) to furnish performance security in accordance with paragraph 2.28

2.15 **Validity of Tenders**

- 2.15.1 Tenders shall remain valid for 90 days or as specified in the Invitation to Tender after the date of tender opening prescribed by the Procuring entity, pursuant to paragraph 2.18. A tender valid for a shorter period shall be rejected by the Procuring entity as non responsive.
- 2.15.2 In exceptional circumstances, the Procuring entity may solicit the Tenderer's consent to an extension of the period of validity. The request and the responses thereto shall be made in writing. The tender security provided under paragraph 2.14 shall also be suitably extended. A tenderer may refuse the request without forfeiting its tender security. A tenderer granting the request will not be required nor permitted to modify its tender.

2.16 **Format and Signing of Tender**

- 2.16.1 The Procuring entity shall prepare two copies of the tender, clearly marking each "ORIGINAL TENDER" and "COPY OF TENDER," as appropriate. In the event of any discrepancy between them, the original shall govern.
- 2.16.2 The original and all copies of the tender shall be typed or written in indelible ink and shall be signed by the tenderer or a person or persons duly authorized to bind the tenderer to the contract. The latter authorization shall be indicated by written power-of-attorney accompanying the tender. All pages of the tender, except for unamended printed literature, shall be initialed by the person or persons signing the tender.
- 2.16.3 The tender shall have no interlineations, erasures, or overwriting except as necessary to correct errors made by the tenderer, in which case such corrections shall be initialed by the person or persons signing the tender.

2.17 **Sealing and Marking of Tenders**

- 2.17.1 The Tenderer shall seal the original and each copy of the tender in separate envelopes, duly marking the envelopes as "ORIGINAL" and "COPY." The envelopes shall then be sealed in an outer envelope.
- 2.17.2 The inner and outer envelopes shall:
- (a) be addressed to the Procuring entity at the address given in the Invitation to Tender:
 - (b) bear, tender number and name in the Invitation for Tenders and the words, "DO NOT OPEN BEFORE," (*day, date and time of closing*)
- 2.17.3 The inner envelopes shall also indicate the name and address of the tenderer to enable the tender to be returned unopened in case it is declared "late".
- 2.17.4 If the outer envelope is not sealed and marked as required by paragraph 2.17.2, the Procuring entity will assume no responsibility for the tender's misplacement or premature opening.

2.18 Deadline for Submission of Tenders

- 2.18.1 Tenders must be received by the Procuring entity at the address specified under paragraph 2.17.2 no later than (*day, date and time of closing*).
- 2.18.2 The Procuring entity may, at its discretion, extend this deadline for the submission of tenders by amending the tender documents in accordance with paragraph 2.6, in which case all rights and obligations of the Procuring entity and candidates previously subject to the deadline will therefore be subject to the deadline as extended

2.19 Modification and Withdrawal of Tenders

- 2.19.1 The tenderer may modify or withdraw its tender after the tender's submission, provided that written notice of the modification, including substitution or withdrawal of the tenders, is received by the Procuring Entity prior to the deadline prescribed for submission of tenders.
- 2.19.2 The Tenderer's modification or withdrawal notice shall be prepared, sealed, marked, and dispatched in accordance with the provisions of paragraph 2.17. A withdrawal notice may also be sent by cable, telex but followed by a signed confirmation copy, postmarked not later than the deadline for submission of tenders.
- 2.19.3 No tender may be modified after the deadline for submission of tenders.
- 2.19.4 No tender may be withdrawn in the interval between the deadline for submission of tenders and the expiration of the period of tender validity specified by the tenderer on the Tender Form. Withdrawal of a tender during this interval may result in the Tenderer's forfeiture of its tender security, pursuant to paragraph 2.14.7
- 2.19.5 The procuring entity may at any time terminate procurement proceedings before contract award and shall not be liable to any person for the termination.
- 2.19.6 The procuring entity shall give prompt notice of the termination to the tenderers and on request give its reasons for termination within 14 days of receiving the request from any tenderer.

2.20 Opening of Tenders

- 2.20.1 The Procuring entity will open all tenders in the presence of tenderers' representatives who choose to attend, at (*time, day and date of closing*) and in the location specified in the Invitation to Tender.

The tenderers' representatives who are present shall sign a register evidencing their attendance.

2.20.2 The tenderers' names, tender modifications or withdrawals, tender prices, discounts and the presence or absence of requisite tender security and such other details as the Procuring entity, at its discretion, may consider appropriate, will be announced at the opening.

2.20.3 The Procuring entity will prepare minutes of the tender opening.

2.21 Clarification of Tenders

2.21.1 To assist in the examination, evaluation and comparison of tenders the Procuring entity may, at its discretion, ask the tenderer for a clarification of its tender. The request for clarification and the response shall be in writing, and no change in the prices or substance of the tender shall be sought, offered, or permitted.

2.21.2 Any effort by the tenderer to influence the Procuring entity in the Procuring entity's tender evaluation, tender comparison or contract award decisions may result in the rejection of the tenderers' tender.

2.22 Preliminary Examination

2.22.1 The Procuring entity will examine the tenders to determine whether they are complete, whether any computational errors have been made, whether required sureties have been furnished, whether the documents have been properly signed, and whether the tenders are generally in order.

2.22.2 Arithmetical errors will be rectified on the following basis. If there is a discrepancy between the unit price and the total price that is obtained by multiplying the unit price and quantify, the unit price shall prevail, and the total price shall be corrected. If the candidate does not accept the correction of the errors, its tender will be rejected, and its tender security forfeited. If there is a discrepancy between words and figures the amount in words will prevail

2.22.3 The Procuring entity may waive any minor informality or non-conformity or irregularity in a tender which does not constitute a material deviation, provided such waiver does not prejudice or effect the relative ranking of any tenderer.

2.22.4 Prior to the detailed evaluation, pursuant to paragraph 2.23 the Procuring entity will determine the substantial responsiveness of each tender to the tender documents. For purposes of these paragraphs, a substantially responsive tender is one, which conforms to all the terms and conditions of the tender documents without material deviations. The Procuring entity's determination of a tender's responsiveness is to be based on the contents of the tender itself without recourse to extrinsic evidence.

2.22.5 If a tender is not substantially responsive, it will be rejected by the Procuring entity and may not subsequently be made responsive by the tenderer by correction of the non conformity.

2.23 Conversion to Single Currency

2.23.1 Where other currencies are used, the procuring entity will convert these currencies to Kenya Shillings using the selling exchange rate on the date of tender closing provided by the Central Bank of Kenya.

2.24 Evaluation and Comparison of Tenders

2.24.1 The Procuring entity will evaluate and compare the tenders which have been determined to be substantially responsive, pursuant to paragraph 2.22

2.24.2 The tender evaluation committee shall evaluate the tender within 30 days of the validity period from the date of opening the tender.

2.24.3 A tenderer who gives false information in the tender document about its qualification or who refuses to enter into a contract after notification of contract award shall be considered for debarment from participating in future public procurement.

2.25 Preference

2.25.1 Preference where allowed in the evaluation of tenders shall not exceed 15%

2.26 Contacting the Procuring entity

2.26.1 Subject to paragraph 2.21 no tenderer shall contact the Procuring entity on any matter related to its tender, from the time of the tender opening to the time the contract is awarded.

2.26.2 Any effort by a tenderer to influence the Procuring entity in its decisions on tender, evaluation, tender comparison, or contract award may result in the rejection of the Tenderer's tender.

2.27 Award of Contract

(a) Post-qualification

2.27.1 In the absence of pre-qualification, the Procuring entity will determine to its satisfaction whether the tenderer that is selected as having submitted the lowest evaluated responsive tender is qualified to perform the contract satisfactorily.

2.27.2 The determination will take into account the tenderer financial, technical, and production capabilities. It will be based upon an examination of the documentary evidence of the tenderers qualifications submitted by the tenderer, pursuant to paragraph 2.12.3 as well as such other information as the Procuring entity deems necessary and appropriate.

2.27.3 An affirmative determination will be a prerequisite for award of the contract to the tenderer. A negative determination will result in rejection of the Tenderer's tender, in

which event the Procuring entity will proceed to the next lowest evaluated tender to make a similar determination of that Tenderer's capabilities to perform satisfactorily.

(b) Award Criteria

2.27.4 The Procuring entity will award the contract to the successful tenderer(s) whose tender has been determined to be substantially responsive and has been determined to be the lowest evaluated tender, provided further that the tenderer is determined to be qualified to perform the contract satisfactorily.

(c) Procuring entity's Right to Vary quantities

2.27.5 The Procuring entity reserves the right at the time of contract award to increase or decrease the quantity of goods originally specified in the Schedule of requirements without any change in unit price or other terms and conditions

(d) Procuring entity's Right to Accept or Reject Any or All Tenders

2.27.6 The Procuring entity reserves the right to accept or reject any tender, and to annul the tendering process and reject all tenders at any time prior to contract award, without thereby incurring any liability to the affected tenderer or tenderers or any obligation to inform the affected tenderer or tenderers of the grounds for the Procuring entity's action

2.28 Notification of Award

2.28.1 Prior to the expiration of the period of tender validity, the Procuring entity will notify the successful tenderer in writing that its tender has been accepted.

2.28.2 The notification of award will constitute the formation of the Contract but will have to wait until the contract is finally signed by both parties

2.28.3 Upon the successful Tenderer's furnishing of the performance security pursuant to paragraph 2.28, the Procuring entity will promptly notify each unsuccessful Tenderer and will discharge its tender security, pursuant to paragraph 2.14

2.29 Signing of Contract

2.29.1 At the same time as the Procuring entity notifies the successful tenderer that its tender has been accepted, the Procuring entity will send the tenderer the Contract Form provided in the tender documents, incorporating all agreements between the parties.

2.29.2 The parties to the contract shall have it signed within 30 days from the date of notification of contract award unless there is an administrative review request.

2.29.3 Within thirty (30) days of receipt of the Contract Form, the successful tenderer shall sign and date the contract and return it to the Procuring entity.

2.30 Performance Security

2.30.1 Within Thirty (30)days of the receipt of notification of award from the Procuring entity, the successful tenderer shall furnish the performance security in accordance with the Conditions of Contract, in the Performance Security Form provided in the tender documents, or in another form acceptable to the Procuring entity.

2.30.2 Failure of the successful tenderer to comply with the requirements of paragraph 2.27 or paragraph 2.28 shall constitute sufficient grounds for the annulment of the award and forfeiture of the tender security, in which event the Procuring entity may make the award to the next lowest evaluated Candidate or call for new tenders.

2.31 Corrupt or Fraudulent Practices

2.31.1 The Procuring entity requires that tenderers observe the highest standard of ethics during the procurement process and execution of contracts when used in the present regulations, the following terms are defined as follows;

(i) “corrupt practice” means the offering, giving, receiving, or soliciting of any thing of value to influence the action of a public official in the procurement process or in contract execution; and

(ii) “fraudulent practice” means a misrepresentation of facts in order to influence a procurement process or the execution of a contract to the detriment of the Procuring entity, and includes collusive practice among tenderer (prior to or after tender submission) designed to establish tender prices at artificial non-competitive levels and to deprive the Procuring entity of the benefits of free and open competition;

2.31.2 The procuring entity will reject a proposal for award if it determines that the tenderer recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question.

2.31.3 Further a tenderer who is found to have indulged in corrupt or fraudulent practices risks being debarred from participating in public procurement in Kenya.

APPENDIX TO INSTRUCTIONS TO THE TENDERERS

The following information for procurement of services shall complement or amend the provisions of the instructions to tenderers. Wherever there is a conflict between the provisions of the instructions to tenderers and the provisions of the appendix, the provisions of the appendix herein shall prevail over those of the instructions to tenderers

Instructions to tenderers	Particulars of appendix to instructions to tenderers															
2.1	<i>Open national tender</i>															
2.10	<i>The tender sums should be in Kenya Shillings (KSHS)</i>															
2.11	<i>Particulars of eligibility and qualifications documents of evidence required refer to clause 2.22</i>															
2.12	<i>Particulars of tender security.-Kshs. 100,000.00 must be in form of Bank Guarantee from a reputable bank or an Insurance Bond from Insurance Company and approved by Public Procurement Regulatory Authority (PPRA). The tender Security should be valid for 30 days beyond the tender validity period</i>															
2.13	<i>Tenders shall remain valid for 150 days</i>															
2.18	The Authority will open all tenders in the presence of tenderers' representatives who choose to attend, (29th April 2020 at 10:30 am)															
2.22	<p><i>Evaluation criteria</i></p> <p>The Authority will evaluate the tenders submitted in three stages namely: -</p> <ul style="list-style-type: none"> a. Mandatory Evaluation – Pass/Fail b. Technical Capacity Evaluation – Complied/Not Complied c. Financial Evaluation – Lowest evaluated bidder <p>General Evaluation criteria</p> <p>A) Mandatory Evaluation</p> <p>The bids shall undergo a mandatory evaluation process in order to determine the bid compliance to the following mandatory requirements: -</p> <table border="1" data-bbox="363 1664 1398 2029"> <thead> <tr> <th data-bbox="363 1664 440 1731">No.</th> <th data-bbox="440 1664 1217 1731">Requirement</th> <th data-bbox="1217 1664 1398 1731">Pass/ Fail</th> </tr> </thead> <tbody> <tr> <td data-bbox="363 1731 440 1809">1.</td> <td data-bbox="440 1731 1217 1809">Certificate of business incorporation/registration of the firm.</td> <td data-bbox="1217 1731 1398 1809"></td> </tr> <tr> <td data-bbox="363 1809 440 1848">2.</td> <td data-bbox="440 1809 1217 1848">Attach a Valid Tax Compliance Certificate</td> <td data-bbox="1217 1809 1398 1848"></td> </tr> <tr> <td data-bbox="363 1848 440 1960">3.</td> <td data-bbox="440 1848 1217 1960">The tender is exclusively reserved to firms that Kenyans own one hundred percent (100%) shares. Attach Authentic CR12</td> <td data-bbox="1217 1848 1398 1960"></td> </tr> <tr> <td data-bbox="363 1960 440 2029">4.</td> <td data-bbox="440 1960 1217 2029">Bid Bond of KES. 100,000.00 must be in form of Bank Guarantee from a reputable bank or an Insurance Bond</td> <td data-bbox="1217 1960 1398 2029"></td> </tr> </tbody> </table>	No.	Requirement	Pass/ Fail	1.	Certificate of business incorporation/registration of the firm.		2.	Attach a Valid Tax Compliance Certificate		3.	The tender is exclusively reserved to firms that Kenyans own one hundred percent (100%) shares. Attach Authentic CR12		4.	Bid Bond of KES. 100,000.00 must be in form of Bank Guarantee from a reputable bank or an Insurance Bond	
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Instructions to tenderers	Particulars of appendix to instructions to tenderers		
		from Insurance Company and approved by Public Procurement Regulatory Authority (PPRA) The tender Security should be valid for 30 days beyond the tender validity period	
	5.	Duly filled, signed and stamped Confidential Business Questionnaire	
	6.	Duly filled, signed and stamped Form of Tender	
	7.	Power of Attorney to sign this tender	
	8.	Attach Manufacturer's Authorization Letter or a letter from an authorized dealer who is authorized by the manufacturer to supply Audit software licenses. (Letters from Authorized dealers should be accompanied with the dealers' manufacturers' authorization). The Authority shall verify the Authenticity of such document.	
	9.	Audited accounts for 3 years (2016, 2017 and 2018) signed by certified accountants. The accounts must provide the certified accountants practicing number.	

Tenderers are required to comply to the above requirements, failure to which the firm shall not proceed to the technical evaluation stage of evaluation: -

B) Minimum Technical Specifications for Computer Servers

No.	Item	Technical Specifications	Complied /Not complied	If complied, Bidders MUST provide explanation of compliance with reference to datasheet or bill of materials with the specific page number and section of the reference
1.	Server Type	Rack Mount		
2.	Quantity	Two (2)		
3.	Rack mount Size	Maximum 2U		
4.	Random Access Memory (RAM)	Minimum 128 GB 3.5 GHz DDR4 per Server		
5.	Hard Drive capacity	Minimum Ninety Two (92) Terabyte (TB) per server		
6.	DVD Drive (Optic Drive)	Provide a DVD+/-RW drive		
7.	Number of Hot Swappable Bays	Minimum 8 Bays		
8.	Compatible Hot	Minimum SAS, SATA,		

Instructions to tenderers	Particulars of appendix to instructions to tenderers				
		Swappable Drives	SSD		
	9.	Processor Instruction Set	Minimum, Intel Xeon processors 22 cores (Dual- processor architecture X86) speed 3.5Ghz		
	10.	Local Area Network (LAN) Connectivity	Provide minimum two (2) RJ-45 port that supports 10/100/1000BASE-T networks		
	11.	Screen	One 17" TFT monitor		
	12.	RAID Support levels	Minimum RAID 0, 1, 5, 10, 50 and 60		
	13.	Number of Cooling FANS	Minimum Seven (7) Hot Swappable		
	14.	Operating Systems Support	To support at the minimum: Microsoft Windows Server 2012 R2 64 bit - Enterprise		
			Red Hat Enterprise Linux 6 (x64)		
			SUSE Linux Enterprise Server 11 (x64)		
			CentOS Version 7		
			VMware vSphere (ESXi) 5.5		
	15.	Database software support	To support at the minimum: Microsoft SQL 2012 R2 64bit Standard/Enterprise		
			Oracle 11g R2		
	16.	Software to provide	Licensed Enterprise Operating System (OS) to support the Audit Management System		

Instructions to tenderers	Particulars of appendix to instructions to tenderers				
			Licensed Database Software to manage the Audit Management System data		
	17.	Service and support	Provide manufacturer's authorization letter		
			Proof of at least five (5) years warranty period		

C) Minimum Technical Specifications for the Audit Management Software

No.	Minimum Technical Specifications	Complied /Not complied	If complied, Bidders MUST provide explanation of compliance with reference to datasheet or bill of materials with the specific page number and section of the reference
1.	Availability of separate Risk Assessment module to carry out enterprise risk assessment.		
2.	Capability to automatically value the risk rating of projects from the audit universe.		
3.	Capability to assign value for each risk factor for risk rating and to capture user defined parameters to reflect materiality during risk assessments		
4.	Capability for user/departments to carry out self-assessments of risks on a web based mode		
5.	Capability to allow auditees/management to perform self-assessments of risk via web based application.		
6.	Capability to maintain and analyze risks and controls register.		
7.	Capability to manage the audit universe, project history, contact data, and background information.		
8.	Capable of automatically generating the draft Annual Audit Plan based on the priority rating of risk in the risk assessment function.		

Instructions to tenderers	Particulars of appendix to instructions to tenderers			
	9.	Capability to capture budget/plan time for each project at the time of planning.		
	10.	Capability to automatically create individual audit plan directly from the Annual Audit plan on a web based mode.		
	11.	Capability to capture planned time for each audit staff and track Actual Time spent in each phase of the audit that allows for reporting of specific audits performed by individual auditors, projects, etc.		
	12.	Capability to report audit vs. non-audit time, and comparison to budgeted time.		
	13.	Capability to generate administrative reports by auditor, project, completed projects, projects in progress, etc.		
	14.	Capability to access the audit procedures captured in the audit program to conduct the audit; and to add additional audit steps (procedures) to the audit program at any time during the course of the audit.		
	15.	Capability to enable the audit supervisors to approve the audit program and any subsequent changes.		
	16.	Capability to send and file the letter of introduction/ notification to auditees for audit commencement.		
	17.	Capability to plan and perform tests; create tests, define exceptions, set tolerable level of exceptions, record test results, raise points and record results.		
	18.	Capability to record the audit observations and findings.		
	19.	Capability to automatically link the findings to supporting documents and audit procedures.		
20.	Capability to assign risk severity level to each finding.			

Instructions to tenderers	Particulars of appendix to instructions to tenderers			
	21.	Capability to analyze causes of findings and record the facts.		
	22.	Capability to capture audit procedures to carry out substantive or validation audit tests.		
	23.	Capability to capture audit conclusions and recommendations.		
	24.	Capability to provide best practice audit programs for all areas of audit, including specialized areas like IT audits.		
	25.	Capability to automatically prompt /send reminders		
	26.	Capability to create working paper indexing as per main phases and sub items of the Internal Audit processes like planning, Audit program, Field work, Prior year report follow up, Audit report, follow up and sub items within them.		
	27.	Capability to write supervisory review notes with links to targeted work papers.		
	28.	Secure electronic sign-off for audit steps, file attachments, and review notes; and to secure different levels of sign-off (i.e. reviewer 1 and reviewer 2).		
	29.	Capability to automatically generate audit report in Microsoft Word format taking the observations, risk/implication, conclusions and recommendations captured in fieldwork.		
	30.	Capability to automatically send the draft reports to the Auditee for their comment.		
	31.	Capability to automatically import/process Auditee comments from the draft reports, to the working papers.		
	32.	Capability to issue the final report to the authorized person for the approval.		

Instructions to tenderers	Particulars of appendix to instructions to tenderers		
	33.	Capability to generate reports of open items (findings not resolved, partially resolved, resolved), repeated findings, statistical summaries, etc.	
	34.	Capability to track and automatically follow up all pending findings, on a web based mode and through sending out e-mails	
	35.	Capability to search open audit findings per Audit project based on user defined parameters.	
	36.	Capability to track and follow up multiple management responses and by addressees.	
	37.	Capability to create progress reports for management i.e. Performance Reports can be generated monthly, quarterly, or an ad hoc basis. System wide Performance Reports include analysis of: Planned vs Budgeted time, Budgeted vs Actual time, Planned vs Actual time, The number of Audits at each stage (e.g. Completed) by Month, The number of Live Audits at the end of each Month, The achievement of Key Dates / Milestones	
	38.	Capability to automatically populate audit and risk reports for Board and regulatory consumption in multiple formats.	
	39.	Capability to determine automatically when a specific project was last audited and the auditor performing the audit.	
	40.	The system should be database-driven and should be based on relational database structure.	
	41.	It should be compatible with other products such as data extraction/analysis software tools and applications, and MS word, Excel, scanning software.	
	42.	Capability to work as a standalone or connected to the network.	
	43.	Capability to assign multiple	

Instructions to tenderers	Particulars of appendix to instructions to tenderers		
		responsibilities by user identification levels.	
	44.	Capability to have enhanced access control across all the modules	
	45.	Capability to compress and encrypt data automatically to enhance confidentiality.	
	46.	Capability to provide one software license covering risk assessment, audit planning, electronic working papers and audit report/issues tracking.	
	47	Licenses: Capability to provide all licenses required to implement the Audit Management System for a minimum number of 8 users.	

D) Financial Evaluation

The bids that qualify at the technical evaluation stage will be subjected to financial evaluation. A bidder with the **lowest evaluated TOTAL bid amount (inclusive of annual license renewal fees for five (5) years)** will be considered for award of the tender .

- i. Bids with arithmetic errors shall be disqualified at the financial evaluation stage.*
- ii. The tender sum as submitted and read out during the tender opening shall be absolute and final and shall not be the subject of correction, adjustment or amendment in any way as per guidance from (PPADA, Section 82)*
- iii. The total sum to be carried to the form must be inclusive of applicable taxes a*
- iv. The Authority may prior to award of tender carry out due diligence to determine to its satisfaction whether the successful bidder qualifies to perform the terms of contract under this tender.*

Instructions to tenderers	Particulars of appendix to instructions to tenderers																			
	<p>Notes: - The financial bids should be submitted in the following format;</p> <table border="1" data-bbox="352 450 1417 752"> <thead> <tr> <th data-bbox="352 450 940 524">Item description</th> <th data-bbox="940 450 1054 524">Qty.</th> <th data-bbox="1054 450 1225 524">Unit cost</th> <th data-bbox="1225 450 1417 524">Total cost Incl. VAT</th> </tr> </thead> <tbody> <tr> <td data-bbox="352 524 940 600">Supply, delivery and installation of Audit management software</td> <td data-bbox="940 524 1054 600">1</td> <td data-bbox="1054 524 1225 600"></td> <td data-bbox="1225 524 1417 600"></td> </tr> <tr> <td data-bbox="352 600 940 676">Cost of annual license renewals for five (5) years with a warranty for the first year.</td> <td data-bbox="940 600 1054 676">5</td> <td data-bbox="1054 600 1225 676"></td> <td data-bbox="1225 600 1417 676"></td> </tr> <tr> <td data-bbox="352 676 940 752">Total cost (Kshs) inclusive of VAT to be carried to Form of Tender</td> <td data-bbox="940 676 1054 752"></td> <td data-bbox="1054 676 1225 752"></td> <td data-bbox="1225 676 1417 752"></td> </tr> </tbody> </table> <p><i>Firms that do not quote as per the format provided shall be disqualified</i></p>				Item description	Qty.	Unit cost	Total cost Incl. VAT	Supply, delivery and installation of Audit management software	1			Cost of annual license renewals for five (5) years with a warranty for the first year.	5			Total cost (Kshs) inclusive of VAT to be carried to Form of Tender			
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Cost of annual license renewals for five (5) years with a warranty for the first year.	5																			
Total cost (Kshs) inclusive of VAT to be carried to Form of Tender																				
2.24	<i>Particulars of post – qualification if applicable NOT REQUIRED</i>																			
2.27	<i>Performance security 5% of one-time supply, delivery installation and configuration and 5% for the cost of annual license renewals to be paid at the start of each year.</i>																			
2.30	<i>Particulars of performance security if applicable</i>																			

SECTION III: GENERAL CONDITIONS OF CONTRACT

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SECTION III - GENERAL CONDITIONS OF CONTRACT

3.1 Definitions

3.1.1 In this Contract, the following terms shall be interpreted as indicated:-

- (a) “The Contract” means the agreement entered into between the Procuring entity and the tenderer, as recorded in the Contract Form signed by the parties, including all attachments and appendices thereto and all documents incorporated by reference therein.
- (b) “The Contract Price” means the price payable to the tenderer under the Contract for the full and proper performance of its contractual obligations
- (c) “The Goods” means all of the equipment, machinery, and/or other materials, which the tenderer is required to supply to the Procuring entity under the Contract.
- (d) “The Procuring entity” means the organization purchasing the Goods under this Contract.
- (e) “The Tenderer” means the individual or firm supplying the Goods under this Contract.

3.2 Application

3.2.1 These General Conditions shall apply in all Contracts made by the Procuring entity for the procurement installation and commissioning of equipment

3.3 Country of Origin

- 3.3.1 For purposes of this clause, “Origin” means the place where the Goods were mined, grown or produced.
- 3.3.2 The origin of Goods and Services is distinct from the nationality of the tenderer.

3.4 Standards

3.4.1 The Goods supplied under this Contract shall conform to the standards mentioned in the Technical Specifications.

3.5 Use of Contract Documents and Information

3.5.1 The tenderer shall not, without the Procuring entity’s prior written consent, disclose the Contract, or any provision therefore, or any specification, plan, drawing, pattern, sample, or information furnished by or on behalf of the Procuring entity in connection therewith, to any person other than a person employed by the tenderer in the performance of the Contract.

3.5.2 The tenderer shall not, without the Procuring entity's prior written consent, make use of any document or information enumerated in paragraph 3.5.1 above

3.5.3 Any document, other than the Contract itself, enumerated in paragraph 3.5.1 shall remain the property of the Procuring entity and shall be returned (all copies) to the Procuring entity on completion of the Tenderer's performance under the Contract if so required by the Procuring entity

3.6 **Patent Rights**

3.6.1 The tenderer shall indemnify the Procuring entity against all third-party claims of infringement of patent, trademark, or industrial design rights arising from use of the Goods or any part thereof in the Procuring entity's country

3.7 **Performance Security**

3.7.1 Within thirty (30) days of receipt of the notification of Contract award, the successful tenderer shall furnish to the Procuring entity the performance security in the amount specified in Special Conditions of Contract.

3.7.2 The proceeds of the performance security shall be payable to the Procuring entity as compensation for any loss resulting from the Tenderer's failure to complete its obligations under the Contract.

3.7.3 The performance security shall be denominated in the currency of the Contract, or in a freely convertible currency acceptable to the Procuring entity and shall be in the form of a bank guarantee or an irrevocable letter of credit issued by a reputable bank located in Kenya or abroad, acceptable to the Procuring entity, in the form provided in the tender documents.

3.7.4 The performance security will be discharged by the Procuring entity and returned to the Candidate not later than thirty (30) days following the date of completion of the Tenderer's performance obligations under the Contract, including any warranty obligations, under the Contract

3.8 **Inspection and Tests**

3.8.1 The Procuring entity or its representative shall have the right to inspect and/or to test the goods to confirm their conformity to the Contract specifications. The Procuring entity shall notify the tenderer in writing in a timely manner, of the identity of any representatives retained for these purposes.

3.8.2 The inspections and tests may be conducted in the premises of the tenderer or its subcontractor(s), at point of delivery, and/or at the Goods' final destination. If conducted on the premises of the tenderer or its subcontractor(s), all reasonable facilities and assistance, including access to drawings and production data, shall be furnished to the inspectors at no charge to the Procuring entity.

- 3.8.3 Should any inspected or tested goods fail to conform to the Specifications, the Procuring entity may reject the equipment, and the tenderer shall either replace the rejected equipment or make alterations necessary to make specification requirements free of costs to the Procuring entity.
- 3.8.4 The Procuring entity's right to inspect, test and where necessary, reject the goods after the Goods' arrival shall in no way be limited or waived by reason of the equipment having previously been inspected, tested and passed by the Procuring entity or its representative prior to the equipment delivery.
- 3.8.5 Nothing in paragraph 3.8 shall in any way release the tenderer from any warranty or other obligations under this Contract.

3.9 Packing

- 3.9.1 The tenderer shall provide such packing of the Goods as is required to prevent their damage or deterioration during transit to their final destination, as indicated in the Contract.
- 3.9.2 The packing, marking, and documentation within and outside the packages shall comply strictly with such special requirements as shall be expressly provided for in the Contract

3.10 Delivery and Documents

- 3.10.1 Delivery of the Goods shall be made by the tenderer in accordance with the terms specified by Procuring entity in its Schedule of Requirements and the Special Conditions of Contract

3.11 Insurance

- 3.11.1 The Goods supplied under the Contract shall be fully insured against loss or damage incidental to manufacturer or acquisition, transportation, storage, and delivery in the manner specified in the Special conditions of contract.

3.12 Payment

- 3.12.1 The method and conditions of payment to be made to the tenderer under this Contract shall be specified in Special Conditions of Contract
- 3.12.2 Payments shall be made promptly by the Procuring entity as specified in the contract

3.13 Prices

- 3.13.1 Prices charged by the tenderer for goods delivered and services performed under the Contract shall not, with the exception of any price adjustments authorized in Special Conditions of Contract, vary from the prices by the tenderer in its tender.
- 3.13.2 Contract price variations shall not be allowed for contracts not exceeding one year (12 months)

3.13.3 Where contract price variation is allowed, the variation shall not exceed 10% of the original contract price.

3.13.4 Price variation request shall be processed by the procuring entity within 30 days of receiving the request.

3.14. Assignment

3.14.1 The tenderer shall not assign, in whole or in part, its obligations to perform under this Contract, except with the Procuring entity's prior written consent

3.15 Subcontracts

3.15.1 The tenderer shall notify the Procuring entity in writing of all subcontracts awarded under this Contract if not already specified in the tender. Such notification, in the original tender or later, shall not relieve the tenderer from any liability or obligation under the Contract

3.16 Termination for default

3.16.1 The Procuring entity may, without prejudice to any other remedy for breach of Contract, by written notice of default sent to the tenderer, terminate this Contract in whole or in part

(a) if the tenderer fails to deliver any or all of the goods within the period(s) specified in the Contract, or within any extension thereof granted by the Procuring entity

(b) if the tenderer fails to perform any other obligation(s) under the Contract

(c) if the tenderer, in the judgment of the Procuring entity has engaged in corrupt or fraudulent practices in competing for or in executing the Contract

3.16.2 In the event the Procuring entity terminates the Contract in whole or in part, it may procure, upon such terms and in such manner as it deems appropriate, equipment similar to those undelivered, and the tenderer shall be liable to the Procuring entity for any excess costs for such similar goods.

3.17 Liquidated Damages

3.17.1. If the tenderer fails to deliver any or all of the goods within the period(s) specified in the contract, the procuring entity shall, without prejudice to its other remedies under the contract, deduct from the contract prices liquidated damages sum equivalent to 0.5% of the delivered price of the delayed items up to a maximum deduction of 10% of the delayed goods. After this the tenderer may consider termination of the contract.

3.18 Resolution of Disputes

- 3.18.1 The procuring entity and the tenderer shall make every effort to resolve amicably by direct informal negotiation and disagreement or dispute arising between them under or in connection with the contract
- 3.18.2 If, after thirty (30) days from the commencement of such informal negotiations both parties have been unable to resolve amicably a contract dispute, either party may require adjudication in an agreed national or international forum, and/or international arbitration.

3.19 Language and Law

- 3.19.1 The language of the contract and the law governing the contract shall be English language and the Laws of Kenya respectively unless otherwise stated .

3.20 Force Majeure

- 3.20.1 The tenderer shall not be liable for forfeiture of its performance security or termination for default if and to the extent that it's delay in performance or other failure to perform its obligations under the Contract is the result of an event of Force Majeure.

SECTION IV SPECIAL CONDITIONS OF CONTRACT

- 4.1 Special conditions of contract shall supplement the general conditions of contract, wherever there is a conflict between the GCC and the SCC, the provisions of the SCC herein shall prevail over those in the GCC.
- 4.2 Special conditions of contract with reference to the general conditions of contract.

General conditions of contract reference	Special conditions of contract
3.6	<i>Performance security 5% of cost of supply, delivery, installation and configuration of the Audit management software. 5% of the cost of annual license renewal of the software</i>
3.9	<i>The terms of payment shall be within 30 days from the date of inspection and acceptance upon receipt of an official invoice</i>
23.14	<i>Resolution of disputes shall be through arbitration. Appointment of arbitrator to be conducted as per the Arbitration Act</i>
3.18	<p>For Notices, the procurement entity's address is: -</p> <p style="text-align: center;">Director -General Communications Authority of Kenya P.O. Box 14448 Nairobi 00800 Mobile: 0736 121515/ 0703042000 E-mail: tenders@ca.go.ke Website: www.ca.go.ke</p>

SECTION V –TERMS OF REFERENCE FOR THE AUDIT MANAGEMENT SOFTWARE AND TECHNICAL SPECIFICATIONS

A. Internal Audit Automation

The Authority intends to automate the processes in the Internal Audit Services by acquiring an audit management software and a data analysis tool. An audit management software reduces the time and cost associated with internal audit processes and improves the efficiency and productivity of the entire audit process including; risk assessment, planning, scheduling, preparation, execution, review, report generation, trend analysis, committee reporting, issue tracking and administration.

B. Detailed Functional Specifications

1. Risk Assessment function

- i. Availability of separate Risk Assessment module to carry out enterprise risk assessment.
- ii. Capability to automatically value the risk rating of projects from the audit universe.
- iii. Capability to assign value for each risk factor for risk rating.
- iv. Capability to capture user defined parameters to reflect materiality during risk assessments
- v. Capability for user/departments to carry out self assessments of risks on a web based mode
- vi. Capability to automatically generate report based on the risk rating of projects, including graphical heat maps with all departments plotted.
- vii. Capability to allow auditees/management to perform self-assessments of risk via web based application.
- viii. Capability to maintain and analyze risks and controls register.

2. Planning

a) Annual Planning

- i. Capability to manage the audit universe, project history, contact data, and background information.
- ii. Capable of automatically generating the draft Annual Audit Plan based on the priority rating of risk in the risk assessment function.
- iii. Capability to capture budget/plan time for each project at the time of planning.

b) Individual Audit Project Plan

- i. Capability to automatically create individual audit plan directly from the Annual Audit plan on a web based mode.
- ii. Capability to export the individual audit plan to Microsoft Outlook.
- iii. Capability to capture planned time for each audit staff.
- iv. Capability to alert the supervisor while planning the resources, if the auditor is already assigned to another project.

3. Field Work

a) Project Management

- i. Capability to Track Actual Time spent in each phase of the audit that allows for reporting of specific audits performed by individual auditors, projects, etc.
- ii. Capability to report audit vs. non-audit time, and comparison to budgeted time.
- iii. Capability to generate administrative reports by auditor, project, completed projects, projects in progress, etc.
- iv. Capability to approve staff auditors' hours online.
- v. Capability to prohibit/ restricts time entries after specific audit project closeout.

b) Audit Execution

- i. Capability to access the audit procedures captured in the audit program to conduct the audit.
- ii. Capability to add additional audit steps (procedures) to the audit program at any time during the course of the audit.
- iii. Capability to enable the audit supervisors to approve the audit program and any subsequent changes.
- iv. Capability to send and file the letter of introduction/ notification to auditees for audit commencement.
- v. Capability to plan and perform tests; create tests, define exceptions, set tolerable level of exceptions, record test results, raise points and record results.
- vi. Capability to record the audit observations and findings.
- vii. Capability to automatically link the findings to supporting documents and audit procedures.
- viii. Capability to assign risk severity level to each finding.
- ix. Capability to analyse causes of findings and record the facts.
- x. Capability to capture audit procedures to carry out substantive or validation audit tests.
- xi. Capability to capture audit conclusions and recommendations.
- xii. Capability to work seamlessly both on online and offline modes.
- xiii. Capability to store and retrieve audit programs, templates and repetitive findings in a mobile database.
- xiv. Capability to provide best practice audit programs for all areas of audit, including specialised areas like IT audits.
- xv. Capability to automatically prompt /send reminders

4. Working Papers

- i. Capability to create working paper indexing as per main phases and sub items of the Internal Audit processes like planning, Audit program, Field work, Prior year report follow up, Audit report, follow up and sub items within them.
- ii. Capability to link or embed into the software any externally generated documents.
- iii. Capability to support of hot links to specific SAP AIS, MS Word, MS Excel, scanned images, and flow charts documents from audit work papers.
- iv. Capability to write supervisory review notes with links to targeted work papers.
- v. Secure electronic sign-off for audit steps, file attachments, and review notes.
- vi. Capability to secure different levels of sign-off (i.e. reviewer 1 and reviewer 2).

- vii. Capability to document findings directly in the database, and automatically link to supporting working papers and audit procedures.
- viii. Capability to print completed working papers including audit programs and review notes.

5. Reporting

- i. Capability to automatically generate audit report in Microsoft Word format taking the observations, risk/implication, conclusions and recommendations captured in fieldwork.
- ii. Capability to customize audit report formats at any time for future requirement changes.
- iii. Capability to maintain track changes of supervisory reviews of the report.
- iv. Capability to automatically send the draft reports to the Auditee for their comment.
- v. Capability to automatically import/process Auditee comments from the draft reports, to the working papers.
- vi. Capability to issue the final report to the authorized person for the approval.

6. Follow-up

- i. Capability to automatically capture the audit recommendations from the audit report.
- ii. Capability to enable auditees to access (web based mode) and capture the actions taken by themselves for findings addressed to them.
- iii. Capability to generate reports of open items (findings not resolved, partially resolved, resolved), repeated findings, statistical summaries, etc.
- iv. Capability to track and automatically follow up all pending findings, on a web based mode and through sending out e-mails
- v. Capability to search open audit findings per Audit project based on user defined parameters.
- vi. Capability to track and follow up multiple management responses and by addressees.
- vii. Capability to create progress reports for management i.e. Performance Reports can be generated monthly, quarterly, or an ad hoc basis. System wide Performance Reports include analysis of: Planned vs Budgeted time, Budgeted vs Actual time, Planned vs Actual time, The number of Audits at each stage (e.g. Completed) by Month, The number of Live Audits at the end of each Month, The achievement of Key Dates / Milestones
- viii. Capability to automatically populate audit and risk reports for Board and regulatory consumption in multiple formats.

7. Administration

- i. Capability to capture Internal audit staff profile like education, work experience, skills, Certifications, etc.
- ii. Capability to enable supervisors complete auditor performance evaluation for specific audit assignment/project.
- iii. Capability to determine automatically when a specific project was last audited and the auditor performing the audit.
- iv. Requires minimum administrative support to maintain the system.

8. Technical Requirements

- i. The system should be database-driven and should be based on relational database structure.
- ii. It should be compatible with other products such as data extraction/ analysis software Tools and applications like MS word, Excel, scanning software.
- iii. Capability to work as a standalone or connected to the network.
- iv. Capability to assign multiple responsibilities by user identification levels.
- v. Capability to have enhanced access control across all the modules
- vi. Capability to compress and encrypt data automatically to enhance confidentiality.
- vii. Capability to provide one software license covering risk assessment, audit planning, electronic working papers and audit report/issues tracking.

TECHNICAL SPECIFICATIONS

No.	A. Minimum Technical Specifications for the Audit Management Software	
1.	Availability of separate Risk Assessment module to carry out enterprise risk assessment.	
2.	Capability to automatically value the risk rating of projects from the audit universe.	
3.	Capability to assign value for each risk factor for risk rating and to capture user defined parameters to reflect materiality during risk assessments	
4.	Capability for user/departments to carry out self assessments of risks on a web based mode	
5.	Capability to allow auditees/management to perform self-assessments of risk via web based application.	
6.	Capability to maintain and analyze risks and controls register.	
7.	Capability to manage the audit universe, project history, contact data, and background information.	
8.	Capable of automatically generating the draft Annual Audit Plan based on the priority rating of risk in the risk assessment function.	
9.	Capability to capture budget/plan time for each project at the time of planning.	
10.	Capability to automatically create individual audit plan directly from the Annual Audit plan on a web based mode.	
11.	Capability to capture planned time for each audit staff and track Actual Time spent in each phase of the audit that allows for reporting of specific audits performed by individual auditors, projects, etc.	
12.	Capability to report audit vs. non-audit time, and comparison to budgeted time.	
13.	Capability to generate administrative reports by auditor, project, completed projects, projects in progress, etc.	
14.	Capability to access the audit procedures captured in the audit program to conduct the audit; and to add additional audit steps (procedures) to the audit program at any time during the course of the audit.	
15.	Capability to enable the audit supervisors to approve the audit program and any subsequent changes.	
16.	Capability to send and file the letter of introduction/ notification to auditees for audit commencement.	
17.	Capability to plan and perform tests; create tests, define exceptions, set tolerable level of exceptions, record test results, raise points and record results.	
18.	Capability to record the audit observations and findings.	
19.	Capability to automatically link the findings to supporting documents and audit procedures.	
20.	Capability to assign risk severity level to each finding.	
21.	Capability to analyze causes of findings and record the facts.	
22.	Capability to capture audit procedures to carry out substantive or validation audit tests.	
23.	Capability to capture audit conclusions and recommendations.	

24.	Capability to provide best practice audit programs for all areas of audit, including specialized areas like IT audits.	
25.	Capability to automatically prompt /send reminders	
26.	Capability to create working paper indexing as per main phases and sub items of the Internal Audit processes like planning, Audit program, Field work, Prior year report follow up, Audit report, follow up and sub items within them.	
27.	Capability to write supervisory review notes with links to targeted work papers.	
28.	Secure electronic sign-off for audit steps, file attachments, and review notes; and to secure different levels of sign-off (i.e. reviewer 1 and reviewer 2).	
29.	Capability to automatically generate audit report in Microsoft Word format taking the observations, risk/implication, conclusions and recommendations captured in fieldwork.	
30.	Capability to automatically send the draft reports to the Auditee for their comment.	
31.	Capability to automatically import/process Auditee comments from the draft reports, to the working papers.	
32.	Capability to issue the final report to the authorized person for the approval.	
33.	Capability to generate reports of open items (findings not resolved, partially resolved, resolved), repeated findings, statistical summaries, etc.	
34.	Capability to track and automatically follow up all pending findings, on a web based mode and through sending out e-mails	
35.	Capability to search open audit findings per Audit project based on user defined parameters.	
36.	Capability to track and follow up multiple management responses and by addressees.	
37.	Capability to create progress reports for management i.e. Performance Reports can be generated monthly, quarterly, or an ad hoc basis. System wide Performance Reports include analysis of: Planned vs Budgeted time, Budgeted vs Actual time, Planned vs Actual time, The number of Audits at each stage (e.g. Completed) by Month, The number of Live Audits at the end of each Month, The achievement of Key Dates / Milestones	
38.	Capability to automatically populate audit and risk reports for Board and regulatory consumption in multiple formats.	
39.	Capability to determine automatically when a specific project was last audited and the auditor performing the audit.	
40.	The system should be database-driven and should be based on relational database structure.	
41.	It should be compatible with other products such as data extraction/analysis software tools and applications, and MS word, Excel, scanning software.	
42.	Capability to work as a standalone or connected to the network.	
43.	Capability to assign multiple responsibilities by user identification levels.	
44.	Capability to have enhanced access control across all the modules	
45.	Capability to compress and encrypt data automatically to enhance	

	confidentiality.	
46.	Capability to provide one software license covering risk assessment, audit planning, electronic working papers and audit report/issues tracking.	
47	Licenses: Capability to provide all licenses required to implement the Audit Management System for a minimum number of 8 users.	

B. Minimum Technical Specifications for Computer Servers

No.	Item	Technical Specifications
1.	Server Type	Rack Mount
2.	Quantity	Two (2)
3.	Rack mount Size	Maximum 2U
4.	Random Access Memory (RAM)	Minimum 128 GB 3.5 GHz DDR4 per Server
5.	Hard Drive capacity	Minimum Ninety Two (92) Terabyte (TB) per server
6.	DVD Drive (Optic Drive)	Provide a DVD+/-RW drive
7.	Number of Hot Swappable Bays	Minimum 8 Bays
8.	Compatible Hot Swappable Drives	Minimum SAS, SATA, SSD
9.	Processor Instruction Set	Minimum, Intel Xeon processors 22 cores (Dual- processor architecture X86) speed 3.5Ghz
10.	Local Area Network (LAN) Connectivity	Provide minimum two (2) RJ-45 port that supports 10/100/1000BASE-T networks
11.	Screen	One 17" TFT monitor
12.	RAID Support levels	Minimum RAID 0, 1, 5, 10, 50 and 60
13.	Number of Cooling FANS	Minimum Seven (7) Hot Swappable
14.	Operating Systems Support	To support at the minimum: Microsoft Windows Server 2012 R2 64 bit - Enterprise Red Hat Enterprise Linux 6 (x64) SUSE Linux Enterprise Server 11 (x64) CentOS Version 7 VMware vSphere (ESXi) 5.5
15.	Database software support	To support at the minimum: Microsoft SQL 2012 R2 64bit Standard/Enterprise Oracle 11g R2

No.	Item	Technical Specifications
16.	Software to provide	Licensed Enterprise Operating System (OS) to support the Audit Management System Licensed Database Software to manage the Audit Management System data
17.	Service and support	Provide manufacturer's authorization letter Proof of at least five (5) years warranty period

SECTION VI – SCHEDULE OF REQUIREMENTS

Delivery schedule (shipment) In Weeks/months from _____

Item description	Qty.
Supply, delivery and installation of Audit management software	1
Cost of annual license renewals for five (5) years with a warranty for the first year	5

SECTION VII - PRICE SCHEDULE FOR GOODS

Name of tenderer _____ Tender Number _____ Page _____ of _____

Item description	Qty.	Unit cost	Total cost Incl. VAT
Supply, delivery and installation of Audit management software	1		
Cost of annual license renewals for five (5) years with a warranty for the first year	5		
Total cost (Kshs) inclusive of VAT to be carried to Form of Tender			

Signature of tenderer _____

SECTION VIII - STANDARD FORMS

Notes on the sample Forms

1. Form of Tender - The form of tender must be completed by the tenderer and submitted with the tender documents. It must also be duly signed by duly authorized representatives of the tenderer.
2. Confidential Business Questionnaire Form - This form must be completed by the tenderer and submitted with the tender documents.
3. Tender Security Form - When required by the tender documents the tenderer shall provide the tender security either in the form included herein or in another format acceptable to the procuring entity.
4. Contract Form - The Contract Form shall not be completed by the tenderer at the time of submitting the tender. The Contract Form shall be completed after contract award and should incorporate the accepted contract price.
5. Performance Security Form - The performance security form should not be completed by the tenderers at the time of tender preparation. Only the successful tenderer will be required to provide performance security in the form provided herein or in another form acceptable to the procuring entity.
6. Bank Guarantee for Advance Payment Form - When Advance payment is requested for by the successful bidder and agreed by the procuring entity, this form must be completed fully and duly signed by the authorized officials of the bank.(NOT REQUIRED)
7. Manufacturers Authorization Form - When required by the tender documents this form must be completed and submitted with the tender documents. This form will be completed by the manufacturer of the goods where the tenderer is an agent.

8.1 **FORM OF TENDER**

Date _____

Tender No. _____

To: _____

[name and address of procuring entity]

Gentlemen and/or Ladies:

1. Having examined the tender documents including Addenda Nos. *[insert numbers]*.the receipt of which is hereby duly acknowledged, we, the undersigned, offer to supply deliver, install and commission (..... *(insert equipment description)* in conformity with the said tender documents for the sum of *(total tender amount in words and figures)* or such other sums as may be ascertained in accordance with the Schedule of Prices attached herewith and made part of this Tender.

2. We undertake, if our Tender is accepted, to deliver install and commission the equipment in accordance with the delivery schedule specified in the Schedule of Requirements.

3. If our Tender is accepted, we will obtain the guarantee of a bank in a sum of equivalent to _____ percent of the Contract Price for the due performance of the Contract , in the form prescribed by*(Procuring entity)*.

4. We agree to abide by this Tender for a period of *[number]* days from the date fixed for tender opening of the Instructions to tenderers, and it shall remain binding upon us and may be accepted at any time before the expiration of that period.

5. This Tender, together with your written acceptance thereof and your notification of award, shall constitute a Contract, between us. Subject to signing of the Contract by the parties.

6. We understand that you are not bound to accept the lowest or any tender you may receive.

Dated this _____ day of _____ 20 _____

[signature]

[in the capacity of]

Duly authorized to sign tender for an on behalf of _____

8.2 **CONFIDENTIAL BUSINESS QUESTIONNAIRE FORM**

You are requested to give the particulars indicated in Part 1 and either Part 2(a), 2(b) or 2 (c) whichever applied to your type of business

You are advised that it is a serious offence to give false information on this form

<p><i>Part 1 – General:</i></p> <p>Business Name</p> <p>Location of business premises</p> <p>Plot No..... Street/Road</p> <p>Postal Address Tel No. Fax E mail</p> <p>Nature of Business</p> <p>Registration Certificate No.</p> <p>Maximum value of business which you can handle at any one time – Kshs.</p> <p>Name of your bankers Branch</p>
--

	<p align="center">Part 2 (a) – Sole Proprietor</p> <p>Your name in full Age</p> <p>Nationality Country of origin</p> <ul style="list-style-type: none"> • Citizenship details • 																				
	<p align="center">Part 2 (b) Partnership</p> <p>Given details of partners as follows:</p> <table border="0"> <thead> <tr> <th>Name</th> <th>Nationality</th> <th>Citizenship Details</th> <th>Shares</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td>.....</td> <td>.....</td> <td>.....</td> </tr> <tr> <td>2.</td> <td>.....</td> <td>.....</td> <td>.....</td> </tr> <tr> <td>3.</td> <td>.....</td> <td>.....</td> <td>.....</td> </tr> <tr> <td>4.</td> <td>.....</td> <td>.....</td> <td>.....</td> </tr> </tbody> </table>	Name	Nationality	Citizenship Details	Shares	1.	2.	3.	4.
Name	Nationality	Citizenship Details	Shares																		
1.																		
2.																		
3.																		
4.																		
	<p align="center">Part 2 (c) – Registered Company</p> <p>Private or Public</p> <p>State the nominal and issued capital of company-</p> <p>Nominal Kshs.</p> <p>Issued Kshs.</p>																				

Given details of all directors as follows				
	Name	Nationality	Citizenship Details	Shares
1.
2.
3.
4.
5.
Date		Signature of Candidate		

- If a Kenya Citizen, indicate under “Citizenship Details” whether by Birth, Naturalization or registration.

8.3 TENDER SECURITY FORM

Whereas [name of the tenderer]
(hereinafter called "the tenderer") has submitted its tender dated [date of
submission of tender] for the supply, installation and commissioning of
..... [name and/or description of the equipment] (hereinafter called "the
Tender") KNOW ALL PEOPLE by these
presents that WE of having our registered
office at (hereinafter called "the Bank"), are bound unto
..... [name of Procuring entity] (hereinafter called "the Procuring entity")
in the sum of for which payment well and truly to be made to the
said Procuring entity, the Bank binds itself, its successors, and assigns by these presents.
Sealed with the Common Seal of the said Bank this _____ day of _
_____ 20 _____.

THE CONDITIONS of this obligation are:-

1. If the tenderer withdraws its Tender during the period of tender validity specified by the tenderer on the Tender Form; or
2. If the tenderer, having been notified of the acceptance of its Tender by the Procuring entity during the period of tender validity:
 - (a) fails or refuses to execute the Contract Form, if required; or
 - (b) fails or refuses to furnish the performance security in accordance with the Instructions to tenderers;

We undertake to pay to the Procuring entity up to the above amount upon receipt of its first written demand, without the Procuring entity having to substantiate its demand, provided that in its demand the Procuring entity will note that the amount claimed by it is due to it, owing to the occurrence of one or both of the two conditions, specifying the occurred condition or conditions.

This tender guarantee will remain in force up to and including thirty (30) days after the period of tender validity, and any demand in respect thereof should reach the Bank not later than the above date.

[signature of the bank] _____
(Amend accordingly if provided by Insurance Company)

8.4 CONTRACT FORM

THIS AGREEMENT made the _____ day of _____ 20 _____ between
..... [*name of Procurement entity*] of [*country of Procurement entity*]
(hereinafter called “the Procuring entity) of the one part and [*name of tenderer*]
of [*city and country of tenderer*] (hereinafter called “the tenderer”) of
the other part;

WHEREAS the Procuring entity invited tenders for certain goods] and has accepted a tender
by the tenderer for the supply of those goods in the sum of
[*contract price in words and figures*] (hereinafter called “the Contract Price).

NOW THIS AGREEMENT WITNESSETH AS FOLLOWS:

1. In this Agreement words and expressions shall have the same meanings as are
respectively assigned to them in the Conditions of Contract referred to:

2. The following documents shall be deemed to form and be read and construed as part
of this Agreement viz:

- (a) the Tender Form and the Price Schedule submitted by the tenderer
- (b) the Schedule of Requirements
- (c) the Technical Specifications
- (d) the General Conditions of Contract
- (e) the Special Conditions of contract; and
- (f) the Procuring entity’s Notification of Award

3. In consideration of the payments to be made by the Procuring entity to the tenderer as
hereinafter mentioned, the tender hereby covenants with the Procuring entity to provide the
goods and to remedy defects therein in conformity in all respects with the provisions of the
Contract

4. The Procuring entity hereby covenants to pay the tenderer in consideration of the
provisions of the goods and the remedying of defects therein, the Contract Price or such other
sum as may become payable under the provisions of the Contract at the times and in the
manner prescribed by the contract.

IN WITNESS whereof the parties hereto have caused this Agreement to be executed in
accordance with their respective laws the day and year first above written.

Signed, sealed, delivered by _____ the _____ (for the Procuring entity

Signed, sealed, delivered by _____ the _____ (for the tenderer in the presence
of _____

(Amend accordingly if provided by Insurance Company)

8.5 PERFORMANCE SECURITY FORM

To
[*name of Procuring entity*]

WHEREAS [*name of tenderer*] (hereinafter called “the tenderer”) has undertaken , in pursuance of Contract No. _____ [*reference number of the contract*] dated _____ 20 _____ to _____ supply [*description of goods*] (hereinafter called “the Contract”).

AND WHEREAS it has been stipulated by you in the said Contract that the tenderer shall furnish you with a bank guarantee by a reputable bank for the sum specified therein as security for compliance with the Tenderer’s performance obligations in accordance with the Contract.

AND WHEREAS we have agreed to give the tenderer a guarantee:

THEREFORE WE hereby affirm that we are Guarantors and responsible to you, on behalf of the tenderer, up to a total of [*amount of the guarantee in words and figure*] and we undertake to pay you, upon your first written demand declaring the tenderer to be in default under the Contract and without cavil or argument, any sum or sums within the limits of [*amount of guarantee*] as aforesaid, without you needing to prove or to show grounds or reasons for your demand or the sum specified therein.

This guarantee is valid until the _____ day of _____ 20 _____

Signed and seal of the Guarantors

[*name of bank or financial institution*]

[*address*]

[*date*]

8.6 BANK GUARANTEE FOR ADVANCE PAYMENT FORM

To
[name of Procuring entity]

[name of tender]

Gentlemen and/or Ladies:

In accordance with the payment provision included in the Special Conditions of Contract, which amends the General Conditions of Contract to provide for advance payment, [name and address of tenderer](hereinafter called “the tenderer”) shall deposit with the Procuring entity a bank guarantee to guarantee its proper and faithful performance under the said Clause of the Contract in an amount of [amount of guarantee in figures and words].

We, the [bank or financial institutions], as instructed by the tenderer, agree unconditionally and irrevocably to guarantee as primary obligator and not as surety merely, the payment to the Procuring entity on its first demand without whatsoever right of objection on our part and without its first claim to the tenderer, in the amount not exceeding [amount of guarantee in figures and words]

We further agree that no change or addition to or other modification of the terms of the Contract to be performed there-under or of any of the Contract documents which may be made between the Procuring entity and the tenderer, shall in any way release us from any liability under this guarantee, and we hereby waive notice of any such change, addition, or modification.

This guarantee shall remain valid in full effect from the date of the advance payment received by the tenderer under the Contract until [date].

Yours truly,

Signature and seal of the Guarantors

[name of bank or financial institution]

[address]

[date]

8.7 MANUFACTURER’S AUTHORIZATION FORM

To *[name of the Procuring entity]*

WHEREAS[*name of the manufacturer*] who are established and reputable manufacturers of *[name and/or description of the goods]* having factories at *[address of factory]* do hereby authorize *[name and address of Agent]* to submit a tender, and subsequently negotiate and sign the Contract with you against tender No. *[reference of the Tender]* for the above goods manufactured by us.

We hereby extend our full guarantee and warranty as per the General Conditions of Contract for the goods offered for supply by the above firm against this Invitation for Tenders.

[signature for and on behalf of manufacturer]

Note: This letter of authority should be on the letterhead of the Manufacturer and should be signed by a person competent.

8.8 LETTER OF NOTIFICATION OF AWARD

Address of Procuring Entity

To: _____

RE: Tender No. _____

Tender Name _____

This is to notify that the contract/s stated below under the above mentioned tender have been awarded to you.

1. Please acknowledge receipt of this letter of notification signifying your acceptance.
2. The contract/contracts shall be signed by the parties within 30 days of the date of this letter but not earlier than 14 days from the date of the letter.
3. You may contact the officer(s) whose particulars appear below on the subject matter of this letter of notification of award.

(FULL PARTICULARS) _____

SIGNED FOR ACCOUNTING OFFICER

8.9 FORM RB 1

REPUBLIC OF KENYA
PUBLIC PROCUREMENT ADMINISTRATIVE REVIEW BOARD

APPLICATION NO.....OF.....20.....

BETWEEN

.....APPLICANT

AND

.....RESPONDENT (*Procuring Entity*)

Request for review of the decision of the..... (*Name of the Procuring Entity*) of
.....dated the...day of20.....in the matter of Tender No.....of
.....20...

REQUEST FOR REVIEW

I/We.....,the above named Applicant(s), of address: Physical
address.....Fax No.....Tel. No.....Email, hereby request the Public
Procurement Administrative Review Board to review the whole/part of the above mentioned decision
on the following grounds , namely:-

- 1.
 - 2.
- etc.

By this memorandum, the Applicant requests the Board for an order/orders that: -

- 1.
 - 2.
- etc

SIGNED(Applicant)

Dated on.....day of/...20...

FOR OFFICIAL USE ONLY

Lodged with the Secretary Public Procurement Administrative Review Board on day of
.....20.....

SIGNED
Board Secretary

