



TENDER DOCUMENT

FOR

**SUPPLY, CUSTOMIZATION, TESTING, TRAINING, COMMISSIONING AND
MAINTENANCE OF AN INTEGRATED AUDIT MANAGEMENT SYSTEM
SOFTWARE.**

TENDER NO. CAK/TEND/009/2019 – 2020

SUBMISSION DEADLINE:

22ND JANUARY, 2020

AT

12.00 P.M.

**CAK HEADQUARTES, KENYA RAILWAY HQs BLOCK D, GROUND FLOOR
WORKSHOP ROAD, OFF HAILE SELASSIE AVENUE, P.O. BOX 36265 - 00200
TEL: +254 020-2628233 NAIROBI, KENYA**

E-mail: tenders@cak.go.ke Website: www.cak.go.ke

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SECTION I - INVITATION TO TENDER

RE: TENDER. NO. CAK/TEND/009/2019-2020 SUPPLY, CUSTOMIZATION, TESTING, TRAINING, COMMISSIONING AND MAINTENANCE OF AN INTEGRATED AUDIT MANAGEMENT SYSTEM SOFTWARE.

- 1.1 The **Competition Authority of Kenya (CAK), Nairobi** invites sealed tenders from eligible candidates for **Supply, Customization, Testing, Training, Commissioning and Maintenance of an Integrated Audit Management System Software**.
- 1.2 Interested eligible candidates may obtain further information from and inspect the tender documents at the Procurement office on the, **CAK Headquarters, at Kenya Railways Building, Block D, on the Ground floor Nairobi during normal working hours**.
- 1.3 Prices quoted should be net inclusive of all taxes and delivery costs, must be expressed in Kenya shillings and shall remain valid for a period of 90 days from the closing date of the tender.
- 1.4 Tenders must be accompanied by a bid security/bid bond of Ksh. 100,000 from a reputable bank or Insurance firms approved by PPRA as specified in the tender document. Completed tender documents are to be enclosed in plain sealed envelopes, marked with the tender number and name and be deposited in the Tender Box situated at the entrance to the main building of Competition Authority of Kenya(CAK) Headquarters located on Kenya Railways Building, Block “D” on the Ground floor on or before **Wednesday, 22nd January 2020 at 12:00p.m.**
- 1.5 Bulky documents that cannot be put in the Tender box directly may be delivered to procurement office ground floor for safe custody and will be opened all together on **Wednesday, 22nd January 2020 at 12:00p.m.**

Late bids will be rejected.

Tenders will be opened immediately thereafter in the presence of the candidates representatives who choose to attend at CAK Headquarters, Conference Room on **Wednesday, 22nd January 2020 at 12:00p.m.**

Wang’ombe Kariuki

DIRECTOR GENERAL

SECTION II – INSTRUCTIONS TO TENDERERS

2.1 Eligible tenderers

2.1.1 This Invitation to tender is open to all tenderers eligible as described in the instructions to tenderers. Successful tenderers shall provide the services for the stipulated duration from the date of commencement (hereinafter referred to as the term) specified in the tender documents.

- 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 unless where specially allowed under section 131 of the Act.
- 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 services under this Invitation for tenders.
- 2.1.4 Tenderers involved in corrupt or fraudulent practices or debarred from participating in public procurement shall not be eligible.

2.2 Cost of tendering

- 2.2.1 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.
- 2.2.2 The price to be charged for the tender document shall not exceed Kshs.1, 000/=, but documents downloaded shall be free of charge.
- 2.2.3 **The** procuring entity shall allow the tenderer to review the tender document free of charge before purchase.

2.3 Contents of tender documents

- 2.3.1 The tender document comprises of the documents listed below and addenda issued in accordance with clause 5 of these instructions to tenders
- i) Instructions to tenderers.
 - ii) General Conditions of Contract
 - iii) Special Conditions of Contract
 - iv) Schedule of Requirements
 - v) Technical Specifications
 - vi) Form of tender

- vii) Price schedules
- viii) Contract form
- ix) Confidential business questionnaire form
- x) Tender security form

2.3.2 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.

2.4 Clarification of Documents

2.4.1 A prospective candidate making inquiries of the tender document may notify the Procuring entity in writing or by post, fax or email at the entity's address indicated in the Invitation for tenders. The Procuring entity will **respond in writing** to any request for clarification of the tender documents, which it **receives no 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 who have received the tender documents"

2.4.2 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

2.5 Amendment of documents

2.5.1 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 issuing an addendum.

2.5.2 All prospective tenderers who have obtained the tender documents will be notified of the amendment by post, fax or email and such amendment will be binding on them.

2.5.3 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.

2.6 Language of tender

2.6.1 The tender prepared by the tenderer, as well as all correspondence and documents relating to the tender exchanged by the tenderer and the Procuring entity, shall be written in English language. 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.

2.7 Documents Comprising the Tender

The tender prepared by the tenderer shall comprise the following components:

- a) A Tender Form and a Price Schedule completed in accordance with 2.8, 2.9, 2.10 below.
- b) Documentary evidence established in accordance with Clause 2.11 that the tenderer is eligible to tender and is qualified to perform the contract if its tender is accepted;
- c) Tender security furnished is in accordance with Clause 2.12
- d) Confidential business questionnaire

2.8 Form of Tender

2.8.1 The tenderers shall complete the Form of Tender and the appropriate Price Schedule furnished in the tender documents, indicating the services to be performed.

2.9 Tender Prices

- 2.9.1 The tenderer shall indicate on the Price schedule the unit prices where applicable and total tender prices of the services it proposes to provide under the contract.
- 2.9.2 Prices indicated on the Price Schedule shall be the cost of the services quoted including all customs duties and VAT and other taxes payable:
- 2.9.3 Prices quoted by the tenderer shall remain fixed during the term of the contract unless otherwise agreed by the parties. A tender submitted with an adjustable price quotation will be treated as non-responsive and will be rejected, pursuant to paragraph
- 2.9.4 Contract price variations shall not be allowed for contracts not exceeding one year (12 months)
- 2.9.5 Where contract price variation is allowed, the variation shall not exceed 10% of the original contract price.
- 2.9.6 Price variation requests shall be processed by the procuring entity within 30 days of receiving the request.

2.10 Tender Currencies

- 2.10.1 Prices shall be quoted in Kenya Shillings unless otherwise specified in the appendix to in Instructions to Tenderers.

2.11 Tenderers Eligibility and Qualifications.

- 2.11.1 Pursuant to Clause 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.
- 2.11.2 The documentary evidence of the tenderers qualifications to perform the contract if its tender is accepted shall establish to the Procuring entity's satisfaction that the tenderer has the financial and technical capability necessary to perform the contract.

2.12 Tender Security

- 2.12.1 The tenderer shall furnish, as part of its tender, a tender security for the amount and form specified in the Invitation to tender.

- 2.12.2 The tender security shall be in the amount not exceeding 2 per cent of the tender price.
- 2.12.3 The tender security is required to protect the Procuring entity against the risk of
- 2.12.4 Tenderer's conduct which would warrant the security's forfeiture, pursuant to paragraph
- 2.12.5 The tender security shall be denominated in a Kenya Shillings or in another freely convertible currency and shall be in the form of:
- a) A bank guarantee.
 - b) Cash.
 - c) Such insurance guarantee approved by The Competition Authority of Kenya.
 - d) Letter of credit
- 2.12.6 Any tender not secured in accordance with paragraph 2.12.1 and 2.12.4 will be rejected by the Procuring entity as non-responsive, pursuant to paragraph 2.20
- 2.12.7 Unsuccessful tenderer's security will be discharged or returned as promptly as possible as but not later than thirty (30) days after the expiration of the period of tender validity prescribed by the procuring entity.
- 2.12.8 The successful tenderer's tender security will be discharged upon the tenderer signing the contract, pursuant to paragraph 2.26, and furnishing the performance security, pursuant to paragraph 2.27.
- 2.12.9 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 2.26
- or**
- (ii) to furnish performance security in accordance with paragraph 2.27
- (c) If the tenderer rejects, correction of an error in the tender.

2.13 Validity of Tenders

- 2.13.1 Tenders shall remain valid for 90 days or as specified in the invitation to tender after 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 nonresponsive.
- 2.13.2 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 2.12 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.

2.14 Format and Signing of Tender

- 2.14.1 The tenderer 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.
- 2.14.2 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. All pages of the tender, except for un-amended printed literature, shall be initialed by the person or persons signing the tender.
- 2.14.3 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.

2.15 Sealing and Marking of Tenders

- 2.15.1 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. 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 to tender and the words:

“DO NOT OPEN BEFORE WEDNESDAY 22ND JANUARY 2020 AT 12:00PM.”

- 2.15.2 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”.
- 2.15.3 If the outer envelope is not sealed and marked as required by paragraph 2.15.1, the Procuring entity will assume no responsibility for the tender’s misplacement or premature opening.

2.16 Deadline for Submission of Tenders

- 2.16.1 Tenders must be received by the Procuring entity at the address specified under paragraph 2.15.1 not later than **12.00 P.m. on 22ND JANUARY 2019.**
- 2.16.2 The procuring entity may, at its discretion, extend this deadline for the submission of tenders by amending the tender documents in accordance with paragraph 2.5, in which case all rights and obligations of the procuring entity and candidates previously subject to the deadline will thereafter be subject to the deadline as extended.
- 2.16.3 Bulky tenders which will not fit in the tender box shall be received by the procuring entity as provided for in the appendix.

2.17 Modification and withdrawal of tenders

- 2.17.1 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 tender’s is received by the procuring entity prior to the deadline prescribed for the submission of tenders.
- 2.17.2 The Tenderer’s modification or withdrawal notice shall be prepared, sealed, marked, and dispatched in accordance with the provisions of paragraph 2.15. A withdrawal notice may also be sent by cable, but followed by a signed confirmation copy, postmarked not later than the deadline for submission of tenders.
- 2.17.3 No tender may be modified after the deadline for submission of tenders.
- 2.17.4 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

- 2.17.5 The procuring entity may at any time terminate procurement proceedings before contract award and shall not be liable to any person for the termination.
- 2.17.6 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.

2.18 Opening of Tenders

- 2.18.1 The Procuring entity will open all tenders in the presence of tenderers representatives who choose to attend, at **12.00 p.m. on 22nd January 2020** and in the location specified in the invitation to tender. The tenderers' representatives who are present shall sign a register evidencing their attendance.
- 2.18.2 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.
- 2.18.3 The procuring entity will prepare minutes of the tender opening which will be submitted to the tenderers that signed the tender opening register and will have made the request.

2.19 Clarification of tenders

- 2.19.1 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 shall be sought, offered, or permitted.
- 2.19.2 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.

2.20 Preliminary Examination and Responsiveness

- 2.20.1 The Procuring entity will examine the tenders to determine whether they are complete, whether any computational errors have been made, whether required

securities have been furnished whether the documents have been properly signed, and whether the tenders are generally in order.

- 2.20.2 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 quantity, 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 may be forfeited. If there is a discrepancy between words and figures, the amount in words will prevail.
- 2.20.3 The Procuring entity may waive any minor informality or nonconformity or irregularity in a tender which does not constitute a material deviation, provided such waiver does not prejudice or affect the relative ranking of any tenderer.
- 2.20.4 Prior to the detailed evaluation, pursuant to paragraph 22, 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.
- 2.20.5 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 nonconformity.

2.21 Conversion to a single currency

- 2.21.1 Where other currencies are used, the procuring entity will convert those currencies to Kenya shillings using the selling exchange rate on the date of tender closing provided by the central bank of Kenya.

2.22 Evaluation and comparison of tenders.

- 2.22.1 The procuring entity will evaluate and compare the tenders which have been determined to be substantially responsive, pursuant to paragraph 2.20
- 2.22.2 The comparison shall be of the price including all costs as well as duties and taxes payable on all the materials to be used in the provision of the services.

2.22.3 The Procuring entity's evaluation of a tender will take into account, in addition to the tender price, the following factors, in the manner and to the extent indicated in paragraph 2.22.4 and in the technical specifications:

- (a) operational plan proposed in the tender;
- (b) deviations in payment schedule from that specified in the Special Conditions of Contract;

2.22.4 Pursuant to paragraph 22.3 the following evaluation methods will be applied:

(a) *Operational Plan.*

The Procuring entity requires that the services under the Invitation for Tenders shall be performed at the time specified in the Schedule of Requirements. Tenders offering to perform longer than the procuring entity's required delivery time will be treated as nonresponsive and rejected.

(b) *Deviation in payment schedule.*

Tenderers shall state their tender price for the payment on a schedule outlined in the special conditions of contract. Tenders will be evaluated on the basis of this base price. Tenderers are, however, permitted to state an alternative payment schedule and indicate the reduction in tender price they wish to offer for such alternative payment schedule. The Procuring entity may consider the alternative payment schedule offered by the selected tenderer.

2.22.5 The tender evaluation committee shall evaluate the tender within 30 days from the date of opening the tender.

2.22.6 To qualify for contract awards, the tenderer shall have the following:-

- (a) Necessary qualifications, capability experience, services, equipment and facilities to provide what is being procured.
- (b) Legal capacity to enter into a contract for procurement
- (c) Shall not be insolvent, in receivership, bankrupt or in the process of being wound up and is not the subject of legal proceedings relating to the foregoing
- (d) Shall not be debarred from participating in public procurement.

2.23 Contacting the procuring entity

- 2.23.1 Subject to paragraph 2.19, no tenderer shall contact the procuring entity on any matter relating to its tender, from the time of the tender opening to the time the contract is awarded.
- 2.23.2 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 tenderers tender.

2.24 Award of Contract

a) Post qualification

- 2.24.1 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.
- 2.24.2 The determination will take into account the tenderer's financial and technical capabilities. It will be based upon an examination of the documentary evidence of the tenderers qualifications submitted by the tenderer, pursuant to paragraph 2.1.2, as well as such other information as the Procuring entity deems necessary and appropriate.
- 2.24.3 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

- 2.24.4 Subject to paragraph 2.22 the Procuring entity will award the contract to the successful tenderer 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.

2.24.5 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. If the procuring entity determines that none of the tenderers is responsive; the procuring entity shall notify each tenderer who submitted a tender.

2.24.6 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 Notification of award

2.25.1 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.

2.25.2 The notification of award will signify the formation of the Contract subject to the signing of the contract between the tenderer and the procuring entity pursuant to clause 2.26. Simultaneously the other tenderers shall be notified that their tenders have not been successful.

2.25.3 Upon the successful Tenderer's furnishing of the performance security pursuant to paragraph 27, the Procuring entity will promptly notify each unsuccessful Tenderer and will discharge its tender security, pursuant to paragraph 2.12

2.26 Signing of Contract

2.26.1 At the same time as the Procuring entity notifies the successful tenderer that its tender has been accepted, the Procuring entity will simultaneously inform the other tenderers that their tenders have not been successful.

2.26.2 Within fourteen (14) days of receipt of the Contract Form, the successful tenderer shall sign and date the contract and return it to the Procuring entity.

2.26.3 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.

2.27 Performance Security

- 2.27.1 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.
- 2.27.2 Failure of the successful tenderer to comply with the requirement of paragraph 2.26 or paragraph 2.27.1 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 or call for new tenders.

2.28 Corrupt or Fraudulent Practices

- 2.28.1 The Procuring entity requires that tenderers observe the highest standard of ethics during the procurement process and execution of contracts. A tenderer shall sign a declaration that he has not and will not be involved in corrupt or fraudulent practices.
- 2.28.2 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;
- 2.28.3 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 Software and equipment's 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	Particulars of eligible tenderers: Firms registered in Kenya.
2.2.2	Price to be charged for tender documents. Kshs. 1,000 for those who purchase a hard copy while those who download the document will be free of charge
2.10	Particulars of other currencies allowed. None
2.11	Particulars of eligibility and qualifications documents of evidence required.
2.12.2	Particulars of tender security if applicable. Ksh. 100,000 valid for an additional thirty (30) days after the expiry of the tender validity period i.e. (120 days).
2.12.4	Form of Tender Security: The Tender Security shall be in the form of a Guarantee from a reputable bank or an insurance company approved by PPRA.
2.13	Validity of Tenders: Tenders Shall remain valid for 90 days after date of tender opening
2.16.3	Bulky tenders which do not fit in the tender box shall be delivered to the Procurement Office.

Instructions to Tenderers	Particulars of appendix to instructions to tenderers
2.20.1	<p>Tenderers are required to submit copies of the following MANDATORY DOCUMENTS which will be used during Preliminary Examination to determine responsiveness:</p> <ol style="list-style-type: none"> 1. Copy of certificate of Registration/Incorporation 2. Copy of Valid Tax Compliance certificate 3. Copy of Valid Business Permit/Trade License 4. Audited Financial Statements 2016, 2017 & 2018. 5. Must Fill, sign and stamp the Form of Tender in the format provided 6. Must Submit a Tender Security of Kshs. 100,000 valid for an additional thirty (30) days after the expiry of the tender validity period.
	<ol style="list-style-type: none"> 7. Must submit a dully filled up Confidential Business Questionnaire in format provided 8. Must submit a manufacturer's authorization letter 9. Must provide reference letters of at least four (4) clients for a similar work done. 10. Must complete, sign & Stamp the Self declaration that the bidder/person will not engage in any corrupt or fraudulent practice. 11. Must complete, sign & Stamp the Self declaration that the bidder/person is not debarred in the matter of public procurement. 12. The Bid documents must be bound & serialized. 13. Bidders must submit an original and a copy of the bid document. <p>At this stage, the tenderer's submission will either be responsive or nonresponsive. The non-responsive submissions will be eliminated from the entire evaluation process and will not be considered further.</p>

EVALUATION CRITERIA

The Technical Evaluation Criteria will be on a scoring system. Only bids that score at least 80% and above shall proceed for **Financial Evaluation**.

Financial bids can be submitted in Kenya Shillings or any freely convertible currency but for the purpose of evaluation, they shall be converted to Kenya Shillings using the Central Bank of Kenya (CBK) rates prevailing on the date of opening of financial proposals. Refer to <http://www.centralbank.go.ke/> for a list of currencies that can be used for the financial proposal submission

$$S_f = 100 \times \frac{F_m}{F}$$

Where

- S_f is the financial score;
- F_m is the lowest priced financial proposal
- F is the price of the proposal under consideration.

Evaluation Method

- Quality and Cost Based Selection
- A bidder must obtain at least 80% on the technical score to proceed to the next stage of the financial evaluation.

Instructions to Tenderers	Particulars of appendix to instructions to tenderers
2.22	<p>Evaluation and comparison of Tenders: The following evaluation criteria shall be applied not withstanding any other requirement in the tender documents.</p> <p><i>Selection Process</i></p> <p>Below is a description of the evaluation steps that will be adopted.</p> <p><i>Step 1: Preliminary Evaluation</i></p>

Instructions to Tenderers	Particulars of appendix to instructions to tenderers
	<p>This will be an elimination stage which will be done as per paragraph 2.20.1 above.</p> <p><i>Step 2: Technical Evaluation</i></p> <p>Tenderers will be required to provide technical details on their proposed machine that meets the provided technical requirement. Evaluation will be on YES/NO basis for all requirements. Tenderers are required to be technically responsive to proceed to financial evaluation</p> <p><i>Step 3: Financial Evaluation</i></p> <p>This will include the following:-</p> <ul style="list-style-type: none"> a) Confirmation and considering price schedule duly completed and signed b) Conducting a financial comparison c) Correction of arithmetical errors
2.24 (a)	Particulars of post – qualification if applicable. CAK may carry out post qualification and inspect the premises or contact listed clients to confirm details
2.24.4	Award Criteria: Award will be made to the lowest evaluated bidder for every lot. Bidder may bid for one or more lots.
2.27	Particulars of performance security if applicable 10%
Other’s as necessary	

SECTION III - GENERAL CONDITIONS OF CONTRACT

3.1 Definitions

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 services" means services to be provided by the contractor including materials and incidentals which the tenderer is required to provide to the Procuring entity under the Contract.
- d) "The Procuring entity" means the organization sourcing for the services under this Contract.
- e) "The contractor" means the individual or firm providing the services under this Contract.
- f) "GCC" means general conditions of contract contained in this section
- g) "SCC" means the special conditions of contract
- h) "Day" means calendar day

3.2 Application

3.2.1 These General Conditions shall apply to the extent that they are not superseded by provisions of other part of contract.

3.3 Standards

3.3.1 The services provided under this Contract shall conform to the 7 standards mentioned in the Schedule of requirements

3.4 Patent Right's

3.4.1 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 services under the contract or any part thereof.

3.5 Performance Security

3.5.1 Within **twenty eight (28) days** of receipt of the notification of Contract award, the successful tenderer shall furnish to the Procuring entity the performance security where applicable in the amount specified in Special Conditions of Contract.

3.5.2 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.

3.5.3 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) Cash.
- b) A bank guarantee.
- c) Such insurance guarantee approved by the Authority.
- d) Letter of credit.

3.5.4 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 of obligations under the contract, including any warranty obligations under the contract.

3.6 Inspections and Tests

3.6.1 The Procuring entity or its representative shall have the right to inspect and/or to test the services 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.

- 3.6.2 The inspections and tests may be conducted on the premises of the tenderer or its subcontractor(s). 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.
- 3.6.3 Should any inspected or tested services fail to conform to the Specifications, the Procuring entity may reject the services, and the tenderer shall either replace the rejected services or make alterations necessary to meet specification requirements free of cost to the Procuring entity.
- 3.6.4 Nothing in paragraph 3.7 shall in any way release the tenderer from any warranty or other obligations under this Contract.

3.7 Payment

- 3.7.1 The method and conditions of payment to be made to the tenderer under this Contract shall be specified in SCC

3.8 Prices

- 3.8.1 Prices charged by the contractor for services performed under the Contract shall not, with the exception of any Price adjustments authorized in SCC, vary from the prices by the tenderer in its tender or in the procuring entity's request for tender validity extension as the case may be. No variation in or modification to the terms of the contract shall be made except by written amendment signed by the parties.

3.9 Assignment

- 3.9.1 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.

3.10 Termination for Default

- 3.10.1 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 provide any or all of the services 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.

3.10.2 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, services similar to those undelivered, and the tenderer shall be liable to the Procuring entity for any excess costs for such similar services.

3.11 Termination of insolvency

3.11.1 The procuring entity may at the anytime terminate the contract by giving written notice to the contractor if the contractor becomes bankrupt or otherwise insolvent. In this event, termination will be without compensation to the contractor, provided that such termination will not produce or affect any right of action or remedy, which has accrued or will accrue thereafter to the procuring entity.

3.12 Termination for convenience

3.12.1 The procuring entity by written notice sent to the contractor may terminate the contract in whole or in part, at any time for its convenience. The notice of termination shall specify that the termination is for the procuring entity convenience, the extent to which performance of the contractor of the contract is terminated and the date on which such termination becomes effective.

3.12.2 For the remaining part of the contract after termination the procuring entity may elect to cancel the services and pay to the contractor on agreed amount for partially completed services.

3.13 Resolution of disputes

3.13.1 The procuring entity's and the contractor shall make every effort to resolve amicably by direct informal negotiations any disagreement or dispute arising between them under or in connection with the contract.

3.13.2 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 that the dispute be referred for resolution to the formal mechanisms specified in the SCC.

3.14 Governing Language

3.14.1 The contract shall be written in the English language. All correspondence and other documents pertaining to the contract, which are exchanged by the parties, shall be written in the same language.

3.15 Force Majeure

3.15.1 The contractor 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.

3.16 Applicable Law.

3.16.1 The contract shall be interpreted in accordance with the laws of Kenya unless otherwise specified in the SCC

3.17 Notices

3.17.1 Any notices given by one party to the other pursuant to this contract shall be sent to the other party by post or by fax or E-mail and confirmed in writing to the other party's address specified in the SCC

3.17.2 A notice shall be effective when delivered or on the notices effective date, whichever is later.

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
3.5	Specify performance security if applicable: 10%
3.7	Specify method Payments. 30 days after invoice after delivery, inspection and acceptance
3.8	Specify price adjustments allowed. None
3.14	Specify resolution of disputes. Disputes to be settled as per the Arbitration Laws of Kenya
3.16	Specify applicable law. Laws of Kenya
3.17	Indicate addresses of both parties. Client: DIRECTOR GENERAL COMPETITION AUTHORITY OF KENYA KENYA RAILWAYS BUIDLING,BLOCK D P.O. BOX 36265 – 00200 HAILE SELASSIE AVENUE NAIROBI
Other's as necessary	Complete as necessary

SECTION V - SCHEDULE OF REQUIREMENTS

The following items & Training are required to be delivered in CAK premises, Ground floor, Kenya Railways Building, Block D, Haile Selassie Avenue, Nairobi.

No	Item description	Quantity	Delivery schedule
1.	Tender for supply, customization, testing, training, commissioning and maintenance of an integrated audit management system software.	1	10 weeks from receipt of purchase order/contract or as agreed during contract signing.
2.	Licenses.	6	
3.	Training of users of at least 3 ICT system administrators, 1 Finance, 1 Risk Assurance Department, 3 Internal Audit Department and 5 other system users.	13 users	Bidder to provide training schedule.
4.	System support for three (3) years beginning from the second year after commissioning.	3 years	Kindly indicate whether the support is onsite, remote access, etc

SECTION VI - TECHNICAL SPECIFICATIONS

TORs/SPECIFICATION FOR SUPPLY, CUSTOMIZATION, TESTING, TRAINING, COMMISSIONING AND MAINTENANCE OF AN INTEGRATED AUDIT MANAGEMENT SYSTEM SOFTWARE.

1. INTRODUCTION AND BACKGROUND

The Competition Authority of Kenya (the Authority) is a statutory Agency established under the Competition Act No.12 of 2010. The Authority's mandate is to enforce the Act with the aim of enhancing the welfare of the people of Kenya by promoting and protecting effective competition in markets and preventing misleading market conduct throughout Kenya.

The Authority has embarked on a journey to automate its major processes in both the Technical and Support departments. In pursuit of this, it is in the process of implementing the Enterprise Resource Planner (ERP) and Case Management systems. These two systems are being operated on Navision Dynamics by Microsoft.

Internal Audit will play a critical role in ensuring that these two systems are audited in order to give assurance to the Board Audit Committee and Management that they are operating effectively and efficiently.

In order to realize the goal of improved Internal Audit processes and enhance the risk mitigation approaches within Authority, the automation of the Internal Audit process is a key exercise to deliver the desired efficiency and effectiveness in the undertaking of Internal Audit activities within the Authority. It aims at overcoming the challenges of managing manual audit working papers, data access and interrogation that the Internal Audit Department faces and in turn provide the business assurance that the Authority needs. The main objectives of the integrated Audit management software are to strengthen the Governance process through support and strengthening of the Internal Audit function, enhance accountability and compliance with the best practices as well as identification and mitigation of the operational and strategic risks.

3. SCOPE OF THE PROJECT

The scope will cover the key areas listed below:

Determination of Authority's audit and risk management process automation requirements

- Collecting the system requirements from Internal Audit, Risk and ICT Department
- Analyzing the requirements against available integrated automated audit techniques and applications

Implementation of CAATS

- Acquisition and installation of CAATS application with Comprehensive Risk Management Functionality, **Compliance Management Functionality, Business Continuity Module** – an entire risk management suite
- Configuration and Customization of the application to meet the Authority's systems requirements
- Testing of the implemented application
- Running alpha and beta versions of the application for quality assurance

User acceptance testing

- Tests all the test scenarios in all the functionalities and notifications in the system

Training of Internal Audit users and ICT systems Administrators

- Training of Internal Audit users on the implemented applications
- Training of ICT administrators on the implemented application

Documentation of the implemented solution

- Provide user documentation of the implemented solution
- Provide system documentation of the implemented solution

Hand-Over

- Certification and hand-over of the implemented solution to the Authority by the consultant.

Support

- Post-implementation user support
- Process of change Management if any

4. APPROACH AND METHODOLOGY

The Consultant should be able to explain in detail how they intend to implement the required systems including, but not limited to:

- a) The electronic management of the Internal Audit cycle i.e. Audit Planning, including risk assessment, Field work, Reporting, compliance reporting, follow up on implementation as well as reporting to the Board Audit Committee and Board Technical and Strategy Committee.
- b) The possibility of the Software interfacing with Microsoft Navision for purposes of accessing the Accounting data and Operational data i.e. Case Management data.
- c) The desired application functionality.
- d) Hardware needed for smooth implementation of software.
- e) Support software required for the implementation.
- f) Training levels required for the Internal Audit users, Risk Officers and ICT system administrators

5. DELIVERABLES

It is expected that during the assignment in CAK, the overall outputs that are expected from the firm are the following

- Tender for supply, customization, testing, training, commissioning and maintenance of an integrated Governance, Risk and Compliance management system software Internet
- Licenses.
- Training of a total of thirteen (13) users, i.e. 3 ICT system administrators, 3 Internal Auditors, 1 Finance, 1 Risk assurance and 5 system users.
- System support for three (3) years beginning from the second year after commissioning.

6. REMUNERATION AND OTHER CONSIDERATIONS

The successful firm will start the services one week following the completion of the procurement process and signing the contract agreement (SLA)

6.1 Submissions will be accepted from any system developer firm registered in Kenya

6.2 The successful result of this process will be a Service Level Agreement (SLA) for firm for use in CAK

6.2.1 Defining an overall period will be based on the contract period.

SECTION VII - EVALUATION RESPONSE

Preliminary Evaluation Checklist

Tenderers are advised that at this stage, the tenderer's submission will either be responsive or nonresponsive. The non-responsive submissions will be eliminated from the entire evaluation process and will not be considered further.

No.	Parameters / Requirements	Submitted / Not Submitted (Yes or No)
1	Copy of certificate of Registration/Incorporation	
2	Copy of Valid Tax Compliance certificate	
3	Copy of Valid Business Permit/Trade License	
4	Audited Financial Statements 2016, 2017 & 2018.	
5	Duly filled, Signed and stamped Form of tender in the format provided	
6	Must Submit a Tender Security of Kshs. 100,000 valid for an additional thirty (30) days after the expiry of the tender validity period.	
7	Must submit a dully filled up Confidential Business Questionnaire in format provided	
8	Must submit a manufacturer authorization letter	
9	Must provide details and reference letters of at least four (4) clients for a similar work done.	
10	Must complete, sign & Stamp the Self declaration that the bidder/person will not engage in any corrupt or fraudulent practice.	
11	Must complete, sign & Stamp the Self declaration that the bidder/person is not debarred in the matter of public procurement.	
12	The Bid documents must be bound & serialized.	

13	Bidders must submit an original and a copy of the bid document	
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Detailed technical Evaluation criteria

Bidders are required to fill in all the below forms for the technical evaluation.

TECHNICAL EVALUATION CRITERIA

S/N	Detailed Functional Specifications	Max. score	Bidder response
	Risk Assessment function		
1.	Availability of separate Risk Assessment module to carry out enterprise risk assessment.	1	Attach evidence
2.	Segregate data by various entity types such as, organizational units and divisions. The system should also be able to allow some users access data across the departments while others are restricted to only their respective units	1	Attach evidence
3.	Capability to automatically value the risk rating of projects from the risk universe.	1	Attach evidence
4.	Capability to assign value for each risk factor for risk rating.	1	Attach evidence
5.	Capability to capture user defined parameters to reflect materiality during risk assessments.	1	Attach evidence
6.	Availability of reporting and dashboarding on risk and controls performance, based on assessment results, using defined KRIs	1	Attach evidence
7.	Escalation notifications - escalate risks needing immediate attention, escalate critical risk mitigation actions still pending and escalate overdue activities	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
8.	Allows the user to resume work in progress and also modify previously saved work in progress	1	Attach evidence
9.	Can embed SLAs within process workflows and to support SLA management (for example turn-around time for transactions), monitoring and reporting at individual transaction type level. The system should also be able to work with outbound mail to communicate SLA non-compliance	1	Attach evidence
10.	Capability of users/departments to carry out self-assessments of risks on a web based mode.	1	Attach evidence
11.	Capability to automatically generate report based on the risk rating of projects, including graphical heat maps with all departments plotted.	1	Attach evidence
12.	Capability to allow auditees/management to perform self-assessments of risk via web based application.	1	Attach evidence
13.	Workflow capabilities to execute risk assessment in a workshop, or based on survey questionnaires.	1	Attach evidence
14.	Integrates with a secure inbound and outbound email messaging platform	1	Attach evidence
15.	Capability to develop basis for early-warning systems on significant changes in risk profile;	1	Attach evidence
16.	Capability to periodically report on KPIs and KRIs. Both at a high level and at a granular level	1	Attach evidence
17.	Capability to report on risks within the context of a risk appetite and capacity guidelines	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
18.	Capability to capture risk assessment results for reporting/ trend analysis	1	Attach evidence
19.	A definition of the back-up plan shall be provided for the system	1	Attach evidence
20.	Capability to offer regulatory compliance management through a systematic monitoring approach	1	Attach evidence
	Planning		
	a) Annual Planning		
21.	Capability to manage the audit universe, project history, contact data, and background information.	0.5	Attach evidence
22.	Capability to automatically generate the draft Annual Audit Plan based on the priority rating of risk in the risk assessment function.	0.5	Attach evidence
23.	Capability to capture budget/plan time for each project at the time of planning.	0.5	Attach evidence
24.	Automatic calculation of the date an audit project or assignment should next be performed based upon designated criteria.	0.5	Attach evidence
	b) Individual Audit Project Plan		
25.	Capability to automatically create individual audit plan directly from the Annual Audit plan on a web based mode.	0.5	Attach evidence
26.	Capability to export the individual audit plan to Microsoft Outlook.	0.5	Attach evidence
27.	Capability to capture planned time for each audit staff.	0.5	Attach evidence
28.	Capability to alert the supervisor while planning the resources, if the auditor is already assigned to another project.	0.5	Attach evidence
	Field Work		

S/N	Detailed Functional Specifications	Max. score	Bidder response
	a) Audit Project Management		
29	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.	0.5	Attach evidence
30	Capability to report audit vs. non-audit time, and comparison to budgeted time.	0.5	Attach evidence
31	Capability to generate administrative reports for the auditor on the projects, completed projects, projects in progress, etc.	0.5	Attach evidence
32	Capability to approve auditors' work hours online.	0.5	Attach evidence
33	Capability to prohibit/ restrict time entries after specific audit project closeout.	0.5	Attach evidence
	b) Audit Execution		
34	Capability to access the audit procedures captured in the audit program to conduct the audit.	0.5	Attach evidence
35	Capability to add additional audit steps (procedures) to the audit program at any time during the course of the audit.	0.5	Attach evidence
36	Capability to enable the audit supervisors to approve the audit program and any subsequent changes.	0.5	Attach evidence
37	Capability to send and file the letter of introduction/ notification to auditees for audit commencement.	0.5	Attach evidence
38	Capability to record the audit observations and findings.	0.5	Attach evidence
39	Capability to provide sampling methods and procedures and ability to sample based on population.	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
40	Capability to link audit findings to inbuilt database of IPSAS standards and other relevant auditing and accounting standards, policies, procedures, laws and regulations	1	Attach evidence
41	Ability to update the inbuilt IPSAS standards and other relevant auditing and accounting database	1	Attach evidence
42	Capability to record multiple recommendations for each audit observations and findings.	0.5	Attach evidence
43	Capability to automatically link the findings to supporting documents and audit procedures.	0.5	Attach evidence
44	Capability to assign risk severity level to each finding.	1	Attach evidence
45	Capability to analyse causes of findings and record the facts.	1	Attach evidence
46	Capability to capture audit procedures to carry out substantive or validation audit tests.	1	Attach evidence
47	Capability to capture audit conclusions and recommendations.	1	Attach evidence
48	Capability to work seamlessly both on online and offline modes.	1	Attach evidence
49	Capability to store and retrieve audit programs, templates and repetitive findings in a mobile database.	1	Attach evidence
50	Capability to provide best practice audit programs for all areas of audit, including specialised areas like IT audits.	1	Attach evidence
	Working Papers		
51	Capability to create working paper indexing as per main phases and sub items	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
	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.		
52	Capability to link or embed into the software any externally generated documents.	1	Attach evidence
53	Capability to create an offline copy, and another tier 2 copy of the offline copy enabling teams to work when the local area network (LAN) is down.	1	Attach evidence
54	Capability to support hot links to specific Microsoft Navision, Customer relationship management (CRM) , MS Word,MS Excel, PDF, scanned images, and flow charts documents from audit work papers.	1	Attach evidence
55	Capability to write supervisory review notes with links to targeted work papers.	1	Attach evidence
56	Secure electronic sign-off for audit steps, file attachments, and review notes.	1	Attach evidence
57	Capability to secure different levels of sign-off (i.e. reviewer 1 and reviewer 2).	1	Attach evidence
58	Capability to document findings directly in the database, and automatically link to supporting working papers and audit procedures.	1	Attach evidence
59	Capability to print completed working papers including audit programs and review notes.	1	Attach evidence
	Reporting		
60	Capability to automatically generate audit report in Microsoft Word, Power point, excel, and Pdf format taking the criteria, observations, cause, risk/implication,	0.5	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
	recommendations captured during fieldwork.		
61	Capability to customize audit report formats at any time for future requirement changes.	1	Attach evidence
62	Capability to maintain track changes of supervisory reviews of the audit reports.	1	Attach evidence
63	Capability to automatically send the draft reports to the Auditee for comments/management responses.	1	Attach evidence
64	Capability to automatically import/process Auditee comments/management responses from the draft reports to the working papers.	1	Attach evidence
65	Capability to issue the final report to the authorized person for approval.	1	Attach evidence
66	Capability of distributing a report via e-mail.	1	Attach evidence
67	Capability to accommodate more than one management response for each finding.	1	Attach evidence
	Follow-up		
68	Capability to automatically capture the audit recommendations from the audit report.	1	Attach evidence
69	Capability to enable auditees to access (web based mode) and capture the actions taken by themselves for findings addressed to them.	1	Attach evidence
70	Capability to generate reports of open items (findings not resolved, partially resolved, fully resolved), repeated findings, statistical summaries, etc.	1	Attach evidence
71	Capability to track and automatically follow up all pending findings, on a web	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
	based mode and through sending out e-mails.		
72	Capability to search open audit findings per Audit project based on user defined parameters.	1	Attach evidence
73	Capability to track and follow up multiple management responses and by addressees.	1	Attach evidence
	Administration		
74	Capability to enable supervisors complete auditor performance evaluation for specific audit assignments/projects.	1	Attach evidence
75	Capability to determine automatically when a specific assignment was last audited and the auditor who performed the audit.	1	Attach evidence
76	Requires minimum administrative support to maintain the system.	1	Attach evidence
77	Capability to enable auditee feedback on the conduct of audit assignment	1	Attach evidence
	Technical Requirements		
78	The system should be database-driven and should be based on relational database structure.	1	Attach evidence
79	The system should be compatible with Ms Dynamics Navision ERP and CRM module.	1	Attach evidence
80	It should be compatible with other products such as data extraction/ analysis software like, MS word, MS Excel and scanning software.	1	Attach evidence
81	Capability to work as a stand-alone or connected to the network.	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
82	Capability to assign multiple responsibilities by user identification levels.	1	Attach evidence
83	Capability to have enhanced access control across all the modules	1	Attach evidence
84	Capability to compress and encrypt data automatically to enhance confidentiality.	1	Attach evidence
85	Capability to provide one software license covering compliance, risk assessment, audit planning, electronic working papers and audit report/issues tracking.	0.5	Attach evidence
86	Capability to run on smart devices like smartphones, iPad and tablets.	0.5	Attach evidence
87	Capability to complete auditor performance evaluations for a specific audit assignment	0.5	Attach evidence
	Other Firm requirements and Information		
88	Training supported by onsite, offsite, or computer based, to fully prepare all audit personnel in the use of all aspects of the software use.	1	Attach evidence
89	Company provides support via telephone and e-mail.	1	Attach evidence
90	Company provides improvements in product via updated versions.	0.5	Attach evidence
91	User Guide documents provided in electronic form.	1	Attach evidence
92	Training documentation describes all system components, use, modification, and all necessary steps to effectively and efficiently enable the use of all features.	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
93	Sample database (for a fictional company) provided to assist in ongoing department training and exercises.	0.5	Attach evidence
94	Webcast events to demonstrate product upgrade enhancements.	0.5	Attach evidence
95	Propose a phased training and follow up.	0.5	Attach evidence
96	Local (Kenya) reference sites.	0.5	Attach evidence
	Presentation		
97	Presentation/ demo on the functionality of the proposed system and the extent to which it is ideal to the Internal Audit Department at the Competition Authority of Kenya.	0.5	Attach evidence

	Data Analytic Capabilities of the Integrated Audit Management System		Bidder Response
98	Capability to locate errors and potential fraud by comparing and analyzing files according to end-user criteria	0.5	Attach evidence
99	Capability to identify trends, pinpoint exceptions and highlight potential areas of concern	0.5	Attach evidence
100	Capability to recalculate and verify balances in the areas being audited	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
101	Capability to identify control issues in the business processes	1	Attach evidence
102	Capability to check and ensure compliance with standards	0.5	Attach evidence
103	Capability to age and analyze accounts receivable/payable or any other time-sensitive transactions and generate report on the same on a continuous basis	1	Attach evidence
104	Capability to test for unauthorized employee/supplier relationships	1	Attach evidence
105	Capability to Cleanse and normalize data	1	Attach evidence
106	Capability to Perform a wide variety of investigative and analytical operations	1	Attach evidence
107	Intuitive user-interface with pull-down menus, toolbars, and point & click commands.	0.5	Attach evidence
108	Easy-to-use – elegant and intuitive dashboard gets you up and running	0.5	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
	quickly without extensive training needed		
109	Capability to stay on schedule with progress tracking – assign and schedule team members, reduce review cycle times, and gain instant visibility on project status, deficiencies, findings and issues	1	Attach evidence
110	Capability to efficiently manage workflows – from any project step: document results, attach supporting evidence, document findings and issues, sign off and notify the next reviewer, add request list items, assign review notes and to-do's, view and export reports in popular formats, and capture project time	1	Attach evidence
111	Capability to Identify, quantify and analyse issues – seamless and visual	0.5	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
	integration between the organization-level risk profile, audit, and risk mitigation projects, project findings, test results, and remediation activity		
112	Capability to test for duplicate payments, gaps in invoice numbers or unbilled services	0.5	Attach evidence
113	Capability to enable effective audit management by simple, low-overhead, high-value project management for all GRC contributors. Plan, co-ordinate document, review, and report on audit, risk and compliance projects.	0.5	Attach evidence
114	Capability to provides a standardized workflow; ensuring consistency across the team.	0.5	Attach evidence
115	Capability to eliminate manual reporting. Automatically rolls up time tracked, status and findings.	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
116	Capability to manage request lists. Track all requested items and send reminders via email to clients or business owners.	0.5	Attach evidence
117	Capability to Manage team collaboration. Review notes and comments between staff and reviewer, or between team members when multiple staff are assigned to work the same section or objective	1	Attach evidence
118	Capability to enable faster decision making by providing visibility into information with smart dashboards and reporting tools and sharing it across other departments and stakeholders	0.5	Attach evidence
119	Capability to use commands designed specifically for data analysis (including Age, Stratify, Sample, and Duplicates)	1	Attach evidence
120	Capability for analysis through continuous	1	Attach evidence

S/N	Detailed Functional Specifications	Max. score	Bidder response
	monitoring and real-time and or set interval notification		
121	Capability to Perform faster analysis, independently from IT department	0.5	Attach evidence
Overall score		100	

NB: To qualify for the financial evaluation a bidder must score at least 70% of the technical evaluation.

PRICE SCHEDULE:

Name of Tender: **SUPPLY, CUSTOMIZATION, TESTING, TRAINING, COMMISSIONING AND MAINTENANCE OF AN INTEGRATED AUDIT MANAGEMENT SYSTEM SOFTWARE.**

Tender Number: **CAK/TEND/009/2019-2020**

Based on the information contained in the Description of Goods, Tenderers should provide a breakdown of costs in the format shown below.

NO	DESCRIPTION	QTY	UNIT PRICE + 16% VAT	TOTAL PRICE
1.	Tender for supply, customization, testing, training, commissioning and maintenance	1		

	of an integrated audit management system software.			
2.	Licenses.	5		
3.	Training of users of at least 3 ICT system administrators,3 Internal Audit,1 Finance,1Risk Assurance and 5 system users.	13 users		
4.	System support for three (3) years beginning from the second year after commissioning.	3 years		
GRAND TOTAL (KSHS.)				

Signature and Rubber Stamp of tenderer

BIDDER'S EXPERIENCE REQUIREMENTS FORM

Give a list of **three (3)** reputable clients for whom they have offered similar assignments in the format below.

No.	Contact Information	Details
1	Name of company	
	Name of contact person	
	Designation	
	Telephone number	
	e-mail address	
	Site Location	

2	Name of company	
	Name of contact person	
	Designation	
	Telephone number	
	e-mail address	
	Site Location	
3	Name of company	
	Name of contact person	
	Designation	
	Telephone number	
	e-mail address	
	Site Location	

SECTION VIII - STANDARD FORMS

Notes on the standard 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. **Price Schedule Form** - The price schedule form must similarly be completed and submitted with the tender.
3. **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.
4. **Confidential Business Questionnaire Form** - This form must be completed by the tenderer and submitted with the tender documents.
5. **Tender Security Form** - When required by the tender document the tenderer shall provide the tender security either in the form included hereinafter.

6. **Performance security Form** - The performance security form should not be completed by the tenderer 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 CAK.
7. **Evaluation Response Forms** – These forms should be completed by the tenderer and submitted with the tender documents as it will be used for technical evaluation.
8. **Tenderers Experience Requirement Form** - This form should be completed by the tenderer and submitted with the tender documents as they will be used for evaluation.
9. **Self Declaration form** -self declaration that the person/tenderer is not debarred in the matter of the public procurement and asset disposal act 2015.
10. **Self Declaration form**- self declaration that the person/tenderer will not engage in any corrupt or fraudulent practice.

FORM OF TENDER

Date _____

Tender No. CAK/TEND/009/2019-
2020 To:

Sir/Madam:

Having examined the Tender documents including Addenda Nos.*[insert addenda numbers]*, the receipt of which is hereby duly acknowledged, we, the undersigned to **supply, customization, testing, training, commissioning and maintenance of an integrated audit management system software** in conformity with the said Tender documents for the sum *of* or such other sums as may be ascertained in accordance with the Schedule of Prices attached herewith and made part of this Tender.

We undertake, if our Tender is accepted, to deliver the Services in accordance with the delivery schedule specified in the Schedule of Requirements.

We agree to abide by this Tender for the Tender validity period specified in Clause 2.13 of the Appendix to Instructions to Tenderers, and it shall remain binding upon us and may be accepted at any time before the expiration of that period.

We are not participating, as Tenderers, in more than one Tender in this Tendering process.

Our firm, its affiliates or subsidiaries – including any subcontractors or suppliers for any part of the contract – has not been declared ineligible by the Government of Kenya under Kenyan laws.

Until a formal Contract is prepared and executed, this Tender, together with your written acceptance thereof and your notification of award, shall constitute a binding Contract between us.

We understand that you are not bound to accept the lowest or any tender you may receive. We certify/confirm that we comply with the eligibility requirements as per ITT Clause 3 of the Tender documents

Dated this _____ day of _____ 20_____.

(Name)

_____ [signature]

_____ *[in the capacity of]*

Duly authorized to sign

Tender for and on behalf of _____

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 materials and spares. Viz.....[brief description of materials and spares] and has accepted a tender by the tenderer for the supply of those materials and spares in the sum of[contract price in words and figures] 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 tenderer hereby covenants with the Procuring entity to provide the materials and spares 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 provision of the materials and spares 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 _____.

CONFIDENTIAL BUSINESS QUESTIONNAIRE

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.

Part 1 General			
Business			
Name.....			
Location	of	Business	Premises
.....		Plot	No,
..... Street/Road			
Postal address	Tel No.
.....			
Fax	Email
.....			
Nature	of	Business	
.....			
Registration Certificate No.			
.....		Maximum value of	
business which you can handle at any one time – Kshs.			
Name of your bankers			

.....

.....

Branch

.....

	<p style="text-align: center;">Part 2 (a) – Sole Proprietor</p> <p>Your name in full.....Age.....</p> <p>Nationality.....Country of Origin.....</p> <p>Citizenship details</p>												
	<p style="text-align: center;">Part 2 (b) – Partnership</p> <p>Given details of partners as follows</p> <table border="0"> <thead> <tr> <th style="text-align: left;">Name</th> <th style="text-align: left;">Nationality</th> <th style="text-align: left;">Citizenship details</th> <th style="text-align: left;">Shares</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="4">.....</td> </tr> </tbody> </table>	Name	Nationality	Citizenship details	Shares	1.						
Name	Nationality	Citizenship details	Shares										
1.													
.....													

2.

.....

3.

.....

4.

.....

Part 2 (c) – Registered Company Private or Public

State the nominal and issued capital of company

Nominal Kshs.

Issued Kshs.

Given details of all directors as follows

Name	Nationality	Citizenship details	Shares
------	-------------	---------------------	--------

1.

.....

2.

.....

3.

.....

.....

Date.....Signature of

Candidate.....

REQUEST FOR REVIEW FORM

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.....of20.....

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:-

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

SIGNED(Applicant)

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

FOR OFFICIAL USE ONLY

Lodged with the Secretary Public Procurement Administrative Review Board on

..... day of20.....

SIGNED

Board Secretary

FORMAT OF TENDER SECURITY INSTRUMENT

Whereas [*Name of the tenderer*] (hereinafter called “the tenderer”) has submitted its tender dated [*Date of submission of tender*] for the [*Name and/or description of the tender*] (hereinafter called “the Tender”)

KNOW ALL PEOPLE by these presents that WE of [*Name of Insurance Company*] having our registered office at (hereinafter called “the Guarantor”), are bound unto [*Name of Procuring Entity*](hereinafter called “the Procuring Entity”) in the sum of (Currency and guarantee amount) for which payment well and truly to be made to the said Procuring Entity, the Guarantor binds itself, its successors, and assigns by these presents.

Sealed with the Common Seal of the said Guarantor this ___ day of _____ 20 ____.

THE CONDITIONS of this obligation are:

- 1. If after tender opening the tenderer withdraws his tender during the period of tender validity specified in the instructions to tenderers, Or
- 2. If the tenderer, having been notified of the acceptance of his tender by the Employer during the period of tender validity:
 - a) fails or refuses to execute the form of Agreement in accordance with the instructions to Tenderers, 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 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 Guarantor not later than the said date.

[Date]

[Signature of the Guarantor]

[Witness]

[Seal]

**PERFORMANCE BANK/INSURANCE COMPANY GUARANTEE
[UNCONDITIONAL]**

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/Insurance Company guarantee by a reputable Bank/Insurance Company 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/Insurance Company]

[address]

[date]

SELF DECLARATION FORM

REPUBLIC OF KENYA

**PUBLIC PROCUREMENT REGULATORY AUTHORITY (PPRA) SELF
DECLARATION THAT THE PERSON/TENDERER IS NOT DEBARRED IN THE
MATTER OF THE PUBLIC PROCUREMENT AND ASSET DISPOSAL ACT 2015.**

I,of P.O. Box.....being a resident
of.....in the republic of.....do hereby make a
statement as follows:-

1. **THAT** I am the Company Secretary/ Chief Executive/ Managing Director/
Principal Officer/ Director of..... (insert name of the
Company) who is a Bidder in respect of **Tender No.**
for.....(insert tender title/description)
for..... (insert name of Procuring entity) and duly
authorized and competent to make this statement.
2. **THAT** the aforesaid Bidder, its Directors and subcontractors have not been
debarred from participating in procurement proceeding under Part IV of the Act.
3. **THAT** what is deposed to hereinabove is true to the best of my knowledge,
information and belief.

.....
.....

(Title) (Signature) (Date)
Bidder Official Stamp

SELF DECLARATION FORMS REPUBLIC OF KENYA

PUBLIC PROCUREMENT REGULATORY AUTHORITY (PPRA)

SELF DECLARATION THAT THE PERSON/TENDERER WILL NOT ENGAGE IN ANY CORRUPT OR FRAUDULENT PRACTICE

I..... of P.O. Box.....being a resident of.....in the Republic of.....do hereby make a statement as follows:-

1. **THAT** I am the Company Secretary/ Chief Executive/ Managing Director/ Principal Officer/ Director of..... (insert name of the Company) who is a Bidder in respect of **Tender No.** for.....(insert tender title/description) for..... (insert name of Procuring entity) and duly authorized and competent to make this statement.
2. **THAT** the aforesaid Bidder, its servants and/or agents / subcontractors will not engage in any corrupt or fraudulent practice and has not been requested to pay any inducement to any member of the Board, Management, Staff and/or employees and/or agents of..... (insert name of the Procuring entity) which is the Procuring entity.
3. **THAT** the aforesaid Bidder, its servants and/or agents / subcontractors have not offered any inducement to any member of the Board, Management, Staff and/or employees and/or agents of..... (insert name of the Procuring entity).
4. **THAT** the aforesaid Bidder will not engage / has not engaged in any corrosive practice with other bidders participating in the subject tender.
5. **THAT** what is deposed to hereinabove is true to the best of my knowledge, information and belief.

.....
(Title)
Bidder Official Stamp

.....
(Signature)

.....
(Date)