



# **UNCLAIMED FINANCIAL ASSETS AUTHORITY (UFAA)**

## **RFP FOR PROVISION OF INFORMATION SECURITY CONSULTANCY SERVICES**

**TENDER NO: UFAA/IS/011/2023-2024.**

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**<https://eProcurement.ufaa.go.ke> - (RFP Process)**

**CLOSING DATE: 11<sup>TH</sup> DECEMBER 2023 AT 10:30 A.M**

**NOVEMBER 2023**

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## SECTION 1 (A) - REQUEST FOR PROPOSAL (RFP)

### TENDER DESCRIPTION: PROVISION OF INFORMATION SECURITY CONSULTANCY SERVICES

**TENDER NUMBER: UFAA/IS/011/2023-2024.**

- 1.1 The Unclaimed Financial Assets Authority (UFAA) is a State Corporation established pursuant to the Unclaimed Financial Assets Act No. 40 of 2011, Laws of Kenya. The primary mandate of the Authority is to receive unclaimed financial assets from holders of such assets, safeguard and re-unite the assets with their rightful owners.
- 1.2 The Authority invites sealed tenders from interested, qualified and competent audit firms possessing the requisite license, skills, resources, and experience for the provision of information security consultancy services.
- 1.3 Interested eligible candidates may obtain further information from and inspect the tender documents at the UFAA Procurement Office at Pacis Centre, 3<sup>rd</sup> Floor on Slip Road, Off Waiyaki Way between 9:00am to 4:00pm, Monday to Friday excluding Public Holidays.
- 1.4 The tender document can be accessed and downloaded from the Authority's website [www.ufaa.go.ke](http://www.ufaa.go.ke) or Public Procurement Information Portal (PIIP) supplier portal (<http://www.tenders.go.ke> and e-procurement portal <https://eProcurement.ufaa.go.ke> free of charge.
- 1.5 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 made in form of cheque and a receipt obtained from our Accounts office, located at the 2<sup>nd</sup> Floor, Pacis Centre.
- 1.6 The firms that download the document must arrange to forward their particulars/contacts to Procurement through email address [procurement@ufaa.go.ke](mailto:procurement@ufaa.go.ke) before the closing date for records and for the purposes of receiving clarifications and/or addendum, if any. Firms must also register under <https://eProcurement.ufaa.go.ke>. Additional information relating to this tender, if any, will be availed through the Authority's website, PIIP and eProcurement portal from time to time.
- 1.7 Prices quoted should be inclusive of all taxes, must be expressed in Kenya shillings and shall remain valid for a period of 120 days from the closing date of the tender.
- 1.8 Tenders shall be **TAPE or VELO BOUND**, paginated and serialized in the correct sequence. Spiral binding will lead to disqualification.
- 1.9 Duly completed RFP documents, in a plain sealed envelope marked, **RFP FOR PROVISION OF INFORMATION SECURITY CONSULTANCY SERVICES; UFAA/IS/011/2023-2024**, should be mailed to the address below or deposited in the UFAA tender box on the 2<sup>nd</sup> floor of the Pacis Centre along Slip Road off Waiyaki Way on or before **11<sup>th</sup> December, 2023 at 10.30 a.m.** Bidders **MUST** also submit a copy of the bid electronically through the eProcurement Portal (<https://eProcurement.ufaa.go.ke>) **on or before 11<sup>th</sup> December, 2023 at 10.30 a.m. in PDF format and shall not be password protected. Bidders are advised to upload the e-copy at least four days prior to 11<sup>th</sup> December, 2023 to avoid last minute rush and system issues.**

**The CEO/MT,  
Unclaimed Financial Assets Authority,  
P.O. Box 28235, Nairobi 00200.  
Tel. +254-020 4023000/0706866984  
Website: [www.ufaa.go.ke](http://www.ufaa.go.ke)**

The Technical and Financial proposals should be enclosed in separate envelopes clearly marked as shown below before enclosure in an outer envelope:

- i. Technical proposal: RFP for the provision of Information Security consultancy services
- ii. Financial Proposal: RFP for the provision of Information Security consultancy services

Technical Proposals will be opened immediately thereafter in the presence of bidders or representatives who choose to attend at Pacis Centre, 2<sup>nd</sup> Floor Boardroom.

## SECTION 2. INSTRUCTIONS TO CONSULTANTS AND DATA SHEET

### A. GENERAL PROVISIONS

#### 1. Meanings/Definitions

- a) “Affiliate(s)” means an individual or an entity that directly or indirectly controls, is controlled by, or is under common control with the Consultant.
- b) “Applicable Law” means the laws and any other instruments having the force of law in Kenya.
- c) “Procuring Entity” means the entity that is carrying out the consultant selection process and signs the Contract for the Services with the selected Consultant.
- d) “Consultant” means a legally established professional consulting firm or an entity that may provide or provides the Services to the Procuring Entity under the Contract.
- e) “Contract” means a legally binding written agreement signed between the Procuring Entity and the Consultant and includes all the attached documents listed in its Clause 1 (the General Conditions of Contract (GCC), the Special Conditions of Contract (SCC), and the Appendices).
- f) “Data Sheet” means an integral part of the Instructions to Consultants (ITC) Section 2 that is used to reflect specific assignment conditions to supplement, but not to over-write, the provisions of the ITC.
- g) “Day” means a calendar day unless otherwise specified as "Business Day". A Business Day is any day that is an official working day in Kenya and excludes official public holidays.
- h) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or Joint Venture member(s).
- i) “Government” means the Government of the Republic of Kenya.
- j) “In writing” means communicated in written form such as by mail, e-mail, fax, including, if specified in the Data Sheet, distributed or received through the electronic-procurement system used by the Procuring Entity with proof of receipt.
- k) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of more than one Consultant where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Procuring Entity for the performance of the Contract.
- l) “Key Expert(s)” means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose CV is considered in the technical evaluation of the Consultant's proposal.
- m) “ITC” (this Section 2 of the RFP) means the Instructions to Consultants that provides the Consultants with all information needed to prepare their Proposals.
- n) “Letter of RFP” means the letter of invitation being sent by the Procuring Entity to the Consultants.
- o) “Non-Key Expert(s)” means an individual professional provided by the Consultant or its Sub-consultant and who is assigned to perform the Services or any part thereof under the Contract and whose CVs are not evaluated individually.
- p) “Proposal” means the Technical Proposal and the Financial Proposal of the Consultant.
- q) “Public Procurement Regulatory Authority (PPRA)” means the statutory authority of the Government of Kenya that is mandated with the role of regulating and monitoring compliance with the public procurement law and regulations.
- r) “RFP” means the Request for Proposals to be prepared by the Procuring Entity for the selection of consultants.

- s) “Services” means the work to be performed by the Consultant pursuant to the Contract.
- t) “Sub-consultant” means an entity to whom the Consultant intends to subcontract any part of the Services while the Consultant remains responsible to the Procuring Entity during the whole performance of the Contract.
- v) “Terms of Reference (TORs)” means the Terms of Reference that explains the objectives, scope of work, activities, and tasks to be performed, respective responsibilities of the Procuring Entity and the Consultant, and expected results and deliverables of the assignment.

## **2. Introduction**

- 2.1 The Procuring Entity named in the Data Sheet intends to select a Consultant from those listed in the Request for Proposals (RFP), in accordance with the method of selection specified in the Data Sheet.
- 2.2 The Consultants are invited to submit a Technical Proposal and a Financial Proposal, for consulting services required for the assignment named in the Data Sheet. The Proposal will be the basis for negotiating and ultimately signing the Contract with the selected Consultant.
- 2.3 The Consultants should familiarize themselves with the local conditions and take them into account in preparing their Proposals, including attending a pre-proposal conference if one is specified in the Data Sheet. Attending any such pre-proposal conference is optional and is at the Consultants' expense.
- 2.4 The Procuring Entity will timely provide, at no cost to the Consultants, the inputs, relevant project data, and reports required for the preparation of the Consultant's Proposal as specified in the Data Sheet.

## **3. Conflict of Interest**

- 3.1 The Consultant is required to provide professional, objective, and impartial advice, always holding the Procuring Entity's interest's paramount, strictly avoiding conflicts with other assignments or its own corporate interests and acting without any consideration for future work.
- 3.2 The Consultant has an obligation to disclose to the Procuring Entity any situation of actual or potential conflict that impacts its capacity to serve the best interest of the Procuring Entity. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract.
- 3.3 Without limitation on the generality of the foregoing, and unless stated otherwise in the Data Sheet, the Consultants shall not be hired under the circumstances set forth below:

### ***i) Conflicting Activities***

Conflict between consulting activities and procurement of goods, works or non-consulting services: a firm that has been engaged by the Procuring Entity to provide goods, works, or non-consulting services for a project, or any of its Affiliates, shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-consulting services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, or any of its Affiliates, shall be disqualified from subsequently providing goods or works or non-consulting services resulting from or directly related to the consulting services for such preparation or implementation.

### ***ii) Conflicting Assignments***

Conflict among consulting assignments: A Consultant (including its Experts and Sub-consultants) or any of its Affiliates shall not be hired for any assignment that, by its nature, may conflict with another assignment of the Consultant for the same or for another Procuring Entity.



### **(iii) *Conflicting Relationships***

Relationship with the Procuring Entity's staff: a Consultant (including its Experts and Sub-consultants) that has a close business or personal relationship with senior management or professional staff of the Procuring Entity who has the ability to influence the bidding process and:

- (i) are directly or indirectly involved in the preparation of the Terms of Reference for the assignment,
- (ii) the selection process for the Contract, or
- (iii) the supervision of the Contract, may not be awarded a Contract, unless the conflict stemming from such relationship has been resolved in a manner that determines there is no conflict to affect this selection process.
- (iv) *Others* Any other types of conflicting relationships as indicated in the Data Sheet.

## **4. Unfair Competitive Advantage**

- 4.1 Fairness and transparency in the selection process require that the Consultants or their Affiliates competing for a specific assignment do not derive a competitive advantage from having provided consulting services related to the assignment in question. To that end, the Procuring Entity shall indicate in the Data Sheet and make available to all Consultants together with this RFP all information that would in that respect give such Consultant any unfair competitive advantage over competing Consultants.

## **5. Corrupt and Fraudulent Practices**

- 5.1 Consultant firms or any of its members shall not be involved in corrupt, coercive, obstructive, collusive or fraudulent practice. Consultant firms or any of its members that are proven to have been involved in any of these practices shall be automatically disqualified and would not be awarded a contract.

### **5.2 Collusive practices**

- 5.2 The Procuring Entity requires compliance with the provisions of the Competition Act 2010, regarding collusive practices in contracting. Any Consultant found to have engaged in collusive conduct shall be disqualified and criminal and/or civil sanctions may be imposed. To this effect, Consultants shall be required to complete and sign the "Certificate of Independent Proposal Determination" annexed to the Proposal Form.
- 5.3 In further pursuance of this policy, Consultants shall permit and shall cause their agents (where declared or not), subcontractors, sub-consultants, service providers, suppliers, and their personnel, to permit the Government and its agencies to inspect all accounts, records and other documents relating to any short-listing process, Proposal submission, and contract performance (in the case of award), and to have them audited by auditors, investigators or compliance officers.

## **6. Eligibility**

- 6.1 In selection of Consultants, short-listing shall be composed of firms or individuals who belong to the same line of professional business and who are almost of the same capability.
- 6.2 Unless otherwise specified in the Data Sheet, the Procuring Entity permits Consultants including proposed experts, joint ventures and individual members from all countries and categories to offer consulting services. The maximum number of members so far JV shall be specified in the TDS.
- 6.3 The Competition Act of Kenya requires that firms wishing to tender as Joint Venture undertakings which may prevent, distort or lessen competition in provision of services are prohibited unless they are exempt in accordance with the provisions of Section 25 of the Competition Act, 2010. JVs will



be required to seek for exemption from the Competition Authority. Exemption shall not be a condition for submission of proposals, but it shall be a condition of contract award and signature.

AJV tenderer shall be given opportunity to seek such exemption as a condition of award and signature of contract. Application for exemption from the Competition Authority of Kenya may be accessed from the website [www.cak.go.ke](http://www.cak.go.ke)

- 6.4 3.2 Public Officers of the Procuring Entity, their Spouses, Child, Parent, Brothers or Sister. Child, Parent, Brother or Sister of a Spouse, their business associates or agents and firms/organizations in which they have a substantial or controlling interest shall not be eligible to tender or be awarded a contract. Public Officers are also not allowed to participate in any procurement proceedings.
- 6.5 It is the Consultant's responsibility to ensure that its Experts, joint venture members, Sub-consultants, agents (declared or not), sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements.
- 6.6 As an exception to the foregoing ITC 6.1 and 6.2 above:
- a) Sanctions-A firm or an individual that has been debarred from participating in public procurement shall be ineligible to be awarded a contract, or to benefit from the contract, financially or otherwise, during the debarment period. The list of debarred firms and individuals is available from the website of PPRA [www.ppra.go.ke](http://www.ppra.go.ke).
  - b) Prohibitions-Firms and individuals of a country or goods in a country may be ineligible if:
    - i) As a matter of law or official regulations, Kenya prohibits commercial relations with that country or
    - ii) By an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, Kenya prohibits any import of goods or services from that country or any payments to any country, person, or entity in that country.
  - c) Restrictions for Government-owned Enterprises-Government-owned enterprises or institutions in Kenya shall be eligible only if they can establish that they
    - i) Are legally and financially autonomous,
    - ii) Operate under commercial law, and
    - iii) That they are not dependent agencies of the Procuring Entity.
  - d) Restrictions for public employees – Government officials and civil servants and employees of public institutions shall not be hired for consulting contracts.
- 6.7 Margin of Preference and Reservations-no margin of preference shall be allowed in the selection of consultants. Reservations may however be allowed to a specific group of businesses (these groups are Small and Medium Enterprises, Women Enterprises, Youth Enterprises and Enterprises of persons living with disability, as the case may be), and who are appropriately registered as such by the authority to be specified in the Data Sheets. A procuring entity shall ensure that the invitation to submit proposals specifically includes only businesses or firms belonging to one group.

## **B. Preparation of Proposals**

### **7. General Considerations**

- 7.1 In preparing the Proposal, the Consultant is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.

### **8. Cost of Preparation of Proposal**

- 8.1 The Consultant shall bear all costs associated with the preparation and submission of its Proposal, and the Procuring Entity shall not be responsible or liable for those costs, regardless of the conduct or outcome of the selection process. The Procuring Entity is not bound to accept any proposal and reserves the right to annul the selection process at any time prior to Contract award, without there by incurring any liability to the Consultant.

## **9. Language**

- 9.1 The Proposal, as well as all correspondence and documents relating to the Proposal exchanged between the Consultant and the Procuring Entity shall be written in the English language.

## **10. Documents Comprising the Proposal**

- 10.1 The Proposal shall comprise the documents and forms listed in the Data Sheet.
- 10.2 The Consultant shall declare in the Financial Proposal Submission Form, that in competing for and executing a contract, it shall undertake to observe the laws of Kenya against fraud and corruption including bribery, as well as against anti-competitive practices including bid rigging.
- 10.3 The Consultant shall furnish information on commissions, gratuities and fees, if any, paid or to be paid to agents or any other party relating to this Proposal and, if awarded, Contract execution, as requested in the Financial Proposal Submission Form.

## **11. Only One Proposal**

- 11.1 The Consultant (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture in another Proposal. If a Consultant, including any Joint Venture member, submits or participates in more than one proposal, all such proposals shall be disqualified and rejected. This does not, however, preclude Sub-consultant, or the Consultant's staff from participating as Key Experts and Non-Key Experts in more than one Proposal when circumstances justify and if stated in the Data Sheet.
- 11.2 Members of a joint venture may not also make an individual Proposal, be a subcontractor in a separate proposal or be part of another joint venture for the purposes of the same Contract.
- 11.3 Should a Joint Venture subsequently win the Contract, it shall consider whether an application for exemption from the Competition Authority of Kenya is merited pursuant to Section 25 of the Competition Act 2010.

## **12. Proposal Validity**

### **a. Proposal Validity Period**

- 12.1 The Data Sheet indicates the period during which the Consultant's Proposal must remain valid after the Proposal submission deadline.
- 12.2 During this period, the Consultant shall maintain its original Proposal without any change, including the availability of the Key Experts, the proposed rates and the total price.
- 12.3 If it is established that any Key Expert nominated in the Consultant's Proposal was not available at the time of Proposal submission or was included in the Proposal without his/her confirmation, such Proposal shall be disqualified and rejected for further evaluation and may be subject to sanctions in accordance with IT C5.

### **b. Extension of Validity Period**

- 12.4 The Procuring Entity will make its best effort to complete the negotiations within the proposal's validity period. However, should the need arise, the Procuring Entity may request, in writing, all Consultants who submitted Proposals prior to the submission deadline to extend the Proposals' validity.
- 12.5 If the Consultant agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal and with the confirmation of the availability of the Key Experts, except as provided in ITC 12.7.
- 12.6 The Consultant has the right to refuse to extend the validity of its Proposal in which case such Proposal will not be further evaluated.

**b. Substitution of Key Experts at Validity Extension**

- 12.7 If any of the Key Experts become unavailable for the extended validity period, the Consultant shall provide a written adequate justification and evidence satisfactory to the Procuring Entity together with the substitution request. In such case, a replacement Key Expert shall have equal or better qualifications and experience than those of the originally proposed Key Expert. The technical evaluations core, however, will remain to be based on the evaluation of the CV of the original Key Expert.
- 12.8 If the Consultant fails to provide a substitute Key Expert with equal or better qualifications, or if the provided reasons for the replacement or justification are unacceptable to the Procuring Entity, such Proposal will be rejected.

**c. Sub-Contracting**

- 12.9 The Consultant shall not subcontract the whole or part of the Services without reasonable justification and written approval of the Procuring Entity.

**13. Clarification and Amendment of RFP**

- 13.1 The Consultant may request a clarification of any part of the RFP during the period indicated in the Data Sheet before the Proposals' submission deadline. Any request for clarification must be sent in writing, or by standard electronic means, to the Procuring Entity's address indicated in the Data Sheet. The Procuring Entity will respond in writing, or by standard electronic means, and will send written copies of the response (including an explanation of the query but without identifying its source) to all Consultants. Should the Procuring Entity deem it necessary to amend the RFP as a result of a clarification, it shall do so following the procedure described below:
- 13.2 At any time before the proposal submission deadline, the Procuring Entity may amend the RFP by issuing an amendment in writing or by standard electronic means. The amendment shall be sent to all invited Consultants and will be binding on them. The Consultants shall acknowledge receipt of amendments in writing.
- 13.3 If the amendment is substantial, the Procuring Entity may extend the proposal submission deadline to give the Consultants reasonable time to take an amendment into account in their Proposals.
- 13.4 The Consultant may submit a modified Proposal or a modification to any part of it at any time prior to the proposal submission deadline. No modifications to the Technical or Financial Proposal shall be accepted after the deadline.

**14. Preparation of Proposals—Specific Considerations**

- 14.1 While preparing the Proposal, the Consultant must give particular attention to the following:

- (a) If a Consultant considers that it may enhance its expertise for the assignment by associating with other consultants in the form of a Joint Venture or as Sub-consultants, it may do so only if one Proposal is submitted, in accordance with ITC 11. Above. A Consultant cannot associate with shortlisted Consultant(s). When associating with non-shortlisted/non-invited firms in the form of a joint venture or a sub-consultancy, the shortlisted/invited Consultant shall be a lead member. If shortlisted/invited Consultant associates with each other, any of them can be a lead member.
- (b) The Procuring Entity may indicate in the Data Sheet the estimated amount of Key Experts' time input (expressed in person-month), or the Procuring Entity's estimated total cost of the assignment, but not both. This estimate is indicative and the Proposal shall be based on the Consultant's own estimates for the same. This clause shall not apply when using Fixed Budget selection method.
- (c) For assignments under the Fixed-Budget selection method, the estimated Key Experts' time input shall not be disclosed. Total available budget, with an indication whether it is inclusive or exclusive of taxes, is given in the Data Sheet, and the Financial Proposal shall not exceed this budget.
- (d) Key Experts shall not appear in more than one proposal unless so allowed in the Data Sheet. Invited firms must confirm and ensure their Key experts do not appear in proposal of other invited firms, otherwise proposals with Key experts appearing in other proposals will be rejected.

## **15. Technical Proposal Format and Content**

- 15.1 The Technical Proposal shall be prepared using the Standard Forms provided in Section 3 of the RFP and shall comprise the documents listed in the Data Sheet under ITC 10.1. The Technical Proposal shall not include any financial information. A Technical Proposal containing material financial information shall be declared non-responsive.
- 15.2 Consultant shall not propose alternative Key Experts. Only one CV shall be submitted for each Key Expert position. Failure to comply with this requirement will make the Proposal non-responsive.

## **16. Financial Proposal**

- 16.1 The Financial Proposal shall be prepared using the Standard Forms provided in Section 4 of the RFP. It shall list all costs associated with the assignment, including (a) remuneration for Key Experts and Non-Key Experts, (b) reimbursable expenses indicated in the Data Sheet. Irrespective of the consultant selection method, any Consultant that does not submit itemized and priced financial proposal, or merely refers the Procuring Entity to other legal instruments for the applicable minimum remuneration fees shall be considered non-responsive.

### **a. Price Adjustment**

- 16.2 For assignments with a duration exceeding 18 months, a price adjustment provision for foreign and/or local inflation for remuneration rates apply if so, stated in the Data Sheet.

### **b. Taxes**

- 16.3 The Consultant and its Sub-Consultants and Experts are responsible for meeting all tax liabilities arising out of the Contract unless stated otherwise in the Data Sheet. Information on taxes in Kenya is provided in the Data Sheet.

### **c. Currency of Proposal**

- 16.4 The Consultant may express the price for its Services in the currency or currencies as stated in the Data Sheet. If indicated in the Data Sheet, the portion of the price representing local cost shall be stated in Kenya Shillings.

**d. Currency of Payment**

- 16.5 Payment under the Contract shall be made in the currency or currencies in which the payment is requested in the Proposal.

**C. SUBMISSION, OPENING AND EVALUATION**

**17. Submission, Sealing, and Marking of Proposals**

- 17.1 The Consultant shall submit a signed and complete Proposal comprising the documents and forms in accordance with ITC 10 (Documents Comprising Proposal). Consultants shall mark as “CONFIDENTIAL” information in their Proposals which is confidential to their business. This may include proprietary information, trade secrets or commercial or financially sensitive information. The submission can be done by mail or by hand. If specified in the Data Sheet, the Consultant has the option of submitting its Proposals electronically.
- 17.2 An authorized representative of the Consultant shall sign the original submission letters in the required format for both the Technical Proposal and the Financial Proposals and shall initial all pages of both. The authorization shall be in the form of a written power of attorney attached to the Technical Proposal.
- 17.3 A Proposal submitted by a Joint Venture shall be signed by all members so as to be legally binding on all members, or by an authorized representative who has a written power of attorney signed by each member’s authorized representative.
- 17.4 Any modifications, revisions, interlineations, erasures, or overwriting shall be valid only if they are signed or initialed by the person signing the Proposal.
- 17.5 The signed Proposal shall be marked “**ORIGINAL**”, and its copies marked “**COPY**” as appropriate. The number of copies is indicated in the Data Sheet. All copies shall be made from the signed original. If there are discrepancies between the original and the copies, the original shall prevail.

**18. Sealing and Marking of Proposals**

- 18.1 The firm shall deliver the Proposals in a single sealed envelope, or in a single sealed package, or in a single sealed container bearing the name and Reference number of the assignment, addressed to the Procuring Entity and a warning “**DO NOT OPEN BEFORE 11<sup>th</sup> December, 2023 at 10:30am**. The time and date for proposal opening date”. Within the single envelope, package or container, the Firm shall place the following separate, sealed envelopes:
- 18.2 In the single sealed envelope, or in a single sealed package, or in a single sealed container the following documents shall be closed and shall be addressed as follows:
- i) in an envelope or package or container marked “ORIGINAL”, all documents comprising the Technical Proposal, as described in ITC11;
  - ii) in an envelope or package or container marked “COPIES”, all required copies of the Technic Proposal;
  - iii) in an envelope or package or container marked “ORIGINAL”, all required copies of the Financial Proposal; and
- 18.3 The inner envelopes or packages or containers shall:
- i) Bear the name and address of the Procuring Entity.
  - ii) Bear the name and address of the Firm; and
  - iii) Bear the name and Reference number of the Assignment.



18.4 If an envelope or package or container is not sealed and marked as required, the *Procuring Entity* will assume no responsibility for the misplacement or premature opening of the proposal. Proposals that are misplaced or opened prematurely will not be accepted.

18.5 The Proposal or its modifications must be sent to the address indicated in the Data Sheet and received by the Procuring Entity no later than the deadline indicated in the Data Sheet, or any extension to this deadline. Any Proposal or its modification received by the Procuring Entity after the deadline shall be declared late and rejected, and promptly returned unopened.

## **19. Confidentiality/Canvassing**

19.1 From the time the Proposals are opened to the time the Contract is awarded, the Consultant should not contact the Procuring Entity on any matter related to its Technical and/or Financial Proposal. Information relating to the evaluation of Proposals and award recommendations shall not be disclosed to the Consultants who submitted the Proposals or to any other party not officially concerned with the process, until the publication of the Contract award information.

19.2 Any attempt by Consultants or any one on behalf of the Consultant to influence improperly the Procuring Entity in the evaluation of the Proposals or Contract award decisions may result in the rejection of its Proposal and may be subject to the application of prevailing PPRA's debarment procedures.

19.3 Notwithstanding the above provisions, from the time of the Proposals' opening to the time of Contract award publication, if a Consultant wishes to contact the Procuring Entity on any matter related to the selection process, it should do so only in writing.

## **20. Opening of Technical Proposals**

20.1 The Procuring Entity's opening committee shall conduct the opening of the Technical Proposals in the presence of the Consultants' authorized representatives who choose to attend (in person, or online if this option is offered in the Data Sheet). The opening date, time and the address are stated in the Data Sheet. The envelopes with the Financial Proposal shall remain sealed and shall be securely stored by the Procuring Entity or with a reputable public auditor or independent authority until they are opened in accordance with ITC 22.

20.2 At the opening of the Technical Proposals the following shall be read out: (i) the name and the country of the Consultant or, in case of a Joint Venture, the name of the Joint Venture, the name of the lead member and the names and the countries of all members; (ii) the presence or absence of a duly sealed envelope with the Financial Proposal; (iii) any modifications to the Proposal submitted prior to proposal submission deadline; and (iv) any other information deemed appropriate or as indicated in the Data Sheet.

## **21. Proposals Evaluation**

21.1 Subject to provision of ITC 15.1, the valuers of the Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded and after the Procuring Entity notifies all the Consultants in accordance with ITC 22.1.

21.2 The Consultant is not permitted to alter or modify its Proposal in anyway after the proposal submission deadline except as permitted under ITC12.7. While evaluating the Proposals, the Evaluation Committee will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.

## **22. Evaluation of Technical Proposals**

22.1 The Procuring Entity's evaluation committee shall evaluate the Technical Proposals that have passed the eligibility and mandatory criteria, on the basis of their responsiveness to the Terms

of Reference and the RFP. The eligibility and mandatory criteria shall include the following and any other that may include in the Data sheet.

- a) Firm has submitted the required number of copies of the Technical Proposals.
- b) Firm has submitted a sealed financial proposal.
- c) The Proposal is valid for the required number of days.
- d) The Technical Proposal is signed by the person with power of attorney, without material deviation, reservation, or omission.
- e) The Technical Proposal is complete with all the forms and required documentary evidence submitted.
- f) A valid tax compliance certificate or tax exemption certificate issued by the Kenya Revenue Authority in accordance with ITT 3.14 for Kenyan firms.
- g) Key Experts are from eligible countries.
- h) Key Experts do not appear in more than one proposal, if so required.
- i) A short-listed firm has not participated in more than one proposal, if so required.
- j) The Consultant is not insolvent, in receivership, bankrupt or in the process of being wound up.
- k) The Consultant, its sub-consultants and experts have not engaged in or been convicted of corrupt or fraudulent practices.
- l) The Consultant is neither precluded from entering into a Contract nor debarred by PPRA.
- m) The firm has not proposed employing public officials, civil servants and employees of public institutions.
- n) The Consultant, its sub-consultants and experts have no conflicts of interest.

22.2 Each responsive Proposal will be given a technical score. A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP or if it fails to achieve the minimum technical score indicated in the Data Sheet.

## **23. Public Opening of Financial Proposals**

### **23.1 Unsuccessful Proposals**

After the technical evaluation is completed, the Procuring Entity shall notify those Consultants whose Proposals were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score, advising them the following: (i) their Proposal was not responsive to the RFP and TOR or did not meet the minimum qualifying technical score; (ii) provide information relating to the Consultant's overall technical score, as well as scores obtained for each criterion and sub-criterion; (iii) their Financial Proposals will be returned unopened after completing the selection process and Contract signing; and (iv) notify them of the date, time and location of the public opening of the Financial Proposals and invite them to attend.

### **23.2 Financial Proposals for QBS, CQS and SSS**

Following the ranking of the Technical Proposals, when the selection is based on QBS or CQS, the top-ranked Consultant is invited to negotiate the Contract. Only the Financial Proposal of the technically top-ranked Consultant is opened by the opening committee. All other Financial Proposals shall be returned unopened after the Contract negotiations are successfully concluded and the Contract is signed with the successful Consultant.

When the selection is based on the SSS method and if the invited Consultant meets the minimum technical score required passing, the financial proposal shall be opened and the Consultant invited to negotiate the contract.



### **23.3 Financial Proposals for QCBS, FBS, LCS**

Following the ranking of the Technical Proposals, and after internal approvals, the Procuring Entity shall simultaneously notify in writing those Consultants whose Proposals were considered responsive to the RFP and TOR, and that have achieved the minimum qualifying technical score, advising them the following: (i) their Proposal was responsive to the RFP and TOR and met the minimum qualifying technical score; (ii) provide information relating to the Consultant's overall technical score, as well as scores obtained for each criterion and sub-criterion; (iii) their Financial Proposal will be opened at the public opening of Financial Proposals; and (iv) notify them of the date, time and location of the public opening and invite them for the opening of the Financial Proposals.

### **23.4 Opening of Financial Proposals**

The opening date should allow the Consultants sufficient time to decide for attending the opening and shall be no less than five (5) Business Days from the date of notification of the results of the technical evaluation, described in ITC 22.1 and 22.2.

The Consultant's attendance at the opening of the Financial Proposals (in person, or online if such option is indicated in the Data Sheet) is optional and is at the Consultant's choice.

The Financial Proposals shall be opened publicly by the Procuring Entity's opening committee in the presence of the representatives of the Consultants and anyone else who chooses to attend. Any interested party who wishes to attend this public opening should contact the Procuring Entity as indicated in the Data Sheet. At the opening, the names of the Consultants, and the overall technical scores, including the break-down by criterion, shall be read aloud. The Financial Proposals will then be inspected to confirm that they have remained sealed and unopened. These Financial Proposals shall be then opened, and the total prices read aloud and recorded. Copies of the record shall be sent to all Consultants who submitted Proposals.

## **24. Correction of Errors**

- 24.1 Activities and items described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, and no corrections are made to the Financial Proposal.
- 24.2 Time-Based Contracts-If a Time-Based contract form is included in the RFP, in case of discrepancy between (i) a partial amount(sub-total) and the total amount, or (ii)between the amount derived by multiplication of unit price with quantity and the total price, or (iii) between figures and words, the later will prevail. In case of discrepancy between the Technical and Financial Proposals in indicating quantities of input, the Technical Proposal prevails and the Procuring Entity's evaluation committee shall correct the quantification indicated in the Financial Proposal so as to make it consistent with that indicated in the Technical Proposal, apply the relevant unit price included in the Financial Proposal to the corrected quantity, and correct the total Proposal cost.
- 24.3 Lump-Sum Contracts – If a Lump-Sum contract form is included in the RFP, the Consultant is deemed to have included all prices in the Financial Proposal, so neither arithmetical correction nor price adjustments shall be made. The total price, net of taxes understood as per ITC 24 below, specified in the Financial Proposal (Form FIN-1) shall be considered as the offered price.

## **25. Taxes**

- 25.1 Subject to ITC 24.2, all taxes are deemed to be included in the Consultant's financial proposal as separate items, and, therefore, considered in the evaluation.

25.2 All local identifiable taxes levied on the contract in voices (such as sales tax, VAT, excise tax, or any similar taxes or levies) and in come and withholding tax payable to Kenya on the remuneration of non-resident Experts for the services rendered in Kenya are dealt with in accordance with the instructions in the Data Sheet.

## **26. Conversion to Single Currency**

26.1 For the evaluation purposes, prices shall be converted to a single currency using the selling rates of exchange, source and date indicated in the Data Sheet.

## **27. Abnormally Low Prices**

27.1 An Abnormally Low Price is one where the financial price, in combination with other constituent elements of the proposal, appears unreasonably low to the extent that the price raises material concerns with the Procuring Entity as to the capability of the Consulting firm to perform the Contract for the offered price.

27.2 In the event of identification of a potentially Abnormally Low Price by the evaluation committee, the Procuring Entity shall seek written clarification from the firm, including a detailed price analyses of its price in relation to the subject matter of the contract, scope, delivery schedule, allocation of risk and responsibilities and any other requirements of the RFP document.

27.3 After evaluation of the price analyses, if the Procuring Entity determines that the firm has failed to demonstrate its capability to perform the contract for the offered price, the Procuring Entity shall reject the firm's proposal.

## **28. Abnormally High Prices**

28.1 An abnormally high price is one where the proposal price, in combination with other constituent elements of the proposal, appears unreasonably too high to the extent that the Procuring Entity is concerned that it (the Procuring Entity) may not be getting value for money or it may be paying too high a price for the contract compared with market prices or that genuine competition between Consultants is compromised.

28.2 In case of an abnormally high tender price, the Procuring Entity shall make a survey of the market prices, check if the estimated cost of the contract is correct, and review the RFP to check if the specifications, TOR, scope of work and conditions of contract are contributory to the abnormally high proposals. The Procuring Entity may also seek written clarification from the Consultants on the reason or the high proposal price. The Procuring Entity shall proceed as follows: If the proposal price is abnormally high based on wrong estimated cost of the contract, the Procuring Entity may accept or not accept the proposal depending on the Procuring Entity's budget considerations.

- i) If specifications, TOR, scope of work and/or conditions of contract are contributory to the abnormally high proposal prices, the Procuring Entity shall reject all proposals and may re-invite for proposals for the contract based on revised estimates, specifications, TOR, scope of work and conditions of contract.

28.3 If the Procuring Entity determines that the Proposal Price is abnormally too high because genuine competition between Consultants is compromised (*often due to collusion, corruption or other manipulations*), the Procuring Entity shall reject all Proposals and shall institute or cause competent Government Agencies to institute an investigation on the cause of the compromise, before re-inviting for proposals.

## **29. Combined Quality and Cost Evaluation**

### **a. Quality and Cost Based Selection (QCBS) Method**

29.1 In the case of Quality and Cost Based Selection (QCBS), the total score is calculated by weighting the technical and financial scores and adding them as per the formula and instructions in the Data Sheet. The Consultant that achieves the highest combined technical and financial score will be notified and invited for negotiations.

**b. Fixed Budget Selection (FBS) Method**

29.2 In the case of FBS, those Proposals that exceed the budget indicated in ITC 14.1.4 of the Data Sheet shall be rejected. The Procuring Entity's evaluation committee will select the Consultant with the highest-ranked Technical Proposal that does not exceed the budget indicated in the RFP, notify and invite such Consultant to negotiate the Contract.

**c. Least Cost Selection (LCS) Method**

29.3 In the case of Least-Cost Selection (LCS), the Procuring Entity's evaluation committee will select the Consultant whose Proposal is the lowest evaluated total price among those Proposals that achieve the minimum technical score required to pass, notify the Consultant and invite the Consultant to negotiate the Contract.

**d. Combined Technical and Evaluation Report**

29.4 The evaluation committee shall prepare a combined technical and financial evaluation report, with specific recommendations for award or otherwise and subject to the required approvals within the Procuring Entity prior to notifications and invitation of Consultant for negotiations.

**30. Notification of Intention to enter into a Contract/Notification of Award**

30.1 The Procuring Entity shall send to each Consultant (that has not already been notified that it has been unsuccessful) the Notification of Intention to Award the Contract to the successful Consultant. The **Notification of Intention to enter into a Contract / Notification of Award** shall contain, at a minimum, the following information:

- i) The name and address of the Consultant with whom the Procuring Entity successfully negotiated contract;
- ii) the contract price of the successful Proposal;
- iii) a statement of the reasons why the recipient's Proposal was unsuccessful
- iv) the expiry date of the Standstill Period, and
- v) instructions on how to request a debriefing and/or submit a complaint during the standstill period;

**31. Standstill Period**

31.1 The Standstill Period shall be the number of days stated in the Data Sheet. The Standstill Period commences the day after the date the Procuring Entity has transmitted to each Consultant (that has not already been notified that it has been unsuccessful) the Notification of Intention to Award the Contract. The Contract shall not be signed earlier than the expiry of the Standstill Period. This period shall be allowed for aggrieved Consultants to lodge an appeal. The procedure for appeal and the authority to determine the appeal or complaint is as indicated in the Data Sheet.

**D. NEGOTIATIONS AND AWARD**

**32. Negotiations**

32.1 The negotiations will be held at the date and address indicated in the Data Sheet with the Consultant's representative(s) who must have written power of attorney to negotiate and sign a Contract on behalf of the Consultant.

32.2 The evaluation committee shall prepare minutes of negotiations that are signed by the Accounting Officer and the Consultant's authorized representative.

### **32.3 Availability of Key Experts**

The invited Consultant shall confirm the availability of all Key Experts included in the Proposal as a pre-requisite to the negotiations, or, if applicable, a replacement in accordance with ITC 12. Failure to confirm the Key Experts' availability may result in the rejection of the Consultant's Proposal and the Procuring Entity proceeding to negotiate the Contract with the next-ranked Consultant.

32.4 Notwithstanding the above, the substitution Key Experts at the negotiations may be considered if due solely to circumstances outside the reasonable control of and not foreseeable by the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall offer a substitute Key Expert within the period of time specified in the letter of invitation to negotiate the Contract, who shall have equivalent or better qualifications and experience than the original candidate.

### **32.5 Technical negotiations**

The technical negotiations include discussions of the Terms of Reference (TORs), the proposed methodology, the Procuring Entity's inputs, the special conditions of the Contract, and finalizing the "Description of Services" part of the Contract. These discussions shall not substantially alter the original scope of services under the TOR or the terms of the contract, lest the quality of the final product, its price, or the relevance of the initial evaluation be affected.

### **32.6 Financial negotiations**

The financial negotiations include the clarification of the Consultant's tax liability in Kenya and how it should be reflected in the Contract. All applicable taxes shall be itemized separately and included in the contract price.

32.7 If the selection method included cost as a factor in the evaluation (that is QCBS, FBS, LCS), the unit rates and the total price stated in the Financial Proposal for a Lump-Sum contract shall not be negotiated.

32.8 Where QBS or CQS methods was used for a *Lump-sum Contract* as indicated in the RFP, the unit rates negotiations shall not take place, except when the offered Key Experts and Non-Key Experts' remuneration rates are much higher than the typically charged rates by consultants in similar contracts or the professional practice. In such case, the Procuring Entity may ask for clarifications and, if the fees are very high, ask to change the rates. The format for (i) providing information on remuneration rates in the case of QB and CQS; and (ii) clarifying remuneration rates' structure under this Clause, is provided in Appendix A to the Financial Form FIN-3: Financial Negotiations – Breakdown of Remuneration Rates. If after the clarifications, the price is still considered too high, the Procuring Entity may terminate the negotiation and invite the next ranked Consultant to open its financial proposal and negotiate the contract.

32.9 In the case of a *Time- Based contract*, negotiation of unit rates shall not take place, except when the offered Key Experts and Non-Key Experts' remuneration rates are much higher than the typically charged rates by consultants in similar contracts. In such case, the Procuring Entity may ask for clarifications and, if the fees are very high, ask to change the rates. The format for (i) providing information on remuneration rates in the case of QBS and CQS; and (ii) clarifying remuneration rates' structure under this Clause, is provided in Appendix A to the Financial Form FIN-3: Financial Negotiations-Breakdown of Remuneration Rates. If after the clarifications, the price is still considered too high, the Procuring Entity may terminate the negotiation and invite the next ranked Consultant for negotiations.

32.10 Where SSS method was used as indicated in the RFP, both the unit rates and total price shall be negotiated. If the negotiations fail, the Procuring Entity shall terminate the Consultant selection

process. In that event, the Procuring Entity shall review the consultancy requirements and market conditions prior to deciding to use an appropriate selection method to again procure the consulting services.

### **33. Conclusion of Negotiations**

- 33.1 The negotiations are concluded with a review of the finalized draft Contract, which then shall be initialed by the Accounting Officer and the Consultant's authorized representative and minutes prepared to record the outcome of the negotiations.
- 33.2 If the negotiations fail, the Procuring Entity shall inform the Consultant in writing of all pending issues and disagreements and provide a final opportunity to the Consultant to respond. If disagreement persists, the Procuring Entity shall terminate the negotiations informing the Consultant of the reasons for doing so. The Procuring Entity will invite the next-ranked Consultant to negotiate a Contract. Once the Procuring Entity commences negotiations with the next-ranked Consultant, the Procuring Entity shall not reopen the earlier negotiations.

### **34. Letter of Award**

- 34.1 Upon expiry of the Standstill Period, specified in ITC 28.1, after satisfactorily addressing any appeal that has been filed within the Standstill Period, and upon successful negotiations, the Procuring Entity shall send a Letter of Award to the successful Consultant. The letter shall confirm the Procuring Entity's award of Contract to the successful Consultant and requesting the Consultant to sign and return the draft negotiated Contract within Twenty-One (21) Days from the date of the Letter of Award.

### **35. Signing of Contract**

- 35.1 The Contract shall be signed prior to the expiration of the Proposal Validity Period and promptly after expiry of the Standstill Period, specified in ITC 28.1 and upon satisfactorily addressing any complaint that has been filed within the Standstill Period.
- 35.2 The Consultant is expected to commence the assignment on the date and at the location specified in the Data Sheet.

### **36. Publication of Procurement Contract**

- 36.1 Within the period specified in the Data Sheet, the Procuring Entity shall publish the awarded Contract which shall contain, at a minimum, the following information: (a) name and address of the Procuring Entity; (b) name and reference number of the contract being awarded, (c) the selection method used; (d) names of the consultants that submitted proposals; (e) names of all Consultants whose Proposals were rejected or were not evaluated; (f) the name of the successful consultant, the final total contract price, the contract duration and a summary of its scope.
- 36.2 Consider carefully the information on Consultants to be published, particularly evaluation by the Procuring Entity, to avoid disclosing information which can facilitate bid-rigging formation going forward. Suggest amendment as follows:
- 36.3 The awarded Contract shall be published on the Procuring Entity's website with free access if available and in the official procurement tender portal.

## SECTION 2 (B). DATA SHEET

The following information for procurement of the services shall complement or amend the provisions of instructions to consultants in section 2. Wherever there is a conflict between the provisions of the instructions to tenderers and the provisions of the Data sheet, the provisions in the data herein shall prevail over those of the instructions to consultants.

A. GENERAL PROVISIONS	
Reference to ITC clause	Information Security Consultancy Services - UFAA/IS/011/2023-24
1(k)	Electronic system shall be used alongside manual submission.
2.1	Name of the Procuring entity: <b>Unclaimed Financial Assets Authority</b>
2.2 & 17.5	<p>The consultant selection method is Quality Cost Based Selection method</p> <p>Bidders shall prepare one (1) of each proposal. The original of the Technical Proposal shall be placed in a sealed envelope clearly marked “<b>TECHNICAL PROPOSAL</b>,” while the original of the Financial Proposal shall be placed in another envelope, sealed and clearly marked “<b>FINANCIAL PROPOSAL</b>” with a warning: “<b>DO NOT OPEN WITH THE TECHNICAL PROPOSAL</b>”. Both the Technical Proposal and Financial Proposal envelopes shall then be placed into an outer envelope and sealed. This outer envelope shall bear the Authority’s submission address, namely: CEO/MT, Unclaimed Financial Assets Authority, P.O.Box 28235 Nairobi &amp; deposited in the tender box on 2<sup>nd</sup> Floor, Pacis Centre</p> <p>Bidders <b>MUST</b> also submit a copy of the bid electronically through the eProcurement Portal (<a href="https://eProcurement.ufaa.go.ke">https://eProcurement.ufaa.go.ke</a>) on or before <b>11<sup>th</sup> December 2023 at 10.30 a.m</b></p>
2.3	A pre-proposal conference will <b>NOT</b> be held
2.4	Not applicable
3(IV)	The Authority’s employees, committee members, board members and their relative (spouse and children) are <b>NOT</b> eligible
6.2	Joint ventures are <b>NOT</b> allowed.
6.6	The list of debarred firms and individuals is available at PPRA’s website <a href="http://www.ppra.go.ke">www.ppra.go.ke</a> or email <a href="mailto:complaints@ppra.go.ke">complaints@ppra.go.ke</a>
6.7	No Margins of preference are allowed in the tender
12.1	The proposal must remain valid for <b>120 days</b> after the submission date. The Authority may require this period to be extended where necessary.



### 13.1

14 (c) and 26.2	<p>The Authority will respond in writing to any request for clarification of the tender documents that it receives not later than <b>4<sup>th</sup> December 2023 at 5.00PM</b> at The authority will respond by <b>5<sup>th</sup> December 2023 at 5.00PM</b>.</p> <p>Email for requesting clarification is <a href="mailto:procurement@ufaa.go.ke">procurement@ufaa.go.ke</a></p>
16.2	Not applicable
16.3	<p>The tender sums should be in Kenya Shillings (Ksh)</p> <p>No contract variation within one year from the contract signature date.</p> <p>Price variation will be based on the prevailing consumer price index as provided by Kenya National Bureau of Statistics and inflation rate as provided by the Central Bank of Kenya.</p> <p>Quantity variation shall not exceed 15% of the original contract quantity.</p> <p>Cumulative value of all contract variation should not exceed 25% of the original contract sum.</p>
16.4 & 26.1	Information on the consultant's tax obligations can be found on the Kenya Revenue Authority's website <a href="http://www.kra.go.ke">www.kra.go.ke</a>
17.1	The financial proposal costs should be expressed in <b>Kenya Shillings</b>
17.5	Submissions of Proposals electronically is <b>MANDATORY</b> via e-procurement portal ( <a href="https://eProcurement.ufaa.go.ke">https://eProcurement.ufaa.go.ke</a> )
18.5	<p>The consultant must submit</p> <p>Technical proposal (one original &amp; copy via eprocurement portal)</p> <p>Financial Proposal (one original &amp; copy via eprocurement portal)</p>
20.1	The Authority must receive tenders not later than <b>11<sup>th</sup> December 2023 at 10:30am East African time</b> . Any proposal received after the closing date shall be returned unopened to the firm, which submitted it.
20.2	Technical Proposals will be opened immediately thereafter in the presence of bidders or representatives who choose to attend at UFAA Offices, Pacis Centre 2 <sup>nd</sup> Floor (boardroom).
22	<p>Not applicable. The proposals accepted by the closing date shall be subjected to three (3) stages of evaluation process, namely:</p> <ul style="list-style-type: none"> <li>i. Mandatory Evaluation Stage- Pass/ Fail Basis</li> <li>ii. Technical Capacity Evaluation –80%</li> <li>iii. Financial Evaluation- 20%</li> </ul> <p><b>STAGE 1. MANDATOR EVALUATION CRITERIA</b></p> <p><b>Bidders</b> shall be required to provide the following and the evaluation will be on pass/fail basis:</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>



**a) MANDATORY REQUIREMENTS (MR) CRITERIA**

<b>Item</b>	<b>Mandatory Requirements (MR)</b>	<b>PASS/FAIL</b>
MR1	Valid copy of Registration Certificate/Certificate of Incorporation	
MR2	Valid copy of tax compliance certificate	
MR3	Must attach a valid copy of PIN Registration with evidence of VAT and PAYE Registration	
MR4	Valid copy of Business Permit (County Government)	
MR5	Valid copy of CR12 form for Ltd companies or its equivalent i.e. CR13 form for sole proprietors and Partnerships issued by registrar of companies <b>IN THE LAST SIX (6) MONTHS</b> indicating the owners. <b>NB. ID copies &amp; affidavits will not be accepted.</b>	
MR6	Submission of original tender document properly <b>TAPE or VELO BOUND</b> and <b>PAGINATED in the correct sequence</b> (Pg. 1, 2, 3, 4, 5.....on all pages) <b>NB: Spiral binding and box files shall lead to disqualification</b>	
MR7	Registration and submission of Copy of tender document in PDF format via e-procurement portal ( <a href="https://eProcurement.ufaa.go.ke">https://eProcurement.ufaa.go.ke</a> )	
MR8	Original Tender Security of Kenya Shillings <b>150,000.00 (One hundred and fifty thousand shillings only)</b> from a reputable bank in the form of a Banker's guarantee or an Insurance Company Guarantee issued by an insurance firm approved by the Public Procurement Regulatory Authority (PPRA) valid for 120 days from the date of tender opening in the format provided in the tender document	
MR9	Self-Declaration that the Person/Tenderer is not debarred in the matter of the Public Procurement and Asset Disposal Act 2015. (FORM SD1)	
MR10	Self-Declaration That the Person/Tenderer Will Not Engage in Any Corrupt or Fraudulent Practice. (FORM SD2)	
MR11	Duly filled and signed Technical Proposal Submission form in the format provided	
MR12	Manufacturer authorization form of the proposed solution to automate the Information Security management system directly addressed to UFAA	

**NB//: Failure to submit any one of the above mandatory requirements will lead to disqualification. Only those firms who pass at the mandatory stage will proceed to the technical evaluation stage.**

**STAGE 2. TECHNICAL CAPACITY EVALUATION STAGE**

Only bidders who have been found responsive at the **preliminary stage** will be evaluated on the following parameters: Technical evaluation (**based on scoring on the table below**)

This will be based on the technical proposal submitted in accordance to the forms provided and the following criteria shall be used: -

The proposal will be evaluated based on Quality & Cost Based Selection (QCBS) method.

Weightage: The total technical score will carry 80 % and 20% for financial score of overall evaluation score (combined Technical and Financial score).

## Technical evaluation criteria

AREA	DESCRIPTION	SCORE
<b>1. CAPABILITY OF THE FIRM, PAST PERFORMANCE, METHODOLOGY (TOTAL SCORE=50%)</b>		
<b>CAPABILITY OF THE FIRM, PAST PERFORMANCE AND METHODOLOGY</b>	<b>Experience</b> <ol style="list-style-type: none"> <li>1. Previous handling of 5 similar projects related to providing information security consultancies, 3 of the projects should be with Govt institutions – Provide contact details, project details and company/organization as per the format provided on the tender document <b>(3 marks each)</b></li> <li>2. Provide evidence of the projects stated above e.g. contracts/LPO) <b>(3 marks each)</b></li> </ol> <b>NB</b> Recommendation letters will not be accepted	30
	<b>Methodology (5 marks each)</b> <ol style="list-style-type: none"> <li>1. Adequacy of the proposed methodology and work plan in responding to the Terms of Reference (Write content of methodology highlighting the information security process and provide a work plan in line with methodology proposed).</li> <li>2. Project organization chart with clear roles, responsibilities, and reporting lines.</li> <li>3. Provide an outline model of a modern security management system outlining all appropriate security and safety systems appropriate to Unclaimed Financial Assets Authority</li> <li>4. Provide a detailed implementation methodology and project plan for the implementation of the Authority's ISO/IEC 27001 standard.</li> </ol>	20
<b>2. TECHNICAL STAFF COMPETENCES (TOTAL SCORE=50%)</b>		
Attach the CVs accompanied by copies of Academic and specialization certificates for key personnel proposed for administration and execution of the contract. <b>NB: It is expected that the proposed staff are the ones to be engaged for the project if the bidder is successful and changes can only be made with consent of the client</b>		
<b>Project Manager</b>	<ol style="list-style-type: none"> <li>1. Master's in project management, Computer Science, Engineering, IT or related degree <b>(2mks)</b></li> <li>2. Minimum of 6 years' experience in Project Management <b>(2mks)</b></li> <li>3. Professional experience in managing implementation of scalable systems with competencies in information security. <b>Give a minimum of four (4) projects (2mks per Project Max.8mks)</b></li> <li>4. Evidenced knowledge of formal project management methodologies (Project Management Institute PMBOK or PRINCE2). The Project Manager should have a PMI or other equivalent project management certifications. <b>(2mks)</b></li> </ol>	14
<b>Information Security expert</b>	<ol style="list-style-type: none"> <li>1. B.SC/ in Computer Science, Engineering or related degree <b>(2mks)</b></li> <li>2. Minimum of 4 years' experience in information security <b>(2mks)</b></li> <li>3. Professional experience in information security <b>(Give a minimum of three (3) projects (2mks per project Max.6mks)</b></li> <li>4. Evidenced knowledge and training in information security e.g. CEH, CISSP, OSCP, COBIT or equivalent <b>(2mks)</b></li> </ol>	12
<b>Business Continuity Expert</b>	<ol style="list-style-type: none"> <li>1. Bsc in Business Management or related field <b>(2mks)</b></li> <li>2. Minimum of 4 years' experience in Business Continuity <b>(2mks)</b></li> <li>3. Professional Experience in Business Continuity (Give a minimum of three projects 2 marks for each project) <b>(6mks)</b></li> <li>4. Certification in Business Continuity <b>(2 mks)</b></li> </ol>	12
<b>Support Staff</b>	Provide support staff for the above team leaders i.e. Information Security & Business Continuity with the below minimum qualification; <ol style="list-style-type: none"> <li>1. Relevant Bachelor's Degree <b>(3mks)</b></li> <li>2. Minimum of 2-year relevant experience <b>(3mks)</b></li> <li>3. Relevant project experience (minimum of 3 relevant projects) <b>(6mks)</b></li> </ol>	12
	<b>TOTAL</b>	<b>100</b>

**NB:** The minimal qualifying technical score,  $St$ , **will be 80 points.** Only bidders that meet the minimum score will have their financial proposals evaluated. Bids that score less than 80% shall be treated as non-responsive and will not be evaluated further.

### STAGE 3. FINANCIAL EVALUATION AND SCORES

The financial proposals of the bidders that qualify at the technical evaluation stage shall be opened and evaluated.

The formula for determining the Financial Score ( $S_f$ ) shall, be as follows: -

$S_f = 100 \times F_m / F$  where  $S_f$  is the financial score;  $F_m$  is the lowest priced financial proposal and  $F$  is the price of the proposal under consideration.

1. Proposals will be ranked according to their combined technical ( $St$ ) and financial ( $S_f$ ) scores using the weights ( $T$ =the weight given to the Technical Proposal;  $P$  = the weight given to the Financial Proposal;  $T + P = 1$ ).

2. The weight to be given to the Technical and Financial scores for ranking shall be as follows:

Technical Percentage,  $T = St\% \times 0.8$  and Financial Percentage,  $P = S_f\% \times 0.2$ , where  $St$  is the score by the firm under the Technical Evaluation criteria and  $S_f$  is the % score by the firm under the Financial Evaluation criteria.

3. The combined technical and financial score,  $S$ , is calculated as follows:  $S = T + P$ . The firm achieving the highest combined technical and financial score,  $S$ , will be recommended for award and invitation for negotiations.

### Total Bid Score

A Bidder's final scores will be the addition of a Bidder's technical evaluation scores and the Bidder's financial evaluation scores. Bidder's Total Scores = Bidder's Technical Scores + Bidder's Financial Scores. The technical and financial scores will be combined and the firm achieving the **HIGHEST COMBINED SCORES** will be considered for negotiation and award of the tender. This is under Quality Cost Based Selection (QCBS) method of consultancy.

Bids with arithmetic errors shall be disqualified at the financial evaluation stage. The tender sum as submitted and read out during the financial 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 and ITC clause 24). Standstill period shall be 14 days as per ITTC clause 31

### Payment Terms

- Payments will be made quarterly (25% per quarter) in equal instalments and within 30days of invoice approval.
- **The Authority will only process invoices that are e-TIMS compliant.**

### Note

***The successful bidder will be required to provide Professional indemnity insurance cover worth Kenya Shillings three Million shillings (Kshs. 5,000,000.00) prior to contract signing.***

***The firm will also be required to demonstrate that they are complying with the Data Protection Act 2019 especially in regard to personal data.***

## FORMAT FOR PROVIDING DETAILS OF REFERENCE SITES/INSTITUTIONS (DATA SHEET)

<b>Firm Name</b> <b>Physical &amp; Postal address</b> <b>Email Address</b> <b>Phone Number</b>	
<b>Name/Brief description of Assignment</b>	
<b>Contract Value</b>	
<b>Contract duration (Indicate whether ongoing or completed)</b>	
<b>Name of Contact Person</b>	
<b>Designation of Contact Person</b>	
<b>Email address of Contact Person</b>	
<b>Phone Number of Contact Person</b>	

## SECTION 3. TECHNICAL PROPOSAL – STANDARD FORMS

### 1. FORM TECH-1: TECHNICAL PROPOSAL SUBMISSION FORM

{Location, Date}

To: *[Name and address of Procuring Entity]*

Dear Sirs:

We, the undersigned, offer to provide the consulting services for *[Insert title of assignment]* in accordance with your RFP dated *[Insert Date]* and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal sealed in a separate envelope.

*{If the Consultant is a joint venture, insert the following: We are submitting our Proposal in association/as a consortium/as a joint venture with: {Insert a list with full name and the legal address of each member, and indicate the lead member}. We have attached a copy {insert: “of our letter of intent to form a joint venture” or, if a JV is already formed, “of the JV agreement”} signed by every participating member, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture.*

OR {If the Consultant's Proposal includes Sub-consultants, insert the following:} We are submitting our Proposal with the following firms as Sub-consultants: *{insert a list with full name and address of each Sub-consultant.}*

We hereby declare that:

- a) All the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Procuring Entity or maybe sanctioned by the PPRA.
- b) Our Proposal shall be valid and remain binding upon us for the period of time specified in the Data Sheet, Clause 12.1.
- c) We have no conflict of interest in accordance with ITC3.
- d) We meet the eligibility requirements as stated in ITC6, and we confirm our understanding of our obligation to abide by the Government's policy in regard to corrupt, fraudulent and prohibited practices as per ITC5.
- e) In competing for (and, if the award is made to us, in executing) the Contract, we undertake to observe the laws against fraud and corruption, including bribery, as well as laws against anti-competitive practices, including bid rigging in force in Kenya; we hereby certify that we have taken steps to ensure that no person acting for us or on our behalf engages in any type of Fraud and Corruption or anti-competitive practices.
- f) We confirm that we are not insolvent, in receivership, bankrupt or on the process of being wound up.
- g) The Consultant shall declare in the Technical Proposal Submission Form, that in competing for and executing a contract, it shall undertake to observe the laws of Kenya against fraud and corruption including bribery, as well as against anti-competitive practices including bid-rigging.
- h) We are not guilty of any serious violation of fair employment laws and practices. We undertake to observe the laws of Kenya against fraud and corruption including bribery, as well as against collusive and anti-competitive practices, including bid rigging. To this effect we have signed the “Certificate of Independent Proposal Determination” attached below. We also undertake to adhere by the Code of Ethics for persons participating in Public Procurement and Asset Disposal Activities

in Kenya, copy available from  
(specify website) during the procurement process and the execution of any resulting contract.

- (l) We, along with any of our sub-consultants are not subject to, and not controlled by any entity or individual that is subject to, a temporary suspension or a debarment imposed by the PPRA.
- (e) Except as stated in the ITC12 and Data Sheet, we undertake to negotiate a Contract on the basis of the proposed Key Experts. We accept that the substitution of Key Experts for reasons other than those stated in ITC Clause12 andITCClause29.3 and 29.4 may lead to the termination of Contract negotiations.
- (j) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.
- (k) We understand that the Procuring Entity is not bound to accept any Proposal that it receives.

We undertake, if our Proposal is accepted and the Contract is signed, to initiate the Services related to the assignment no later than the date indicated in Clause 32.2 of the Data Sheet.

We remain,

Yours

sincerely,

Authorized Signature {In full and initials}: Name and Title of Signatory:

Name of Consultant (company's name or JV's name):

Contact information (phone and e-mail):

{For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached}

## 2. CERTIFICATE OF INDEPENDENT PROPOSAL DETERMINATION

I, the undersigned, in submitting the accompanying TECHNICAL PROPOSAL SUBMISSION FORM to the \_\_\_\_\_ [Name of Procuring Entity]

for: \_\_\_\_\_ [Name and number of tender] response to the request for tenders made by: \_\_\_\_\_ [Name of Tenderer] hereby make the following statements that I certify to be true and complete in every respect:

in

do

I certify, on behalf of

[Name

of

Tenderer]  
that:

1. I have read and I understand the contents of this Certificate;
2. I understand that the Tender will be disqualified if this Certificate is found not to be true and complete in every respect;
3. I am the authorized representative of the Tenderer with authority to sign this Certificate, and to submit the Tender on behalf of the Tenderer;
4. For the purposes of this Certificate and the Tender, I understand that the word “competitor” shall include any individual or organization, other than the Tenderer, whether or not affiliated with the Tenderer, who:

- Has been requested to submit a Tender in response to this request for tenders;
- could potentially submit a tender in response to this request for tenders, based on their qualifications, abilities or experience;

5. The Tenderer discloses that [check one of the following, as applicable]:

- The Tenderer has arrived at the Tender independently from, and without consultation, communication, agreement or arrangement with, any competitor;
- The Tenderer has entered into consultations, communications, agreements or arrangements with one or more competitors regarding this request for tenders, and the Tenderer discloses, in the attached document(s), complete details thereof, including the names of the competitors and the nature of, and reasons for, such consultations, communications, agreements or arrangements;

6. In particular, without limiting the generality of paragraphs(5)(a) or (5) (b)above, there has been no consultation, communication, agreement or arrangement with any competitor regarding:



- prices;
  - methods, factors or formulas used to calculate prices;
  - the intention or decision to submit, or not to submit, a proposal; or
  - the submission of a proposal which does not meet the specifications of the request for proposals; except as specifically disclosed pursuant to paragraph(5)(b) above;
7. In addition, there has been no consultation, communication, agreement or arrangement with any competitor regarding the quality, quantity, specifications or delivery particulars of the works or services to which this RFP relates, except as specifically authorized by the procuring authority or as specifically disclosed pursuant to paragraph(5)(b) above;
8. The terms of the RFP have not been, and will not be, knowingly disclosed by the Consultant, directly or indirectly, to any competitor, prior to the date and time of the official proposed opening, or of the awarding of the Contract, which ever comes first,

unless otherwise required by law or as specifically disclosed pursuant to paragraph(5)(b) above.

Name.....Title.....Date

[Name, title and signature of authorized agent of Consultant and Date]

### **3. APPENDIX TO FORM OF PROPOSAL ON FRAUD AND CORRUPTION CLAUSE (for information)**

*(Appendix shall not be modified)*

#### **Purpose**

the government of Kenya's Anti-Corruption and Economic Crime laws and their sanction's policies and procedures, Public Procurement and Asset Disposal Act (*no. 33 of 2015*) and its Regulation, and any other Kenya's Acts or Regulations related to Fraud and Corruption, and similar offences, shall apply with respect to Public Procurement Processes and Contracts that are governed by the laws of Kenya.

#### **Requirements**

The Government of Kenya requires that all parties including Procuring Entities, Tenderers, (applicants/proposers), Consultants, Contractors and Suppliers; any Sub -contractors, Sub-consultants, Service providers or Suppliers; any Agents (whether declared or not); and any of their Personnel, involved and engaged in procurement under Kenya's Laws and Regulation, observe the highest standard of ethics during the procurement process, selection and contract execution of all contracts ,and refrain from Fraud and Corruption and fully comply with Kenya's laws and Regulations as per paragraphs 1.1 above.

Kenya's public procurement and asset disposal act (*no.33 of 2015*) under Section 66 describes rules to be followed and actions to be taken in dealing with Corrupt, Coercive, Obstructive, Collusive or Fraudulent practices, and Conflicts of Interest in procurement including consequences for offences committed. A few of the provisions noted below highlight Kenya's policy of no tolerance for such practices and behavior:

- (1) a person to whom this Act applies shall not be involved in any corrupt, coercive, obstructive, collusive or fraudulent practice; or conflicts of interest in any procurement or asset disposal proceeding;
- (2) A person referred to under sub section (1) who contravenes the provisions of that sub-section commits offence;
- (3) Without limiting the generality of the subsection (1) and (2), the person shall be: -
  - a) disqualified from entering into a contract for a procurement or asset disposal proceeding; or
  - b) if a contract has already been entered into with the person, the contract shall be avoidable;
- (4) The voiding of a contract by the procuring entity under subsection (7) does not limit any legal remedy the procuring entity may have;
- (5) An employee or agent of the procuring entity or a member of the Board or committee of the procuring entity who has a conflict of interest with respect to a procurement—
  - i) Shall not take part in the procurement proceedings;
  - ii) shall not, after a procurement contract has been entered into, take part in any decision relating to the procurement or contract; and
  - iii) Shall not be a sub-contractor for the tender to whom was awarded contract, or a member of the group of tenderers to whom the contract was awarded, but the sub-contractor appointed shall meet all the requirements of this Act.
- (6) An employee, agent or member described in subsection (1) who refrains from doing anything prohibited under that subsection, but for that subsection, would have been within his or her duties shall disclose the conflict of interest to the procuring entity;
- (7) If a person contravenes sub section (1) with respect to a conflict of interest described in subsection (5)(a) and the contract is awarded to the person or his relative or to another person in whom one of them had a direct or indirect pecuniary interest, the contract shall be terminated and all costs incurred by the public entity shall be made good by the awarding officer.

- (8) Incompliance with Kenya's laws, regulations and policies mentioned above, the Procuring Entity:
- a) Defines broadly, for the purposes of the above provisions, the terms set forth below as follows:
    - i) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
    - ii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
    - iii) “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
    - iv) “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
    - v) “obstructive practice” is:
      - i) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede investigation by Public Procurement Regulatory Authority (PPRA) or any other appropriate authority appointed by Government of Kenya into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
      - ii) Acts intended to materially impede the exercise of the PPRA's or the appointed authority's inspection and audit rights provided for under paragraph 2.3e. below.
  - b) Defines more specifically, in accordance with the above procurement Act provisions set forth for fraudulent and collusive practices as follows:  
 "fraudulent practice" includes a misrepresentation of fact in order to influence a procurement or disposal process or the exercise of a contract to the detriment of the procuring entity or the tenderer or the contractor,  
 And includes collusive practices amongst tenderers 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.
  - c) Rejects a proposal or award<sup>1</sup> of a contract if PPRA determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
  - d) Pursuant to the Kenya's above stated Acts and Regulations, may sanction or debar or recommend to appropriate authority (ies) for sanctioning and debarment of a firm or individual, as applicable under the Acts and Regulations;
  - e) Requires that a clause be included in Tender documents and Request for Proposal documents requiring (i) Tenderers (applicants/proposers), Consultants, Contractors, and Suppliers and their Sub-contractors, Sub- consultants, Service providers, Suppliers, Agents personnel, permit the PPRA or any other appropriate authority appointed by Government of Kenya to inspect<sup>2</sup> all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the PPRA or any other appropriate authority appointed by Government of Kenya; and
  - f) Pursuant to Section 62 of the above Act, requires Applicants/Tenderers to submit along with their Applications/Tenders/Proposals a “Self-Declaration Form” as included in the procurement document declaring that they and all parties involved in the procurement process and contract execution have not engaged/will not engage in any corrupt or fraudulent practices.

### 3. FORM TECH-2: CONSULTANT'S ORGANIZATION AND EXPERIENCE

Form TECH-2: a brief description of the Consultant's organization and an outline of the recent experience of the Consultant that is most relevant to the assignment. In the case of a joint venture, information on similar assignments shall be provided for each partner. For each assignment, the outline should indicate the names of the Consultant's Key Experts and Sub-consultants who participated, the duration of the assignment, the contract amount (total and, if it was done in a form of a joint venture or a sub-consultancy, the amount paid to the Consultant), and the Consultant's role/involvement.

#### A - Consultant's Organization

Provide here a brief description of the background and organization of your company, and-in case of a joint venture-of each member for this assignment.

#### B - Consultant's Experience

1. List **ten (10)** previous similar assignments successfully completed in the last **10 years**.
2. List only those assignments for which the Consultant was legally contracted by the Procuring Entity as a company or was one of the joint venture partners. Assignments completed by the Consultant's individual experts working privately or through other consulting firms cannot be claimed as the relevant experience of the Consultant, or that of the Consultant's partners or sub-consultants, but can be claimed by the Experts themselves in their Curriculum Vitae (CV).
3. The Consultant shall substantiate their claimed experience by presenting copies of relevant documents such as the form of contract (not the whole contract), purchase order, service order, performance certificate, etc.; which shall be included in the proposal as part of *Form Tech 7 Mandatory Documentary Evidence*.

Assignment	Approx. value of the contract (Kshs.)
Country	Duration of assignment (months)
Name of procuring entity	Total no. of staff-months of the assignment
Contact address: Email	Approx. value of the services provided by your firm under the contract
Start date (month/year): Completion date:	No of professional staff-months provided by associated Consultants
Role on assignment e.g lead member	Name of senior professional staff of your firm involved and the functions performed
Narrative description of the assignment	

### 3. FORMTECH-3: COMMENTS AND SUGGESTIONS

Form TECH-3: The Consultant to provide comments and suggestions on the Terms of Reference, counterpart staff and facilities to be provided by the Procuring Entity that could improve the quality/effectiveness of the assignment; and on requirements for counterpart staff and facilities, which are provided by the Procuring Entity, including: administrative support, office space, local transportation, equipment, data, etc.

#### **A - On the Terms of Reference**

*{Improvements to the Terms of Reference, if any}*

#### **B - On Counterpart Staff and Facilities**

*{Include comments on counterpart staff and facilities to be provided by the Procuring Entity. For example, administrative support, office space, local transportation, equipment, data, background reports, etc., if any}*

#### 4. FORMTECH-4: DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN

Form TECH-4: a description of the approach, methodology and work plan in responding to the terms of reference for performing the assignment, including a detailed description of the proposed methodology and staffing for training, if the Terms of Reference specify training as a specific component of the assignment.

{The structure of your Technical Proposal:

- a) Technical Approach and Methodology
- b) Work Plan
- c) Organization and Staffing }

- i) Technical Approach and Methodology. {Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TORs), the technical approach, and the methodology you would adopt for implementing the tasks to deliver the expected output(s), and the degree of detail of such output. Please do not repeat/copy the TOR sin here.}
- ii) Work Plan. {Please outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Procuring Entity), and tentative delivery dates of their ports. The proposed work plan should be consistent with the technical approach and methodology, showing your understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule Form. }
- iii) Organization and Staffing. {Please describe the structure and composition of your team, including the list of the Key Experts, Non-Key Experts and relevant technical and administrative support staff. }

## FORM TECH-5: WORK SCHEDULE AND PLANNING FOR DELIVERABLES

- 1 List the deliverables with the breakdown for activities required to produce them and other benchmarks such as the Procuring Entity's approvals. For phased assignments, indicate the activities, delivery of reports, and benchmarks separately for each phase.
- 2 Duration of activities shall be indicated **in a form of a bar chart**.
3. Include a legend, if necessary, to help read the chart.



## 6. FORMT ECH- 6A: TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS' INPUTS

For key experts, the input should be indicated individually for the same positions as required under ITC data sheet 21.2. Months are counted from the start of the assignment/mobilization.

N°	Name	Expert's input (in person/month) per each Deliverable (listed in TECH-5)										Total time-input (in Months)			
		Position		D-1	D-2	D-3	.....	D-...				Home	Field	Total	
<b>KEY EXPERTS</b>															
K-1	{e.g., Mr. Abbbb}	[Team Leader]	[Home]	[2 month]	[1.0]	[1.0]									
			[Field]	[0.5 m]	[2.5]	[0]									
K-2															
K-3															
N															
											Subtotal				
<b>NON-KEY</b>															
N-1			[Home]												
			[Field]												
N-2															
N															
											Subtotal				
											Total				

1. For Key Experts, the input should be indicated individually for the same positions as required under the ITC Data Sheet 21.2
  2. Months are counted from the start of the assignment/mobilization. One (1) month equals twenty-two (22) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.
  3. "Home" means work in the office in the expert's country of residence. "Field" work means work carried out in Kenya, or outside the normal residence of the Expert in Kenya or any other country outside the expert's country of residence.
- Full time input
  Part time input

## 7. FORM TECH-6B: CURRICULUM VITAE (CV)

Position Title and No.	<i>{e.g., K-1, Team Leader}</i>
Name of Expert:	<i>{Insert full name}</i>
Date of Birth:	<i>{day/month/year}</i>
Country of Citizenship	

**Education:** *{List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained}*

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Employment record relevant to the assignment: *{Starting with present position, list in reverse order. Please provide dates, name of employing organization, titles of positions held, types of activities performed and location of the assignment, and contact information of previous Procuring Entity's and employing organization(s) who can be contacted for references. Past employment that is not relevant to the assignment does not need to be included.}*

Period	Employing organization and your title/position. Contact Infor for references	Country	Summary of activities performed relevant to the Assignment
[e.g., May 2011-present]	[e.g., Ministry of ....., advisor/consultant to...  For references: Tel...../e-mail.....; Mr. Bbbbbb, deputy manager]		

Membership in Professional Associations and Publications: \_\_\_\_\_

Language Skills (indicate only languages in which you can work):

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Adequacy for the Assignment:

Detailed Tasks Assigned on Consultant's Team of Experts:	Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks
{List all deliverables/tasks as in TECH-5in which the Expert will be involved}	

Expert's contact information : (e-mail.....)

phone.....) Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Procuring Entity, and/or sanctions by the PPRA.

{ day / month/year }

Name of Expert \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

{ day / month/year }

Name of authorized \_\_\_\_\_ Signature. \_\_\_\_\_ Date \_\_\_\_\_

Representative of the

Consultant (the same who

signs the Proposal

## 8. FORMTECH-7: MANDATORY SUPPORT DOCUMENTS

*[The Consultant shall use this form to submit all the required support documentary evidence as required in the RFP, especially the mandatory and eligibility criteria specified in the Data Sheet ITC 21.1]*

a) Certificate of Incorporation/Certificate of Registration

*{Insert here a copy of certificate of incorporation or registration}*

b) Tax Compliance Certificate

*{Consultant to insert a copy of the tax compliance certificate from Kenya Revenue Authority or similar body in the case of foreign consulting firms}*

c) Practice License or Certificate for the Firm

*{If required, Consultant to insert a copy of the firm's practice license or registration certificate issued by the professional body specified under Data Sheet ITC 21.1}*

d) Similar Consulting Assignments Experience

*{Consultant to insert here copies of the form of contract, purchase order, service order, and performance certificate or similar evidence of similar assignments carried out by the firm. The assignments shall be the same as those provided under FORM TECH 2B}*

e) Academic Certificates

*{Consultant to insert copies of the required relevant academic certificates relevant to the assignment for all the key experts}*

f) Professional Certificates

*{Consultant to insert copies of professional certificates and relevant short-term trainings to demonstrate professional qualifications for all the key experts}*

g) Professional Membership of Key Experts

*{If applicable, Consultant to insert copies of professional membership certificate for its key experts}*

h) Certificate of Independent Proposal Determination

*(The Form is available on Tech FORM TECH-1: TECHNICAL PROPOSAL SUBMISSION FORM).*

**FORM TECH - 8: SELF-DECLARATION FORMS**

**FORM SD1**

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

I, ..... of Post Office 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 the 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 deponed to here in above is true to the best of my knowledge, information and belief.

.....  
..... (Title) (Signature)  
(Date)

Bidder Official Stamp

**SELF DECLARATION THAT THE PERSON/TENDERER WILL NOT ENGAGE IN ANY CORRUPT OR FRAUDULENT PRACTICE- FORM SD2**

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 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 the 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..... (*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 deponed to herein above is true to the best of my knowledge information and belief.

.....

(Title)

Bidder's Official Stamp

.....

(Signature)

.....

...

(Date)

## DECLARATION AND COMMITMENT TO THE CODE OF ETHICS

I ..... (person) on behalf of (*Name of the Business/ Company/Firm*) ..... declare that I have read and fully understood the contents of the Public Procurement & Asset Disposal Act, 2015, Regulations and the Code of Ethics for persons participating in Public Procurement and Asset Disposal Activities in Kenya and my responsibilities under the Code.

I do here by commit to abide by the provisions of the Code of Ethics for persons participating in Public Procurement and Asset Disposal.

Name of Authorized signatory.....

Sign.....

Position.....

Office address.....

Telephone.....E-mail.....

Name of the Firm/Company.....

Date.....

*(Company Seal/ Rubber Stamp where applicable)*

Witness

Name .....

Sign.....

Date.....



## FORM TECH - 9: TENDER-SECURING DECLARATION FORM {r 46 and 155(2)}

[The Bidder shall complete this Form in accordance with the instructions indicated]

Date:.....[insert date (as day, month and year) of Tender Submission]

Tender No.:.....[insert number of tendering process]

To:.....[insert complete name of Purchaser]

I/We, the undersigned, declare that:

1. I / We understand that, according to your conditions, bids must be supported by a Tender-Securing Declaration.
2. I /We accept that I/we will automatically be suspended from being eligible for tendering in any contract with the Purchaser or the period of time of[insert number of months or years] starting on[insert date],if we are in breach of our obligation (s)under the bid conditions, because we–(a) have withdrawn our tender during the period of tender validity specified by us in the Tendering Data Sheet; or (b) having been notified of the acceptance of our Bid by the Purchaser during the period of bid validity,(i) fail or refuse to execute the Contract, if required, or (ii) fail or refuse to furnish the Performance Security, in accordance with the instructions to tenders.
3. I / We understand that this Tender Securing Declaration shall expire if we are not the successful Tenderer (s), upon the earlier of:
  - a) Our receipt of a copy of your notification of the name of the successful Tenderer; or
  - b) Thirty days after the expiration of our Tender.
4. I/We understand that if I am /we are/in a Joint Venture, the Tender Securing Declaration must be in the name of the Joint Venture that submits the bid, and the Joint Venture has not been legally constituted at the time of bidding, the Tender Securing Declaration shall be in the names of all future partners as named in the letter of intent.

Signed: .....

Capacity / title (director or partner or sole proprietor, etc.) .....

Name: .....

Duly authorized to sign the bid for and on behalf of: .....[insert complete name of Tenderer]

Dated on ..... day of ..... [Insert date of signing]

Seal or stamp

## **SECTION 4. FINANCIAL PROPOSAL - STANDARD FORMS**

*{Notes to Consultant shown in brackets {...} provide guidance to the Consultant to prepare the Financial Proposals; they should not appear on the Financial Proposals to be submitted.}*

Financial Proposal Standard Forms shall be used for the preparation of the Financial Proposal according to the instructions provided in Section 2.

FIN-1 Financial Proposal Submission

Form FIN-2 Summary of Costs

FIN-3 Breakdown of

Remuneration FIN-4

Reimbursable expenses

## FORM FIN-1: FINANCIAL PROPOSAL SUBMISSION FORM

..... {Location, Date}

To: ..... [Name and address of Procuring Entity]

Dear Sirs:

We, the undersigned, offer to provide the consulting services for..... [Insert title of assignment]

in accordance with your Request for Proposal dated..... [Insert Date] and our Technical Proposal.

Our attached Financial Proposal is for the amount of..... {Indicate the corresponding to the amount currency} {Insert amounts in words and figures}, including of all taxes in accordance with ITC24.2 in the Data Sheet. The estimated amount of local taxes is..... {Insert currency} {Insert amount in words and figures}.

{Please note that all amounts shall be the same as in Form FIN-2}.

Our Financial Proposal shall be valid and remain binding upon us, subject to the modifications resulting from Contract negotiations, for the period of time specified in the ITC12.1 Datasheet.

Commissions and gratuities paid or to be paid by us to an agent or any third party relating to preparation or submission of this Proposal and Contract execution, paid if we are awarded the Contract, are listed below:

Name and Address, Amount and Purpose of Commission of Agents, Currency or Gratuity

{If no payments are made or promised, add the following statement: "No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Proposal and Contract execution."}

We understand you are not bound to accept any Proposal you receive. We remain,

Yours sincerely,

---

Signature ..... (of Consultant's authorized representative) {In full and initials}: Full name:

..... {insert full name of authorized representative} Title:

..... {insert title/position of authorized

..... representative}

Name of Consultant..... (company's name or JV's name): Capacity: ..... {insert the

person's capacity to sign for the Consultant} Physical Address: ..... {insert the authorized representative's address}

Phone: ..... {insert the authorized representative's phone and fax number, if applicable} Email:

..... {insert the authorized representative's email address}

{For a joint venture, either all members shall sign or only the lead member/consultant, in which case the power of attorney to sign on behalf of all members shall be attached}

## FORM FIN-2: SUMMARY OF COSTS

Item	Cost			
	{Consultant must state the proposed Costs in accordance with ITC 16.4 of the Data Sheet; delete columns which are not used}			
	<i>{Insert Foreign Currency # 1}</i>	<i>{Insert Foreign Currency # 2, if used}</i>	<i>{Insert Foreign Currency # 3, if used}</i>	<i>{Insert Local Currency, if}</i>
Cost of the Financial Proposal				
Including:				
(1) Remuneration				
(2) Reimbursables				
Subtotal [Remuneration + Reimbursables]				
Taxes:				
{insert type of tax e.g., VAT or sales tax}				
{e.g., withholding tax on experts' remuneration}				
<i>{insert type of tax}</i>				
Total Taxes				
Total Cost of the Financial Proposal: {Should match the amount in Form FIN-1}				

## FORM FIN-3A: BREAKDOWN OF REMUNERATION

When used for Lump -Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for the calculation of the Contract's ceiling amount; to calculate applicable taxes at contract negotiations; and, if needed, to establish payments to the Consultant for possible additional services requested by the Procuring Entity. This Form shall not be used as a basis for payments under Lump-Sum contracts.

A. Remuneration_____								
No	Name	Position (as in TECH- 6)	Person-month Remuneration Rate	Time Input in Person/Month (from TECH-6)	{Currency # 1- as in FIN-2}	{Currency # 2- as in FIN-2}	{Currency# 3- as in FIN-2}	{Local Currency- as in FIN- 2}
Key Experts								
K-1			[Home]					
			[Field]					
K-2								
Non-Key Experts								
N-1			[Home]					
N-2			[Field]					
Total Costs								

## TERMS OF REFERENCE FOR PROVISION OF INFORMATION SECURITY CONSULTANCY SERVICES

### Background

The Unclaimed Financial Assets Authority (UFAA) is a State Corporation established pursuant to the Unclaimed Financial Assets Act 2011, Laws of Kenya. The primary mandate of the Authority is to receive unclaimed financial assets from holders of such assets, safeguard and re-unite the assets with their rightful owners. Specifically, the Authority is responsible for the following: -

1. Enforcing and generally administering the provisions of the Act.
2. Ensuring that holders of unclaimed financial assets surrender them to the rightful owners or to the Authority.
3. Carrying out inspection of unclaimed financial assets to ensure accurate reporting.
4. Ensuring that all relevant information on unclaimed financial assets is submitted to the Authority and maintained in a database.
5. Receiving all unclaimed financial assets required by the Act to be made to the Unclaimed Assets Trust Fund.
6. Assuming custody of the rights of unclaimed financial assets holders in respect of surrendered assets.
7. Locating and notifying owners of the unclaimed financial assets.
8. Making payments out of the Fund to the identified owners of unclaimed financial assets in accordance with the provisions of the Act.
9. Acting as the Trustee to the Fund in accordance with Part V of the Act.
10. Managing and investing the funds of the Authority.
11. Spearheading implementation of unclaimed financial assets policies and procedures.
12. Regulatory and oversight responsibility on matters relating to unclaimed financial assets.
13. Advising the Cabinet Secretary on matters relating to unclaimed financial assets.
14. Performing such other functions as are conferred on it by the Act or other written law.

### Scope

The Information Security consultant should conduct a study of the existing IT security infrastructure of Unclaimed Financial Assets Authority, review the same and submit complete design with recommendations to protect IT assets, data, information etc. across the Authority as per the best practices in the industry. The Information Security consultant shall guide, monitor, assist the Authority to ensure that its information assets are adequately protected on continuous basis from a variety of threats such as error, fraud, sabotage, extortion, espionage, privacy violation, phishing attacks, DDos, email spoofing, Dos, service interruption and natural disaster etc.

Information Security consultant shall plan each stage in consultation with the Authority and submit their reports / observations / compliance in mutually agreed and time bound manner. After every stage the consultant shall check with the Authority for appropriateness of the observations / reports, before proceeding to the next stage.

## Detailed Scope of Work

The consultant shall monitor, advise, and review the Authority's Information Security and ensure its completeness, accuracy and ability to mitigate the IS risks in various IT operations of the Authority as per the Information Security practices / benchmarks.

The scope of work is divided into following major parts –

1. Study, review, recommend and implement Information Security Policy, Business Continuity Plan (BCP) and other policies and procedures related to information security.
2. Review and recommend Information Security Investments
3. Develop an Information Security Plan
4. Review and recommend improvements to Business Continuity Plan (BCP) and Disaster Recovery Plan (DRP)
5. Review Management Procedures and Controls
6. Information security Risk Management
7. Information Security Product Selection and Evaluation
8. Conduct Trainings and Awareness Function for users at various levels
9. Ongoing Managed Security Services
10. Complete assistance to maintain, automate and ensure successful surveillance audit on ISO/IEC 27001:2013 for the Authority and to transition to ISO/IEC 27001:2022
11. Mitigating Phishing, Pharming, Trojans, Spyware, Malware etc. attacks
12. Monitoring of Authority's Websites for Malicious Mobile Codes

### **1. Study, Review, Recommend and Implement Information Security Policy, BCP and other policies and procedures.**

The Authority has already developed Information Security Policy and Procedures. The Consultant should consider the said policy and procedures as a base document for further improvement.

- The Consultant shall also ensure that the Information Security related policies and procedures are reviewed on periodical basis to address latest trends, best practices, regulations and business requirement of the Authority.
- Information Security related policies means Information Security Policy, BCP/DR Plan, Data Archival Policy and other such policies which are related to maintaining Information Security and Privacy in the Authority.

### **2. Review and recommend Information Security Investments**

The Consultant shall conduct a study of Information Security posture at Authority's location namely Primary Data Center and the Disaster Recovery Site and shall submit detailed report to the Authority. The Consultant shall also consider the following:

- Guidelines and recommendations issued by the Government, ICT Authority standards, ISO 27001 or higher international standards, regulations and legislations.
- IT security goals, policies, procedures, standards, controls and privacy plans
- Other associated documents.



### 3. Develop an Information Security Plan

The Consultant shall conduct Application Security Audit (Grey Box and White Box Testing) Penetration Testing of applications using the latest tools and technologies.

The Consultant shall develop and implement system security plan and procedures for the following.

- All applications e.g. Microsoft Navision ERP and any other applications procured by the Authority during the contract period.
- Local Area Network (LAN) infrastructure
- Public facing applications such as the website, mobile application etc.

The Consultant shall assess Risk of such systems and processes followed and recommend solutions to mitigate vulnerabilities/risks, provide measures to secure the systems and ensure compliance of the same.

### 4. Review and recommend improvements to Business Continuity Plan (BCP) and Disaster Recovery Plan (DRP)

The Consultant shall review Authority's Business Continuity Plan of critical systems and status of its implementation and recommend improvements, best amongst the industry and in line with international standards like those followed by Business Continuity Management Institute.

#### a) Review BCP

The Consultant shall review the recent BCP for user involvement, practical application, backup and recovery, thoroughness, and correctness etc. including reviewing the recent test plans and analyze the test results where they exist, identify the deficiencies, and recommend corrective actions into the plan.

The Consultant shall review current BCP procedures and evaluate their effectiveness on the continuity of operations of the Authority's systems processing or holding sensitive data. The review shall include adequate protection to human lives, limit damage, and maintain the ability to deliver essential services and operations.

The Consultant shall also plan and conduct disaster recovery drills (both planned and unplanned).

#### b) Evaluate Disaster Recovery Plan

The Consultant shall evaluate the DRP to determine its ability to deliver sustained operations for the period envisioned covering required levels of security to see that they continue to remain in force throughout the process of recovery, temporary operations, and move back to the original processing site or to the new processing site. The Consultant shall prepare a DRP evaluation report including recommendations and improvements.

### 5. Review Management Procedures and Controls

The Consultant shall examine the management procedures that support information security. This includes a study of the Authority's governance structure, authorities, responsibilities, and the separation of functions. This list shall, at a minimum, include the following: -

- Written policies and operating procedures
- Standards, Records / Log files & Audits /Testing

- Error and discrepancy reporting procedures
- Organization and reporting hierarchy, including proper separation of duties.
- Development and implementation of security awareness and trainings

## 6. Information security Risk Management

### a) Review Risk Assessment and Security Plan

The Consultant shall prepare / review Authority's Information Risk Management process of all information assets operational at the Authority and prepare a report documenting this review. The Consultant shall deliver the Risk Assessment and Security Plan Report to the Authority.

### b) Select Risk Assessment Methodology for information security.

The Authority may provide a specific risk assessment methodology or tool to be used. If the Authority does not provide a methodology or tool, then this task should be performed by the Consultant. The Consultant shall develop/select/shortlist suitable methodologies and help the Authority to determine a technique for estimating the risk of Information Assets. The risk assessment methodology should be selected, based on ISO/IEC 27001:2013

### c) Perform Risk Assessment

The Consultant shall collect the data required to support the risk assessment methodology and perform the risk assessment of Authority's ISO/IEC 27001:2013 certification on a quarterly basis. Minimum requirements for the risk assessment task will be:

- Threat identification
- Vulnerability identification
- Control analysis
- Likelihood determination
- Impact analysis
- Risk determination
- Control recommendations
- Results documentation.

The Consultant shall submit Information Risk Assessment Report as per the selected methodology after completion of the exercise.

### d) Develop a Risk Mitigation Plan

The Consultant shall develop procedures to mitigate the risks identified in the risk assessment plan. The plan shall include the following:

- A recommended priority of actions
- Evaluation of recommended control options
- Cost-benefit analysis
- Safeguard implementation plan
- Determination of residual risk.

The Consultant shall deliver an Information Risk Mitigation Report to the Authority and ensure that the Risk Mitigation recommendations are implemented properly at locations covering information assets operational under ISMS Scope.

## **7. Information Security Product Selection and Evaluation**

The Consultant shall help the Authority to determine the security features of information security products and their appropriateness in the Authority's setup. This includes assisting the Authority's staff in preparation of TORs for procurement of security products and security services.

## **8. Conduct Trainings and Awareness Function for users at various levels**

The Consultant shall conduct monthly trainings on Information Security to the staff of the Authority. The consultant shall make use of a computer-based awareness solution to ensure that staff working remotely are continuously trained on information security and that progress is tracked through periodic tests and quizzes.

## **9. Ongoing Managed Security Services**

As a part of the Managed Security Services (hereinafter called as MSS) the Consultant shall be responsible for monitoring, management, mitigating against attacks and administration of Information Security on 24 x 7 x 365 basis centrally from Authority's premises. The Consultant shall leverage events / logs generated by the networking and security devices / tools / software installed / to be installed by the Authority.

**N.B.** As Information Security needs to be upgraded on an ongoing basis, Authority shall not pay any additional charges for management of new equipment.

The Consultant shall always ensure the Confidentiality, Integrity, and Availability (CIA) of Authority's Data. To achieve this, the Consultant shall take proactive measures to guide, assist and implement global best practices to improve/strengthen Authority's Information Security position.

The Consultant should correlate logs generated by Operating Systems, RDBMS, Networking and Security equipment, AV System and analyze them to derive the logical conclusion of the security incident.

The Authority may install related security equipment like Firewalls, IPS, Patch Management, access control, Biometric access solutions and other solutions to secure the ICT Infrastructure etc. The Consultant shall be expected to use them to report, manage and investigate the incidents observed / generated / reported by these equipment / tools.

### **i. The Broad scope of MSS – The ongoing MSS includes following:**

#### **a) Monitoring and Management of Security devices**

Total responsibility to ensure availability of all security devices in up and running condition, their other aspects like Installation, De-Installation, Configuration, Re-configuration, relocation (within the listed locations), enhancements, updates, upgrades, bug fixes, problem analysis, performance analysis, audits, user profile management, root cause analysis, on-site support but excluding physical maintenance.

The Consultant shall review existing and future SLAs of the Authority with Service Providers / System Integrators/Network Integrators providing services to the Authority and recommend measures to improve the service levels.

**b) Security Audit and its compliance**

The Consultant shall conduct the Vulnerability Assessment (VA), Penetration Testing (PT) and Device Level Audit (DLA) of Information Assets operational in the Authority's and ensure time bound compliance of observations in coordination with Authority's staff.

**c) Patch Management –**

The Consultant shall ensure that all the ICT equipment both at the Primary and Disaster Recovery Site and others as specified by the Authority from time to time, are patched up with latest updates / upgrades issued by the OEMs. The Authority may deploy Patch Management Solution at the Authority at their own cost; the Consultant shall use the same for overall patch management and necessary reporting to the Authority.

**d) Management Advisory and Reporting**

The Consultant shall proactively inform Management on Security advisories, global threats, vulnerabilities, alerts, and alarms released by OEMs and reputed independent agencies which are related to the Authority's information assets infrastructure.

**e) Database Activity monitoring**

UFAA has implemented Imperva database activity monitoring tool. The DAM Platform is able to audit not only database user activity but also application users when applications (such as Microsoft Dynamics) are connected to the database with a single database user. The comprehensive interface and flexible rules make it easy to define monitoring policies for separate database objects. This is also expected to be monitored on a day-by-day basis and form part of the weekly reports.

**ii. Information Security Consultant Service Level Matrix for MSS**

The Consultant shall ensure that the deliverables mentioned hereunder are within the resolution time mentioned against each of the deliverable.

**a) Hardware / Software Maintenance Coordination**

No.	Description / Deliverable / Action	Maximum resolution & reporting time
-----	------------------------------------	-------------------------------------

1	Inform the Authority of Hardware / software system failure of Security equipment / tools. Provide detailed explanation of outage whether the same is due to hardware or software or due to wrong configuration failure and its likely impact on the security posture of the Authority. As on date Authority is using Security tools for monitoring and reporting security incidents. The Bidder shall submit the incident details immediately thereafter submit the RCA.	Immediately.
2	Assist the Authority to draw conclusion on resumption of services by the failed hardware which is replaced / restored or of which workaround solution is given by supplier.	Immediately after the failed hardware is replaced /
3	Review Authority's existing SLAs entered and assist for new SLAs as and when entered with System Integrators/Service Providers/Network Integrators and recommend measures to improve the Service Level Agreements (SLAs).	72 Hours.
4	Track AMCs of hardware / software related to Security setup like Firewalls, IPS, Antivirus etc.	Proactive basis.

#### b) Version Maintenance

No.	Description / Deliverable / Action	Maximum resolution & reporting time
1	Maintain the record of versions of OS, IOS, Firmware, Signatures, Upgrades / updates etc. existing in ICT equipment.	Daily
2	Keep track of latest versions of OS, IOS, Firmware, Signatures, Upgrades, Updates, Patches etc. of security devices / tools / software, Antivirus published by OEMs. Inform the Authority on availability of new upgrades, signatures etc. as above.	Daily
3	Inform the Authority on delay on installation of above upgrades, signatures etc. by the hardware / software supplier.	Proactive basis.
4	Study performance of hardware / software after installation of upgrades, signatures etc. as above. Assist the Authority to draw the conclusion that the hardware / software is performing at its optimum level after implementation of above upgrades, signatures etc.	24 Hrs.
5	Prepare Change Management documents in association with hardware / software supplier & Authority team on above.	Before undertaking such change / activity.

6	Ensure that the latest backup of installation, Configuration or setup is available before upgrades or deployment of signatures etc.	Proactive. Before installation of such upgrades, signatures etc.
7	In case of malfunctioning of Information Security Equipment due to installation of upgrades, signatures etc., ensure that the hardware / software supplier roll backs the configuration to previous stable state using latest backup.	24 Hrs.

### c) Routine Management

No.	Description / Deliverable / Action	Maximum resolution & reporting time
1	Create, update, and delete access control rules, groups, and policies in security devices after obtaining approval from the Authority.	Immediately.
2	Quarterly review of rules, policies etc. of security devices and recommend optimization of the same.	One Week after each quarter.
3	Carry out Device Level Audit (DLA), Penetration Testing (PT) on Security & Network Devices on Quarterly basis using tools requested by the Authority and submit the report within a week.	Within a week after request by Authority.
4	Maintain central repository of all logs in accordance with the Authority and Service Levels. Recommend techniques and procedures for maintainability of such logs.	Daily.
5	Daily analysis of logs generated by Antivirus systems at PDC & DRS and alerts the Authority if there is any security concern as also non-updating of daily definition files.	Daily.
6	Daily analysis of all security logs of Security equipment. Draw meaningful conclusion and provide recommendations so that security posture is maintained at highest level.	Daily

### d) Security Device's Configuration Backup.

No.	Description / Deliverable / Action	Maximum resolution & reporting time
1	Assist in taking up backup of the OS, signatures, policies, routing tables, logs etc. With configuration files of security devices. Maintain Backup register. As on date Authority is using manual process for the same.	Daily.

2	Assist in review backup plans for each site on quarterly basis. Review backup configuration and business continuity procedures to be followed in the event of security devices failure.	One week after quarter end.
3	Assist to conduct recovery exercise of above backup on quarterly basis. Maintain recovery exercises success/failure results.	One week after Quarter end.

#### e) Security Devices' Monitoring & Reporting

No.	Description / Deliverable / Action	Maximum resolution & reporting time
1	Assist in ensuring security devices availability, utilization (CPU, RAM, HDD, Sessions) violation alerting.	Daily.
2	Assist to collect, monitor & analyze all logs and incidents reported by the security devices.	Daily.
3	Inform the Authority on any security events, presence of virus/worms/malicious code, unauthorized activity / access, source of breach, vulnerability that may lead to security breach into the Authority's environment.	Daily.
4	Remediation and closure of above alerts & events with logical conclusion acceptable to the Authority. The Information security consultant should keep close liaison with Authority and other hardware / software vendors for the same.	Daily.

The Authority has implemented Security Information and Event Management system (FORTISIEM), and the Consultant shall use the SIEM for all purposes like monitoring of all logs, analysis & correlation of logs, incident management, troubleshooting i.e. end to end management of security incidents. The Consultant shall assist the Authority in, maintaining the SIEM across the Authority and use all functionalities of SIEM as desired by the Authority.

#### f) Recommendations, Advisories and Alerts on security issues –

No.	Description / Deliverable / Action	Maximum resolution & reporting time
1	Identification of evolving vulnerabilities and threats to IT infrastructure assets deployed in the Authority and recommendations with implementations of mitigation plans/procedures. This includes –Top attack sources, Top attack targets, Vulnerabilities, Attack forms, Worms & Viruses etc.	Daily.



2	Provide infrastructure security planning, design/redesign, analysis, recommendations for installation and upgrade on quarterly basis.	One week.
3	Alert the Authority on various patches published / issued by OEMs like Windows, Sun Solaris, Linux, Oracle etc. Correlate them with Authority's setup and recommend their appropriate implementation.	Immediately on release by OEMs / CERT-In, and other reputed agencies.
4	Alert the Authority on patches of antivirus issued by OEM and ensure that they are implemented in the Authority. Liaison with the vendor to ensure that the antivirus solution is kept most updated with latest patches.	Daily.
6	Recommend enterprise Service component management tools to further enhance the service deliverables for security Incidents, Problems, issues, and events on quarterly basis.	One week.
7	Conduct technical reviews on quarterly and provide recommendations for improvements to the infrastructure that increase efficiency & effectiveness of security and reduce costs in accordance with planning & analysis.	One week

**g) Other ongoing Security Management –**

No.	Description / Deliverable / Action	Maximum resolution & reporting time
1	Conduct vulnerability Assessment (VA is to be conducted on half yearly basis) on Servers, Operating Systems, Databases and business applications and Device Level Audit (DLA), Penetration Testing (DLA, PT to be conducted on quarterly basis) on all public facing servers. Assisting the Authority in early compliance of audit observations in co-ordination with Authority's team.	One week.
2	Quarterly review of capacity planning of security devices. Details of underutilized and over utilized security devices. Recommend plan to scale up/procure/upgrade the over utilized security devices.	Quarterly
3	Prepare complete documentation including detailed network and security setup diagram and architecture on quarterly basis on layout security setup deployed at various points.	Quarterly

4	Review corporate security and network setup and recommend enhancements/changes that can enhance the security posture and/or add business value to the delivery framework.	Daily.
5	Involve onsite officials of the Authority while doing every/any change in the rules, policies, setting, signatures in Routers, Firewall, IPS, Antivirus etc. (like onsite training)	Daily.
6	Performance monitoring, management & reporting activities like identification of security breaches and cybercrimes like hacking, social engineering, phishing etc. on Authority's websites / portals.	Daily
7	Assist and guide the Authority to setup SIEM driven SOC (Security Operations Centre). The Authority may initiate this project at its discretion once the Information Security Consultant is appointed.	As and when asked by the Authority.
8	Participate in technical and business meetings as and when requested by the Authority to give inputs and recommendations in respect to security issues.	As and when requested by Authority.
9	Maintain and provide the Authority with a copy and/or access to any vendor supplied security documentation (including updates)	As and when desired by Authority.

### **Incident Management and Investigation**

- The Consultant shall manage and investigate all the security related incidents detected at Authority's PDC and DRS including incidents outside above locations as and when desired by the Authority. Co-ordinate with third parties to take the investigation to its logical conclusion and satisfaction to the Authority.
- The Consultant shall follow the methodology of detection, containment, eradication, recovery and follow-up or better methodology accepted by the Authority to manage and investigate information security incidents.

**N.B** the Consultant should not ask the Authority to provide specialized hardware or software for investigation of the incidents; instead, the same should be arranged by the Consultant as may be required to investigate specific incident.

- The Consultant shall submit detailed report on Incident and Investigation to the Authority which should consist of observations, outcome of the investigation and recommendations so that the same incident does not occur again.
- The Consultant shall assist the Authority in all legal matters in respect of Information Security / cybercrime related incidents and investigations.

#### **10. Complete assistance to maintain, automate and ensure successful surveillance audit on ISO/IEC 27001:2013 for the Authority and to assist in transition to ISO/IEC 27001:2022**

The Authority has already implemented the ISO/IEC 27001:2013 standard and automated the same using ISOROBOT. The same is supposed to be maintained or unless otherwise stated the successful bidder can come up with another software but should not be limited to the following features.

- User Profile and Hierarchy Creation
- Confidentiality, Integrity & Availability
- Interaction Tracking
- User Activity Monitoring
- Compliance Management
- Uptime Monitoring
- Centralized Process
- Asset Inventory
- Structured and Systematic Continuity
- Strategic Planning
- Robust Emergency and Crisis Management System
- Ticket Management
- One year subscription for 5 User Licenses
- Analytics Platform & Dashboard
- Real-time reporting system

The Information Security Management System maintenance shall comprehensively address all security requirements in terms of Confidentiality, Integrity, and Availability (CIA) of information as per ISO/IEC 27001:2013 standards and the successful bidder is supposed to assist in transitioning to ISO /IEC 27001:2022 certification during its next recertification Audit.

The Consultant shall assist in improving the existing management system using an automation tool that can be used to automate, at the very least; the SOA, Documentation, Risk assessment and treatment, Internal audits, Management review and produce graphic reports and dashboards.

Bidder shall also be expected to perform quarterly reviews of the implementation of the ISMS standard and are also expected to undertake at least one ISO/IEC 27001:2013 internal Audit.

#### **11. Mitigating Phishing, Pharming, Trojans, Spyware, Malware etc. attacks**

- a) The consultant should assist in proactively monitoring, detecting, and successfully closing to the satisfaction of the Authority the following incidents.
  - Phishing attempts
  - Pharming attempts
  - Trojans
  - Malware
  - Spoofed email IDs that may be used for sending mails to the customers of the Authority.
  - Impersonation attacks
  - Interception attacks
- b) Monitoring of compromised servers for forensic information related to Authority's customers till the primary incident is closed. Provide complete forensic details to the Authority.

- c) The consultant shall ensure resolution of Phishing, Pharming, Trojans, Malwares related incidents within 4 hours once it is reported by any staff of the Authority, mail recipient, customer or noticed by the consultant.
- d) Once the phishing site is taken down, the IP and domain name where it was hosted should be kept under continuous supervision so that the phishing site on the same IP and with the same domain name does not resurface.
- e) The consultant should monitor spam traps to detect phishing emails and stop spam email delivery within 4 hours when informed by the Authority, email recipient or noticed by the consultant.
- f) The consultant should assist to handle (monitor, detect and block) proactively all kinds of frauds and simultaneously update with new frauds that may keep on coming. The consultant will have to provide countermeasures/solutions for all existing frauds as well as frauds that may come soon.
- g) The consultant should report incident through all modes of communication that should include email, phone calls, SMS and dashboard. Details of compromised accounts should be shared immediately with the Authority.
- h) The Consultant should have the capability to ensure fast closure of the incident. Contacts with Browser vendors, ISP (Internet Service Provider) and third parties are a must in this case.
- i) The Consultant should provide support during legal proceedings to the Authority in the form of communication with CERT/Cyber Crime Cells (with special permission from the Authority). Technical support must be available to the Authority all the time.
- j) The Consultant should have forensic capability to ensure the following functionalities:
  - Comprehensive analysis of the incident
  - Extraction of critical data found during investigation and analysis
  - Store data for any future reference
- k) The Consultant should provide advisory services to the Authority in the form of
  - Advisories on online threats
  - White papers
  - Information on critical vulnerabilities
  - Review calls
  - Intelligence alerts
  - Presentations etc.
- l) The Consultant should meet all the parameters defined in "Resolution Time" section of this RFP and maintain consistent performance.
- m) The Consultant should ensure that the analysis conducted for any incident must support the following:
  - Underground intelligence analysis
  - Correlation of all attacks and underground intelligence
  - Capability to share and disseminate information on fraud related activities with members (May be a part of information sharing network such as Internet Relay Chat, Anti Phishing Work Group etc.)
  - Intelligence gathered should be coordinated and collaborated with other intelligence gathering groups/ teams/ organizations.
- n) The Consultant should monitor internet and take immediate action to close the incident of a web referrer tool any brand abuse of the Authority.
- o) The Consultant must ensure compliance of regulatory guidelines issued by National and International regulatory bodies.

## **12. Monitoring of Authority's Websites for Malicious Mobile Codes**

1. Monitor the Authority's customer facing Corporate Website on 24x7x365 basis. i.e.  
<https://www.ufaa.go.ke>

2. The consultant should alert Authority within 30 minutes from the time of detection of malicious code (MMC) infection/injection like frame, Trojan, cross site scripting, viruses, worms etc.
3. The consultant should inform the Authority within 30 minutes of any Code injection attempt / attack on above websites.
4. The consultant should manage incidents for MMC infection / injection including solution, coordination for recovery in shortest possible time.
5. The consultant should provide recommendation exclusive to the Authority's setup (and not generic one) for mitigating the attempt / attack within 30 minutes of such attempt / attack.

### **Communication**

The consultant will be required to update the ICT department and other project team members on a regular basis by holding a monthly meeting. Also, the consultant will be required to provide Vulnerability Tracker reports every 2 weeks as per the Authority's infrastructure with information on Common Vulnerability Scoring System (CVSS) score, risk rating, vulnerability description, remediation steps and references about vulnerability.

### **Duration**

The consultant will be required to support the Authority for a duration of one (1) year from the effective date of the contract and shall be renewed for a further one-year subject to satisfactory performance.

### **Payment Schedule**

Payments will be made quarterly (25% per quarter) in equal instalments and within 30 days of invoice approval.

All invoices should be accompanied by quarterly reports detailing the below deliverables

1. User access review report for all systems
2. Information security risks and risk treatment plan
3. Performance of ISMS
4. Information security awareness training
5. Device level audit report
6. Network security architecture report
7. Security monitoring and management
8. Vulnerability assessment and penetration testing report

**SECTION 6: CONDITIONS OF CONTRACT AND CONTRACT  
FORMS CONTRACT FOR CONSULTANT'S SERVICES**

Lump-Sum          Contract

Consulting Services for: \_\_\_\_\_

Contract No.: \_\_\_\_\_

Contract Description: \_\_\_\_\_

Between

\_\_\_\_\_ *[Name of the Procuring Entity]*

And \_\_\_\_\_ *[Name of the Consultant]*

Date: \_\_\_\_\_

## FORM OF CONTRACT - LUMP-SUM

*(Text in brackets [ ] is optional; all notes should be deleted in the final text)*

This CONTRACT (herein after called the “Contract”) is made the *[number]* day of the month of *[month]*, *[year]*, between, on the one hand, *[name of Procuring Entity]* (herein after called the “Procuring Entity”) and, on the other hand, *[name of Consultant]* (herein after called the “Consultant”).

*[If the Consultant consists of more than one entity, the above should be partially amended to read as follows: “... (hereinafter called the “Procuring Entity”) and, on the other hand, a Joint Venture (name of the JV) consisting of the following entities, each member of which will be jointly and severally liable to the Procuring Entity for all the Consultant's obligations under this Contract, namely, [name of member] and [name of member] (herein after called the “Consultant”).]*

### WHEREAS

- a) The Procuring Entity has requested the Consultant to provide certain consulting services as defined in this Contract (herein after called the “Services”);
  - b) the Consultant, having represented to the Procuring Entity that it has the required professional skills, expertise and technical resources, has agreed to provide the Services on the terms and conditions set forth in this Contract;
  - c) the Procuring Entity has set aside a budget and funds toward the cost of the Services and intends to apply a portion of these funds towards payments under this Contract;
- NOW THEREFORE the parties hereto hereby agree as follows:

1. The following documents attached here to shall be deemed to form an integral part of this Contract:
  - a) The General Conditions of Contract;
  - b) The Special Conditions of Contract;
  - c) Appendices:
    - Appendix A: Terms of Reference
    - Appendix B: Key Experts
    - Appendix C: Breakdown of Contract Price
    - Appendix D: Form of Advance Payments Guarantee

In the event of any inconsistency between the documents, the following order of precedence shall prevail: The Special Conditions of Contract; the General Conditions of Contract; Appendix A; Appendix B; Appendix C; Appendix D. Any reference to this Contract shall include, where the context permits, a reference to its Appendices.

2. The mutual rights and obligations of the Procuring Entity and the Consultant shall be asset for thin the Contract, in particular:
  - a) The Consultant shall carryout the Services in accordance with the provisions of the Contract; and
  - b) the Procuring Entity shall make payments to the Consultant in accordance with the provisions of the Contract.

IN WITNESS WHERE OF, the Parties here to have caused this Contract to be signed in their respective names as of the day and year first above written.

For and on behalf of .....*[Name of Procuring Entity] [Authorized Representative of the Procuring Entity–name, title and signature]*

For and on behalf of..... *[Name of Consultant or Name of a Joint Venture] [Authorized Representative of the Consultant–name and signature]*

*[Note: For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached.]*

For and on behalf of each of the members of the Consultant..... *[Insert the Name of the Joint Venture] [Name of the lead member]*

*[Authorized Representative on behalf of a Joint Venture] [Add signature blocks for each member if all are signing]*



## **SECTION 7: GENERAL CONDITIONS OF CONTRACT**

### **A. General Provisions**

#### **1. Definitions**

- a) Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:
- b) “Applicable Law” means the laws and any other instruments having the force of law in Kenya.
- c) “Consultant” means a legally-established professional consulting firm or entity selected by the Procuring Entity to provide the Services under the signed Contract.
- d) “Contract” means the legally binding written agreement signed between the Procuring Entity and the Consultant and which includes all the attached documents listed in its paragraph 1 of the Form of Contract (the General Conditions (GCC), the Special Conditions (SCC), and the Appendices).
- e) “Procuring Entity” means the Procuring Entity that signs the Contract for the Services with the selected Consultant.
- f) “Day” means a working day unless indicated otherwise.
- g) “Effective Date” means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.
- h) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or JV member(s) assigned by the Consultant to perform the Services or any part thereof under the Contract.
- i) “Foreign Currency” means any currency other than the currency of Kenya.
- j) “GCC” mean these General Conditions of Contract.
- k) “Government” means the government of Kenya.
- l) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of more than one entity where one member has the authority to conduct all businesses for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Procuring Entity for the performance of the Contract.
- m) “Key Expert(s)” means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose Curricula Vitae (CV) was taken into account in the technical evaluation of the Consultant's proposal.
- n) “Local Currency” means the Kenya Shillings, the currency of Kenya.
- o) “Non-Key Expert(s)” means an individual professional provided by the Consultant or its Sub-consultant to perform the Services or any part here of under the Contract.
- p) “Party” means the Procuring Entity or the Consultant, as the case may be, and “Parties” means both of them.
- q) “SCC” means the Special Conditions of Contract by which the GCC may be amended or supplemented but not over-written.

- r) “Services” means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.
- s) “Sub-consultants” means an entity to whom/which the Consultant subcontracts any part of the Services while remaining solely liable for the execution of the Contract.
- t) “Third Party” means any person or entity other than the Government, the Procuring Entity, the Consultant or a Sub-consultant.

## **2. Relationship between the Parties**

- 2.1 Nothing contained herein shall be construed as establishing a relationship of master and servant or of principal and agent as between the Procuring Entity and the Consultant. The Consultant, subject to this Contract, has complete charge of the Experts and Sub-consultants, if any, performing the Services and shall be fully responsible for the Services performed by them or on their behalf hereunder.

## **3. Law Governing Contract**

- 3.1 This Contract, its meaning and interpretation, and the relation between the Parties shall be governed by the Laws of Kenya.

## **4. Language**

- 4.1 This Contract has been executed in the English language, which shall be the binding and controlling language for all matters relating to the meaning or interpretation of this Contract.

## **5. Headings**

- 5.1 The headings shall not limit, alter or affect the meaning of this Contract.

## **6. Communications**

- 6.1 Any communication required or permitted to be given or made pursuant to this Contract shall be in writing in the English Language. Any such notice, request or consent shall be deemed to have been given or made when delivered in person to an authorized representative of the Party to whom the communication is addressed, or when sent to such Party at the address specified in the SCC.
- 6.2 A Party may change its address for notice here under by giving the other Party any communication of such change to the address specified in the SCC.

## **7. Location**

- 7.1 The Services shall be performed at such locations as are specified in Appendix A hereto and, where the location of a particular task is not so specified, at such locations, whether in Kenya or elsewhere, as the Procuring Entity may approve.

## **8. Authority of Member in Charge**

- 8.1 In case the Consultant is a Joint Venture, the members hereby authorize them ember specified in the SCC to act on their behalf in exercising all the Consultant's rights and obligations towards the Procuring Entity under this Contract, including without limitation the receiving of instructions and payments from the Procuring Entity.

## **9. Authorized Representatives**

- 9.1 Any action required or permitted to be taken, and any document required or permitted to be executed under this Contract by the Procuring Entity or the Consultant may be taken or executed by the officials specified in the SCC.

## **10. Corrupt and Fraudulent Practices**

10.1 The government requires compliance with its policy regarding corrupt and fraudulent/prohibited practices as set forth in its laws and policies.

**10.2 Commissions and Fees-**The Procuring Entity requires the Consultant to disclose any commissions, gratuities or fees that may have been paid or are to be paid to agents or any other party with respect to the selection process or execution of the Contract. The information disclosed must include at least the name and address of the agent or other party, the amount and currency, and the purpose of the commission, gratuity or fee. Failure to disclose such commissions, gratuities or fees may result in termination of the Contract by the Procuring Entity and/or sanctions by the PPRA.

## **B. Commencement, Completion, Modification and Termination of Contract**

### **11 Effectiveness of Contract**

11.1 This Contract shall come into force and effect on the date (the “Effective Date”) of the Procuring Entity's notice to the Consultant instructing the Consultant to begin carrying out the Services. This notice shall confirm that the effectiveness conditions, if any, listed in the SCC have been met.

### **12 Termination of Contract for Failure to Become Effective**

12.1 If this Contract has not become effective within such time period after the date of Contract signature as specified in the SCC, either Party may, by not less than twenty-two (22) days written notice to the other Party, declare this Contract to be null and void, and in the event of such a declaration by either Party, neither Party shall have any claim against the other Party with respect thereto.

### **13 Commencement of Services**

13.1 The Consultant shall confirm availability of Key Experts and begins carrying out the Services not later than the number of days after the Effective Date specified in the SCC.

### **14 Expiration of Contract**

14.1 Unless terminated earlier pursuant to Clause GCC19 hereof, this Contract shall expire at the end of such time period after the Effective Date as specified in the SCC.

### **15 Entire Agreement**

15.1 This Contract contains all covenants, stipulations and provisions agreed by the Parties. No agent or representative of either Party has authority to make, and the Parties shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth herein.

### **16 Modifications or Variations**

16.1 Any modification or variation of the terms and conditions of this Contract, including any modification or variation of the scope of the Services, may only be made by written agreement between the Parties. However, each Party shall give due consideration to any proposals for modification or variation made by the other Party.

### **17 Force Majeure**

#### **a. Definition**

17.1 For the purposes of this Contract, “Force Majeure” means event which is beyond the reasonable control of a Party, is not foreseeable, is unavoidable, and makes a Party's performance of its obligations hereunder impossible or so impractical as reasonably to be considered impossible under the circumstances, and subject to those requirements, includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action confiscation or any other action by Government agencies.

17.2 Force Majeure shall not include (i) any event which has been caused by the negligence or intentional action of a Party or such Party's Experts, Sub-consultants or agents or employees, nor (ii) any event

which a diligent Party could reasonably have been expected to both take into account at the time of the conclusion of this Contract and avoid or overcome in the carrying out of its obligations hereunder.

17.3 Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

**b. No Breach of Contract**

17.4 The failure of a Party to fulfill any of its obligations hereunder shall not be considered to be a breach of, or default under, this Contract in so far as such inability arises from an event of Force Majeure, provided that the Party affected by such an event has taken all reasonable precautions, due care and reasonable alternative measures, all with the objective of carrying out the terms and conditions of this Contract.

**c. Measures to be taken**

17.5 A party affected by an event of Force Majeure shall continue to perform its obligations under the Contract as far as is reasonably practical and shall take all reasonable measures to minimize the consequences of any event of Force Majeure.

17.6 A Party affected by an event of Force Majeure shall notify the other Party of such event as soon as possible, and in any case not later than fourteen (14) calendar days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give written notice of the restoration of normal conditions as soon as possible.

- a) Any period within which a Party shall, pursuant to this Contract, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.
- b) During the period of their inability to perform the Services as a result of an event of Force Majeure, the Consultant, upon instructions by the Procuring Entity, shall either:
- c) demobilize, in which case the Consultant shall be reimbursed for additional costs they reasonably and necessarily incurred, and, if required by the Procuring Entity, in reactivating the Services; or
- d) Continue with the Services to the extent reasonably possible, in which case the Consultant shall continue to be paid under the terms of this Contract and be reimbursed for additional costs reasonably and necessarily incurred.

17.7 In the case of disagreement between the Parties as to the existence or extent of Force Majeure, the matter shall be settled according to Clauses GCC 44 & 45.

## **18 Suspension**

18.1 The Procuring Entity may, by written notice of suspension to the Consultant, suspend all payments to the Consultant hereunder if the Consultant fails to perform any of its obligations under this Contract, including the carrying out of the Services, provided that such notice of suspension (i) shall specify the nature of the failure, and (ii) shall request the Consultant to remedy such failure within a period not exceeding thirty (30) calendar days after receipt by the Consultant of such notice of suspension.

## **19 Termination**

19.1 This Contract may be terminated by either Party as per provisions set up below:

**a. By the Procuring Entity**

19.1.1 The Procuring Entity may terminate this Contract in case of the occurrence of any of the events specified in paragraphs (a) through (f) of this Clause. In such an occurrence, the Procuring

Entity shall give at least thirty (30) calendar days' written notice of termination to the Consultant in case of the events referred to in (a) through (d); at least sixty (60) calendar days' written notice in case of the event referred to in (e); and at least five (5) calendar days' written notice in case of the event referred to in (f):

- a If the Consultant fails to remedy a failure in the performance of its obligations here under, as specified in a notice of suspension pursuant to Clause GCC 18;
- b If the Consultant becomes (or, if the Consultant consists of more than one entity, if any of its members becomes) insolvent or bankrupt or enter into any agreements with their creditors for relief of debt or take advantage of any law for the benefit of debtors or go in to liquidation or receivership whether compulsory or voluntary;
- c If the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause GCC 45.1;
- d If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days;
- e If the Procuring Entity, in its sole discretion and for any reason whatsoever, decides to terminate this Contract;
- f If the Consultant fails to confirm availability of Key Experts as required in Clause GCC 13.

19.1.2 Furthermore, if the Procuring Entity determines that the Consultant has engaged in corrupt, fraudulent, collusive, coercive [or obstructive] practices, in competing for or in executing the Contract, then the Procuring Entity may, after giving fourteen (14) calendar days written notice to the Consultant, terminate the Consultant's employment under the Contract.

b. By the Consultant

- a) The Consultant may terminate this Contract, by not less than thirty (30) calendar days' written notice to the Procuring Entity, in case of the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause.
- b) If the Procuring Entity fails to pay any money due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clause GCC 45.1 within forty-five (45) calendar days after receiving written notice from the Consultant that such payment is overdue.
- c) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days.
- d) If the Procuring Entity fails to comply with any final decision reached as a result of arbitration pursuant to Clause GCC 45.1.
- e) If the Procuring Entity is in material breach of its obligations pursuant to this Contract and has not remedied the same within forty-five (45) days (or such longer period as the Consultant may have subsequently approved in writing) following the receipt by the Procuring Entity of the Consultant's notice specifying such breach.

c. Cessation of Rights and Obligations

19.1.4 Upon termination of this Contract pursuant to Clauses GCC 12 or GCC 19 hereof, or upon expiration of this Contract pursuant to Clause GCC 14, all rights and obligations of the Parties here under shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, (ii) the obligation of confidentiality set forth in Clause GCC 22, (iii) the Consultant's obligation to permit in section, copying and auditing of their accounts and records set forth in Clause GCC 25, and (iv) any right which a Party may have under the Applicable Law.

d. Cessation of Services

19.1.5. Upon termination of this Contract by notice of either Party to the other pursuant to Clauses GCC 19a or GCC 19b, the Consultant shall immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the Procuring

Entity, the Consultant shall proceed as provided, respectively, by Clauses GCC27 or GCC28.

**e. Payment up on Termination**

19.1.6 Up on termination of this Contract, the Procuring Entity shall make the following payments to the Consultant:

- a) Payment of Services satisfactorily performed prior to the effective date of termination; and
- b) In the case of termination pursuant to paragraphs (d) and (e) of Clause GCC 19.1.1, reimbursement of any reasonable cost incidental to the prompt and orderly termination of this Contract, including the cost of the return travel of the Experts.

**C. Obligations of the Consultant**

**16. General**

**a. Standard of Performance**

20.1 The Consultant shall perform the Services and carry out the Services with all due diligence, efficiency and economy, in accordance with generally accepted professional standards and practices, and shall observe sound management practices, and employ appropriate technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Contract or to the Services, as a faithful adviser to the Procuring Entity, and shall at all times support and safeguard the Procuring Entity's legitimate interests in any dealings with the third parties.

20.2 The Consultant shall employ and provide such qualified and experienced Experts and Sub-consultants as are required to carry out the Services.

20.3 The Consultant may subcontract part of the Services to an extent and with such Key Experts and Sub-consultants as may be approved in advance by the Procuring Entity. Notwithstanding such approval, the Consultant shall retain full responsibility for the Services.

**b. Law Applicable to Services**

20.4. The Consultant shall perform the Services in accordance with the Contract and the Applicable Law and shall take all practicable steps to ensure that any of its Experts and Sub-consultants, comply with the Applicable Law.

20.5 Throughout the execution of the Contract, the Consultants shall comply with the import of goods and services prohibitions in Kenya when

- a As a matter of law or official regulations, Kenya prohibits commercial relations with that country; or
- b by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, Kenya prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

20.6. The Procuring Entity shall notify the Consultant in writing of relevant local customs, and the Consultant shall, after such notification, respect such customs.

**21 Conflict of Interests**

21.1 The Consultant shall hold the Procuring Entity's interest paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their own corporate interests.

**a. Consultant Not to Benefit from Commissions, Discounts, etc.**

21.1.1 The payment of the Consultant pursuant to GCC F (Clauses GCC 38 through 42) shall constitute the Consultant's only payment in connection with this Contract and, subject to Clause



GCC21.1.3, the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Contract or in the discharge of its obligations here under, and the Consultant shall use its best efforts to ensure that any Sub-consultants, as well as the Experts and agents of either of them, similarly shall not receive any such additional payment.

21.1.2 Furthermore, if the Consultant, as part of the Services, has the responsibility of advising the Procuring Entity on the procurement of goods, works or services, the Consultant shall at all times exercise such responsibility in the best interest of the Procuring Entity. Any discounts or commissions obtained by the Consultant in the exercise of such procurement responsibility shall be for the account of the Procuring Entity.

**b. Consultant and Affiliates Not to Engage in Certain Activities**

21.1.3 The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, as well as any Sub-consultants and any entity affiliated with such Sub-consultants, shall be disqualified from providing goods, works or non-consulting services resulting from or directly related to the Consultant's Services for the preparation or implementation of the project.

**c. Prohibition of Conflicting Activities**

21.1.4 The Consultant shall not engage and shall cause its Experts as well as its Sub-consultants not to engage, either directly or indirectly, in any business or professional activities that would conflict with the activities assigned to them under this Contract.

**d. Strict Duty to Disclose Conflicting Activities**

21.1.5 The Consultant has an obligation and shall ensure that its Experts and Sub-consultants shall have an obligation to disclose any situation of actual or potential conflict that impacts their capacity to serve the best interest of their Procuring Entity, or that may reasonably be perceived as having this effect. Failure to disclose said situations may lead to the disqualification of the Consultant or the termination of its Contract.

## **22 Confidentiality**

22.1 Except with the prior written consent of the Procuring Entity, the Consultant and the Experts shall not at any time communicate to any person or entity any confidential information acquired in the course of the Services, nor shall the Consultant and the Experts make public the recommendations formulated in the course of, or because of, the Services.

## **23 Liability of the Consultant**

23.1 Subject to additional provisions, if any, set forth in the SCC, the Consultant's liability under this Contract shall be as determined under the Applicable Law.

## **24 Insurance to be taken out by the Consultant**

24.1 The Consultant (i) shall take out and maintain and shall cause any Sub-consultants to take out and maintain, at its (or the Sub-consultants', as the case may be) own cost but on terms and conditions approved by the Procuring Entity, insurance against the risks, and for the coverage specified in the SCC, and (ii) at the Procuring Entity's request, shall provide evidence to the Procuring Entity showing that such insurance has been taken out and maintained and that the current premiums therefore have been paid. The Consultant shall ensure that such insurance is in place prior to commencing the Services as stated in Clause GCC13.

## **25 Accounting, Inspection and Auditing**

25.1 The Consultant shall keep and shall make all reasonable efforts to cause its Sub-consultants to keep,

accurate and systematic accounts and records in respect of the Services and in such form and detail as will clearly identify relevant time changes and costs.

- 25.2 The Consultant shall permit and shall cause its Sub-consultants to permit, the PPRA and/ or persons appointed by the PPRA to inspect the Site and /or all accounts and records relating to the performance of the Contract and the submission of the Proposal to provide the Services, and to have such accounts and records audited by auditors appointed by the PPRA if requested by the PPRA. The Consultant's attention is drawn to Clause GCC10 which provides, interlaid, that acts intended to materially impede the exercise of the PPRA's inspection and audit rights provided for under this ClauseGCC25.2 constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility under the PPRA's prevailing sanctions procedures.)

## **26 Reporting Obligations**

- 26.1 The Consultant shall submit to the Procuring Entity the reports and documents specified in Appendix A, in the form, in the numbers and within the time periods set forth in the said Appendix.

## **27 Proprietary Rights of the Procuring Entity in Reports and Records**

- 27.1 Unless otherwise indicated in the SCC, all reports and relevant data and information such as maps, diagrams, plans, databases, other documents and software, supporting records or material compiled or prepared by the Consultant for the Procuring Entity in the course of the Services shall be confidential and become and remain the absolute property of the Procuring Entity. The Consultant shall, not later than upon termination or expiration of this Contract, deliver all such documents to the Procuring Entity, together with a detailed inventory thereof. The Consultant may retain a copy of such documents, data and/or software but shall not use the same for purposes unrelated to this Contract without prior written approval of the Procuring Entity.
- 27.2 If license agreements are necessary or appropriate between the Consultant and third parties for purposes of development of the plans, drawings, specifications, designs, databases, other documents and software, the Consultant shall obtain the Procuring Entity's prior written approval to such agreements, and the Procuring Entity shall be entitled at its discretion to require recovering the expenses related to the development of the program(s) concerned. Other restrictions about the future use of these documents and software, if any, shall be specified in the SCC.

## **28 Equipment, Vehicles and Materials**

- 28.1 Equipment, vehicles and materials made available to the Consultant by the Procuring Entity or purchased by the Consultant wholly or partly with funds provided by the Procuring Entity, shall be the property of the Procuring Entity and shall be marked accordingly. Upon termination or expiration of this Contract, the Consultant shall make available to the Procuring Entity an inventory of such equipment, vehicles and materials and shall dispose of such equipment, vehicles and materials in accordance with the Procuring Entity's instructions. While in possession of such equipment, vehicles and materials, the Consultant, unless otherwise instructed by the Procuring Entity in writing, shall insure them at the expense of the Procuring Entity in an amount equal to their full replacement value.
- 28.2 Any equipment or materials brought by the Consultant or its Experts into Kenya for the use either for the project or personal use shall remain the property of the Consultant or the Experts concerned, as applicable.

## **D. Consultant's Experts and Sub-consultants**

### **29 Description of Key Experts**

- 29.1 The title, agreed job description, minimum qualification and estimated period of engagement to carry out the Services of each of the Consultant's Key Experts are described in Appendix B.

### **30 Replacement of Key Experts**



- 30.1 Except as the Procuring Entity may otherwise agree in writing, no changes shall be made in the Key Experts.
- 30.2 Notwithstanding the above, the substitution of Key Experts during Contract execution may be considered only based on the Consultant's written request and due to circumstances outside the reasonable control of the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall forth with provide as a replacement, a person of equivalent or better qualifications and experience, and at the same rate of remuneration.

### **31 Removal of Experts or Sub-consultants**

- 31.1 If the Procuring Entity finds that any of the Experts or Sub-consultant has committed serious misconduct or has been charged with having committed a criminal action, or shall the Procuring Entity determine that Consultant's Expert or Sub consultant have engaged in corrupt, fraudulent, collusive, coercive [or obstructive] practice while performing the Services, the Consultant shall, at the Procuring Entity's written request, provide a replacement.
- 31.2 In the event that any of Key Experts, Non-Key Experts or Sub-consultants is found by the Procuring Entity to be incompetent or incapable in discharging assigned duties, the Procuring Entity, specifying the grounds therefore, may request the Consultant to provide a replacement.
- 31.3 Any replacement of the removed Experts or Sub consultants shall possess better qualifications and experience and shall be acceptable to the Procuring Entity.
- 31.4 The Consultant shall bear all costs arising out of or incidental to any removal and/or replacement of such Experts.

### **E. Obligations of the Procuring Entity**

### **32 Assistance and Exemptions**

- 31.1 Unless otherwise specified in the SCC, the Procuring Entity shall use its best efforts to:
- a Assist the Consultant with obtaining work permits and such other documents as shall be necessary to enable the Consultant to perform the Services.
  - b Assist the Consultant with promptly obtaining, for the Experts and, if appropriate, their eligible dependents, all necessary entry and exit visas, residence permits, exchange permits and any other documents required for their stay in Kenya while carrying out the Services under the Contract.
  - c Facilitate prompt clearance through customs of any property required for the Services and of the personal effects of the Expert and their eligible dependents.
  - d Issue to officials, agents and representatives of the Government all such instructions and information as may be necessary or appropriate for the prompt and effective implementation of the Services.
  - e Assist the Consultant and the Experts and any Sub-consultants employed by the Consultant for the Services with obtaining exemption from any requirement to register or obtain any permit to practice their profession or to establish themselves either individually or as a corporate entity in Kenya according to the applicable law in Kenya.
- 32.2 Assist the Consultant, any Sub-consultants and the Experts or either of them with obtaining the privilege, pursuant to the applicable law in Kenya, of bringing in to Kenya reasonable amounts of foreign currency for the purposes of the Services or for the personal use of the Experts and of withdrawing any such amounts as may be earned therein by the Experts in the execution of the Services.
- 32.3 Provide to the Consultant any such other assistance, as may be specified in the SCC.

### **33 Access to Project Site**

- 33.1 The Procuring Entity warrants that the Consultant shall have, free of charge, unimpeded access to the project site in respect of which access is required for the performance of the Services. The

Procuring Entity will be responsible for any damage to the project site or any property thereon resulting from such access and will indemnify the Consultant and each of the experts in respect of liability for any such damage, unless such damage is caused by the willful default or negligence of the Consultant or any Sub-consultants or the Experts of either of them.

### **34 Change in the Applicable Law Related to Taxes and Duties**

- 34.1 If, after the date of this Contract, there is any change in the applicable law in Kenya with respect to taxes and duties which increases or decreases the cost incurred by the Consultant in performing the Services, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Contract shall be increased or decreased accordingly by agreement between the Parties hereto, and corresponding adjustments shall be made to the Contract price amount specified in Clause GCC 39.1

### **35 Services, Facilities and Property of the Procuring Entity**

- 35.1 The Procuring Entity shall make available to the Consultant and the Experts, for the purposes of the Services and free of any charge, the services, facilities and property described in the Terms of Reference (Appendix A) at the times and in the manner specified in said Appendix A.

### **36 Counterpart Personnel**

- 36.1 The Procuring Entity shall make available to the Consultant free of charge such professional and support counterpart personnel, to be nominated by the Procuring Entity with the Consultant's advice, if specified in Appendix A.
- 36.2 Professional and support counterpart personnel, excluding Procuring Entity's liaison personnel, shall work under the exclusive direction of the Consultant. If any member of the counterpart personnel fails to perform adequately any work as signed to such member by the Consultant that is consistent with the position occupied by such member, the Consultant may request the replacement of such member, and the Procuring Entity shall not unreasonably refuse to act upon such request.

### **37 Payment Obligation**

- 37.1 In consideration of the Services performed by the Consultant under this Contract, the Procuring Entity shall make such payments to the Consultant for the deliverables specified in Appendix A and in such manner as is provided by GCCF below.

## **F. Payments to the Consultant**

### **38 Contract Price**

- 38.1 The Contract price is fixed and is set forth in the SCC. The Contract price breakdown is provided in Appendix C.
- 38.2 Any change to the Contract price specified in Clause 38.1 can be made only if the Parties have agreed to the revised scope of Services pursuant to Clause GCC 16 and have amended in writing the Terms of Reference in Appendix A.

### **39 Taxes and Duties**

- 39.1 The Consultant, Sub-consultants and Experts are responsible for meeting any and all tax liabilities arising out of the Contract unless it is stated otherwise in the SCC.

### **40 Currency of Payment**

- 40.1 Any payment under this Contract shall be made in the currency (ies) of the Contract.

### **41 Mode of Billing and Payment**

- 41.1 The total payments under this Contract shall not exceed the Contract price set forth in Clause GCC 38.1.
- 41.2 The payments under this Contract shall be made in lump-sum installments against deliverables specified in Appendix A. The payments will be made according to the payment schedule stated in the SCC.
- 41.2.1 Advance payment: Unless otherwise indicated in the SCC, an advance payment shall be made against an advance payment bank guarantee acceptable to the Procuring Entity in an amount (or amounts) and in a currency (or currencies) specified in the SCC. Such guarantee (I) is to remain effective until the advance payment has been fully set off, and (ii) is to be in the form set forth in Appendix D, or in such other form as the Procuring Entity shall have approved in writing. The advance payments will be set off by the Procuring Entity in equal portions against the lump-sum installments specified in the SCC until said advance payments have been fully set off.
- 41.1.2 The Lump-Sum Installment Payments. The Procuring Entity shall pay the Consultant within sixty (60) days after the receipt by the Procuring Entity of the deliverable(s) and the cover invoice for the related lump-sum installment payment. The payment can be withheld if the Procuring Entity does not approve the submitted deliverable(s) as satisfactory in which case the Procuring Entity shall provide comments to the Consultant within the same sixty (60) days period. The Consultant shall thereupon promptly make any necessary corrections, and there after the fore going process shall be repeated.
- 41.1.3 The Final Payment: The final payment under this Clause shall be made only after the final report has been submitted by the Consultant and approved as satisfactory by the Procuring Entity. The Services shall then be deemed completed and finally accepted by the Procuring Entity. The last lump-sum installment shall be deemed approved for payment by the Procuring Entity within ninety (90) calendar days after receipt of the final report by the Procuring Entity unless the Procuring Entity, within such ninety (90) calendar day period, gives written notice to the Consultant specifying in detail deficiencies in the Services, the final report. The Consultant shall thereupon promptly make any necessary corrections, and there after the fore going process shall be repeated.
- 41.1.4 All payments under this Contract shall be made to the accounts of the Consultant specified in the SCC.
- 41.1.5 With the exception of the final payment under 41.2.3above, payments do not constitute acceptance of the whole Services nor relieve the Consultant of any obligations here under.

#### **41 Interest on Delayed Payments**

- 41.1 If the Procuring Entity had delayed payments beyond thirty (30) days after the due date stated in Clause GCC 41.2.2, interest shall be paid to the Consultant on any amount due by, not paid on, such due date for each day of delay at the annual rate stated in the SCC.

#### **G. Fairness and Good Faith**

##### **42 Good Faith**

- 42.1 The Parties undertake to act in good faith with respect to each other's rights under this Contract and to adopt all reasonable measures to ensure the realization of the objectives of this Contract.

#### **H. Settlement of Disputes**

##### **43 Amicable Settlement**

- 43.1.2 The Parties shall seek to resolve any dispute amicably by mutual consultation.
- 43.1.3 If either Party objects to any action or in action of the other Party, the objecting Party may file a written Notice of Dispute to the other Party providing in detail the basis of the dispute. The Party receiving the Notice of Dispute will consider it and respond in writing within fourteen (14) days after receipt. If that Party fails to respond within fourteen (14) days, or the dispute cannot be

amicably settled within fourteen (14) days following the response of that Party, Clause GCC 45.1 shall apply.

#### **44 Dispute Resolution**

44.1.2 Any dispute between the Parties arising under or related to this Contract that cannot be settled amicably may be referred to by either Party to the adjudication/arbitration in accordance with the provisions specified in the SCC.

## SECTION 8: SPECIAL CONDITIONS OF CONTRACT

<i>Number of GC clause</i>	<i>Amendments of and supplements to clauses in the General Conditions of contract</i>
<i>1.1 (a)</i>	<i>The contract shall be construed in accordance with the laws of Kenya</i>
<i>4.1</i>	<i>The language is <b>English</b></i>
<i>6.1 &amp; 6.2</i>	<p><i>The addresses are (to be filled in at negotiations with the selected firm)</i>  <i>Procuring entity: <b>Unclaimed Financial Assets Authority</b></i>  <i>Attention : <b>Chief Executive Officer &amp; Managing Trustee</b></i>  <i>Email: <b>info@ufaa.go.ke</b></i></p> <p><i>Consultant.....</i>  <i>Attention .....</i>  <i>Email.....</i></p>
<i>8.1</i>	<i>Not applicable</i>
<i>9.1</i>	<p><i>The Authorized representatives are</i></p> <p><i>Procuring entity: Name.....Title.....</i></p> <p><i>Consultant: Name.....Title.....</i></p>
<i>11.1</i>	Not applicable
<i>12.1</i>	<p>Termination of contract for failure to become effective</p> <p>The time period shall be one (1) month</p>
<i>13.1</i>	<p>Commencement of the services</p> <p>The number of days shall be seven (7)</p> <p>Confirmation of key expert's availability to start the assignment shall be submitted to the procuring entity in writing as a written statement signed by</p>
<i>14.1</i>	<p>Expiration of the contract</p> <p>The time period shall be Twelve Months</p>
<i>23.1</i>	No additional provisions
<i>24.1</i>	<b>Provide Professional indemnity insurance cover worth Kenya Shillings three Million shillings (Kshs. 3,000,000.00)</b>
<i>27.1</i>	Reports and relevant data and information such as maps, diagrams, plans, databases, other documents and software, supporting records or material compiled or prepared by the Consultant for the Procuring Entity in the course of the Services shall be confidential and shall not be used for purposes unrelated to this contract without written approval of

	the procuring entity				
32.1 a through e	Not applicable				
32.3	Not applicable				
39.1	The Consultant and Experts are responsible for meeting any and all tax liabilities arising out of the Contract.				
41.2	As per the proposed financial schedule				
41.2.1	Not applicable				
41.1.4	All payments under this Contract shall be made to the accounts of the Consultant specified in the contract				
41.1.4	<table border="1"> <tr> <td>45.1</td><td> <p>Disputes shall be settled by arbitration in accordance with the following provisions:</p> <p>1. <u>Selection of Arbitrators.</u> Each dispute submitted by a Party to arbitration shall be heard by a sole arbitrator or an arbitration panel composed of three (3) arbitrators, in accordance with the following provisions:</p> <p>(a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to <i>[name an appropriate international professional body, e.g., the Federation Internationale des Ingenieurs - Conseil (FIDIC) of Lausanne, Switzerland]</i> for a list of not fewer than five (5) nominees and, on receipt of such list, the Parties shall alternately strike names there from, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, <i>[insert the name of the same professional body as above]</i> shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</p> <p>(b) Where the Parties do not agree that the dispute concerns a technical matter, the Procuring Entity and the Consultant shall each appoint one (1) arbitrator, and these two arbitrators shall jointly appoint a third arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two (2) arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by <i>[name an appropriate international appointing authority, e.g., the Secretary General of the Permanent Court of Arbitration, The Hague; the Secretary General of the International Centre for Settlement of Investment Disputes, Washington, D.C.; the International Chamber of Commerce, Paris; etc.]</i>.</p> <p>(c) If, in a dispute subject to paragraph (b) above, one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the <i>[name the same appointing authority as in said paragraph (b)]</i> to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.</p> </td></tr> <tr> <td></td><td> <p>2. <u>Rules of Procedure.</u> Except as otherwise stated herein, arbitration proceedings shall be conducted in accordance with the rules of procedure for arbitration of the United Nations Commission on International Trade Law (UNCITRAL) as in force on the date of this Contract.</p> <p>3. <u>Substitute Arbitrators.</u> If for any reason an arbitrator is unable to perform his/her function, a substitute shall be appointed in the same manner as the original arbitrator.</p> <p>4. <u>Nationality and Qualifications of Arbitrators.</u> The sole arbitrator or the third arbitrator appointed pursuant to paragraphs 1(a) through 1(c) above shall be an internationally recognized legal or technical expert with extensive experience in relation to the matter in dispute and shall not be a national of the Consultant's home country <i>[If the Consultant consists of more than one entity, add: or of the home country of any of their members or Parties]</i> or of the Government's country. For the purposes of this Clause, "home country" means any of:</p> <p>(a) the country of incorporation of the Consultant <i>[If the Consultant consists of more than one entity, add: or of any of their members or Parties];</i> or</p> <p>(b) the country in which the Consultant's [or any of their members' or Parties'] principal place of business is located; or</p> <p>(c) the country of nationality of a majority of the Consultant's [or of any members' or Parties'] shareholders; or</p> <p>(d) the country of nationality of the Sub-consultants concerned, where the dispute involves a subcontract.</p> </td></tr> </table>	45.1	<p>Disputes shall be settled by arbitration in accordance with the following provisions:</p> <p>1. <u>Selection of Arbitrators.</u> Each dispute submitted by a Party to arbitration shall be heard by a sole arbitrator or an arbitration panel composed of three (3) arbitrators, in accordance with the following provisions:</p> <p>(a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to <i>[name an appropriate international professional body, e.g., the Federation Internationale des Ingenieurs - Conseil (FIDIC) of Lausanne, Switzerland]</i> for a list of not fewer than five (5) nominees and, on receipt of such list, the Parties shall alternately strike names there from, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, <i>[insert the name of the same professional body as above]</i> shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</p> <p>(b) Where the Parties do not agree that the dispute concerns a technical matter, the Procuring Entity and the Consultant shall each appoint one (1) arbitrator, and these two arbitrators shall jointly appoint a third arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two (2) arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by <i>[name an appropriate international appointing authority, e.g., the Secretary General of the Permanent Court of Arbitration, The Hague; the Secretary General of the International Centre for Settlement of Investment Disputes, Washington, D.C.; the International Chamber of Commerce, Paris; etc.]</i>.</p> <p>(c) If, in a dispute subject to paragraph (b) above, one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the <i>[name the same appointing authority as in said paragraph (b)]</i> to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.</p>		<p>2. <u>Rules of Procedure.</u> Except as otherwise stated herein, arbitration proceedings shall be conducted in accordance with the rules of procedure for arbitration of the United Nations Commission on International Trade Law (UNCITRAL) as in force on the date of this Contract.</p> <p>3. <u>Substitute Arbitrators.</u> If for any reason an arbitrator is unable to perform his/her function, a substitute shall be appointed in the same manner as the original arbitrator.</p> <p>4. <u>Nationality and Qualifications of Arbitrators.</u> The sole arbitrator or the third arbitrator appointed pursuant to paragraphs 1(a) through 1(c) above shall be an internationally recognized legal or technical expert with extensive experience in relation to the matter in dispute and shall not be a national of the Consultant's home country <i>[If the Consultant consists of more than one entity, add: or of the home country of any of their members or Parties]</i> or of the Government's country. For the purposes of this Clause, "home country" means any of:</p> <p>(a) the country of incorporation of the Consultant <i>[If the Consultant consists of more than one entity, add: or of any of their members or Parties];</i> or</p> <p>(b) the country in which the Consultant's [or any of their members' or Parties'] principal place of business is located; or</p> <p>(c) the country of nationality of a majority of the Consultant's [or of any members' or Parties'] shareholders; or</p> <p>(d) the country of nationality of the Sub-consultants concerned, where the dispute involves a subcontract.</p>
45.1	<p>Disputes shall be settled by arbitration in accordance with the following provisions:</p> <p>1. <u>Selection of Arbitrators.</u> Each dispute submitted by a Party to arbitration shall be heard by a sole arbitrator or an arbitration panel composed of three (3) arbitrators, in accordance with the following provisions:</p> <p>(a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to <i>[name an appropriate international professional body, e.g., the Federation Internationale des Ingenieurs - Conseil (FIDIC) of Lausanne, Switzerland]</i> for a list of not fewer than five (5) nominees and, on receipt of such list, the Parties shall alternately strike names there from, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, <i>[insert the name of the same professional body as above]</i> shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</p> <p>(b) Where the Parties do not agree that the dispute concerns a technical matter, the Procuring Entity and the Consultant shall each appoint one (1) arbitrator, and these two arbitrators shall jointly appoint a third arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two (2) arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by <i>[name an appropriate international appointing authority, e.g., the Secretary General of the Permanent Court of Arbitration, The Hague; the Secretary General of the International Centre for Settlement of Investment Disputes, Washington, D.C.; the International Chamber of Commerce, Paris; etc.]</i>.</p> <p>(c) If, in a dispute subject to paragraph (b) above, one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the <i>[name the same appointing authority as in said paragraph (b)]</i> to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.</p>				
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SECTION 9: APPENDICES

Appendix A – Terms of Reference

[Note: This Appendix shall include the final Terms of Reference (TORs) worked out by the Procuring Entity and the Consultant during the negotiations; dates for completion of various tasks; location of performance for different tasks; detailed reporting requirements and list of deliverables against which the payments to the Consultant will be made; Procuring Entity's input, including counterpart personnel assigned by the Procuring Entity to work on the Consultant's team; specific tasks or actions that require prior approval by the Procuring Entity.

Insert the text based on the Section 5 (Terms of Reference) of the ITC in the RFP and modified based on the Forms TECH-1 through TECH-5 of the Consultant's Proposal. Highlight the changes to Section 5 of the RFP]

.....

Appendix B - Key Experts

[Insert a table based on Form TECH-6 of the Consultant's Technical Proposal and finalized at the Contract's negotiations. Attach the CVs (updated and signed by the respective Key Experts) demonstrating the qualifications of Key Experts.]

.....

..... Appendix C – Breakdown of Contract Price

{Insert the table with the unit rates to arrive at the breakdown of the lump-sum price. The table shall be based on [Form FIN-3andFIN-4] of the Consultant's Proposal and reflect any changes agreed at the Contract negotiations, if any. The footnote shall list such changes made to [FormFIN-3andFIN-4] at the negotiations or state that none has been made.}

Appendix D - Form of Advance Payment Guarantee

[Note: See Clause GCC 41.2.1 and SCC 41.2.1]

Bank Guarantee for Advance Payment [Bank's Name and Address of Issuing Branch or Office]  
Beneficiary: [Name and Address of Procuring Entity] Date:

ADVANCE PAYMENT GUARANTEE No.:

We have been informed that [name of Consultant or a name of the Joint Venture, same as appears on the signed Contract] (herein after called" the Consultant") has entered into Contract No. [reference number of the contract] dated with you, [brief description of Services] (herein after called" the Contract"). for the provision of

Furthermore, we understand that, according to the conditions of the Contract, an advance payment in the sum of [amount in figures] () [amount in words]is to be made against an advance payment guarantee.

At the request of the Consultant, we [name of bank] here by irrevocably undertake to pay you any sum or sums not exceeding in total an amount of [amount in figures] () [amount in words]upon receipt by us of your first demand in writing accompanied by a written statement stating that the Consultant are in breach of their obligation under the Contract because the Consultant have used the advance payment for purposes other than toward providing the Services under the Contract.

It is a condition for any claim and payment under this guarantee to be made that the advance payment referred to above must have been received by the Consultant on their account number at

*[name and address of bank].*

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Consultant as indicated in copies of certified monthly statements which shall be presented to us. This guarantee shall expire, at the latest, upon our receipt of the monthly payment certificate indicating that the Consultant has made

Full repayment of the amount of the advance payment, or on the day of                     , whichever is earlier.

Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

*[Signature]*

***Note:*** *All italicized text is for indicative purposes only to assist in preparing this form and shall be deleted from the final product.*



## CONTRACT FOR CONSULTANT'S SERVICES

### TIME-BASED CONTRACT

Consulting Services for:\_\_\_\_\_

Contract No.:\_\_\_\_\_

Contract Description:\_\_\_\_\_

between

\_\_\_\_\_ *[Name of the Procuring Entity]* and

\_\_\_\_\_ *[Name of the Consultant]*

Date:\_\_\_\_\_

## II: FORM OF CONTRACT-TIME-BASED

(Text in brackets [ ] is optional; all notes should be deleted in the final text)

This CONTRACT (hereinafter called the “Contract”) is made the *[number]* day of the month of *[month]*, *[year]*, between, on the one hand, *[name of Procuring Entity]* (herein after called the “Procuring Entity”) and, on the other hand, *[name of Consultant]* (hereinafter called the “Consultant”).

*[Note: If the Consultant consist of more than one entity, the above should be partially amended to read as follows: “... (herein after called the “Procuring Entity”) and, on the other hand, a Joint Venture (name of the JV) consisting of the following entities, each member of which will be jointly and severally liable to the Procuring Entity for all the Consultant's obligations under this Contract, namely, [name of member] and [name of member] (hereinafter called the “Consultant”).]*

### WHEREAS

- a) the Procuring Entity has requested the Consultant to provide certain consulting services as defined in this Contract (hereinafter called the “Services”);
- b) the Consultant, having represented to the Procuring Entity that it has the required professional skills, expertise and technical resources, has agreed to provide the Services on the terms and conditions set forth in this Contract;
- c) The Procuring Entity has set aside a budget and funds towards the cost of the services and intends to apply a portion of the funds to eligible payments under the Contract.

NOW THEREFORE the parties hereto hereby agree as follows:

1. The following documents attached here to shall be deemed to form an integral part of this Contract:
  - a) The General Conditions of Contract;
  - b) The Special Conditions of Contract;
  - c) Appendices:
    - Appendix A: Terms of Reference
    - Appendix B: Key Experts
    - Appendix C: Remuneration Cost Estimates
    - Appendix D: Reimbursable Cost Estimates
    - Appendix E: Form of Advance Payments Guarantee

In the event of any inconsistency between the documents, the following order of precedence shall prevail: The Special Conditions of Contract; the General Conditions of Contract; Appendix A; Appendix B; Appendix C and Appendix D; Appendix E. Any reference to this Contract shall include, where the context permits, a reference to its Appendices.

2. ThemutualrightsandobligationsoftheProcuringEntityandtheConsultantshallbeassetforthintheContract, in particular:
  - a) The Consultant shall carryout the Services in accordance with the provisions of the Contract; and
  - b) The Procuring Entity shall make payments to the Consultant in accordance with the provisions of the Contract.

IN WITNESS WHERE OF, the Parties here to have caused this Contract to be signed in their respective names as of the day and year first above written.

For and on behalf of *[Name of Procuring Entity]* *[Authorized Representative of the Procuring Entity– name title and signature]*

For and on behalf of \_\_\_\_\_ *[Name of Consultant or Name of a Joint Venture]*  
*[Authorized Representative of the Consultant–name and signature]*

*[Note: For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached.]*

For and on behalf of each of the members of the Consultant..... *[insert the name of the Joint*

*Venture] [Name of the lead member]*

*[Authorized Representative on behalf of a Joint Venture] [add signature blocks for each member if all are signing]*

## APPENDIX E: FORM OF ADVANCE PAYMENTS GUARANTEE

[Note: See Clause GCC 41.2 and

SCC41.2] Bank Guarantee for Advance

Payment

\_\_\_\_\_ [Bank's Name and Address of Issuing Branch or Office]

Beneficiary: \_\_\_\_\_ [Name and Address of Procuring

Entity] Date: \_\_\_\_\_

ADVANCE PAYMENT GUARANTEE No. \_\_\_\_\_

We have been informed that \_\_\_\_\_ [name of Consultant or a name of the Joint Venture, same as appears on the signed Contract] (herein after called "the Consultant") has entered into Contract No. \_\_\_\_\_

\_\_\_\_\_ [Reference number of the contract] dated \_\_\_\_\_ with you, for the provision of \_\_\_\_\_ [brief description of Services] (hereinafter called "the Contract").

Furthermore, we understand that, according to the conditions of the Contract, an advance payment in the sum of \_\_\_\_\_ [Amount in figures] () [amount in words] is to be made against an advance payment guarantee.

At the request of the Consultant, we \_\_\_\_\_ [name of bank] hereby irrevocably undertake to pay you any sum or sums not exceeding in total an amount of \_\_\_\_\_ [amount in figures] () [amount in words] upon receipt by us of your first demand in writing accompanied by a written statement stating that the Consultant are in breach of their obligation under the Contract because the Consultant have used the advance payment for purposes other than toward providing the Services under the Contract.

It is a condition for any claim and payment under this guarantee to be made that the advance payment referred to above must have been received by the Consultant on their account number \_\_\_\_\_ at \_\_\_\_\_ [name and address of bank].

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Consultant as indicated in copies of certified monthly statements which shall be presented to us. This guarantee shall expire, at the latest, upon our receipt of the monthly payment certificate indicating that the Consultant has made full repayment of the amount of the advance payment, or on the day of \_\_\_\_\_, 2 \_\_\_\_\_ whichever is earlier.

Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date. This guarantee is subject to the Uniform Rules for Demand Guarantees, ICC Publication No.758.

[signature (s)]

**Note:** All italicized text is for indicative purposes only to assist in preparing this form and shall be deleted from the final product.

## SECTION 10. NOTIFICATION FORMS

### 1. NOTIFICATION OF INTENTION TO AWARD

Procuring Entity:\_\_\_\_\_ *[insert the name of the Entity]* Contract title:\_\_\_\_\_ *[insert the name of the contract]* RFP No:\_\_\_\_\_ *[insert RFP Preference number]*

This Notification of Intention to Award (Notification) notifies you of our decision to award the above contract. The transmission of this Notification begins the Standstill Period. During the Standstill Period you may:

- a) Request a debriefing in relation to the evaluation of your Proposal, and/or
- b) Submit a Procurement-related Complaint in relation to the decision to award the contract.

The successful Consultant

Name:	<i>[insert name of successful Consultant]</i>
Address:	<i>[insert address of the successful Consultant]</i>
Contract price:	<i>[insert contract price of the successful Consultant]</i>

## 2. NOTIFICATION OF AWARD

*[use letterhead paper of the Procuring Entity] [date]\_\_\_\_\_To: \_\_\_\_\_ [name and address of the winning Consultant] Subject: Notification of Award Contract No. ....*

This is to notify you that your Proposal dated *[insert date]* for consulting services for *[name of the assignment]* as negotiated with you on for the contract amount of \_\_\_\_\_  
*[Insert amount in numbers and words and name of currency]* is here by accepted by our agency.

You are requested to:(i) sign and return the draft negotiated Contract attached here with within eight (8) Business Days from the date of receipt of this notification; and (ii) furnish the additional information on beneficial ownership in accordance with the Data Sheet of ITC 32.1 within eight (8) days using the Beneficial Ownership Disclosure Form, included in Section 7 of the Request of Proposals.

Authorized Signature:

Name and Title of Signatory: \_\_\_\_\_

Name of Agency:

***Attachment: Draft Negotiated Contract***

**1. BENEFICIAL OWNERSHIP DISCLOSURE FORM**  
(Amended and issued pursuant to PPRA CIRCULAR No. 02/2022)

**INSTRUCTIONS TO TENDERERS: DELETE THIS BOX ONCE YOU HAVE COMPLETED THE FORM**

*This Beneficial Ownership Disclosure Form ("Form") is to be completed by the successful tenderer pursuant to Regulation 13 (2A) and 13 (6) of the Companies (Beneficial Ownership Information) Regulations, 2020. In case of joint venture, the tenderer must submit a separate Form for each member. The beneficial ownership information to be submitted in this Form shall be current as of the date of its submission.*

*For the purposes of this Form, a Beneficial Owner of a Tenderer is any natural person who ultimately owns or controls the legal person (tenderer) or arrangements or a natural person on whose behalf a transaction is conducted, and includes those persons who exercise ultimate effective control over a legal person (Tenderer)*

Tender Reference No.: \_\_\_\_\_

\_\_\_\_\_ [insert identification no] Name of the

Tender Title/Description: \_\_\_\_\_ [insert name of  
the assignment] to: \_\_\_\_\_ [insert complete name of Procuring Entity]

In response to the requirement in your notification of award dated \_\_ [insert date of notification of award] to furnish additional information on beneficial ownership: \_\_ [select one option as applicable and delete the options that are not applicable]

I) We here by provide the following beneficial ownership information.

**Details of beneficial ownership**

	Details of all Beneficial Owners		% of shares a person holds in the company Directly or indirectly	% of voting rights a person holds in the company	Whether a person directly or indirectly holds a right to appoint or remove a member of the board of directors of the company or an equivalent governing body of the Tenderer (Yes / No)	Whether a person directly or indirectly exercises significant influence or control over the Company (tenderer) (Yes / No)
<b>1.</b>	Full Name		Directly----- ----- % of shares	Directly..... .....% of voting rights	1. Having the right to appoint a majority of the board of the directors or an equivalent governing body of the Tenderer: Yes -----No----  2. Is this right held directly or indirectly?:  Direct..... .....  Indirect..... .....	1. Exercises significant influence or control over the Company body of the Company (tenderer)  Yes -----No-- --  2. Is this influence or control exercised directly or indirectly?
	National identity card number or Passport number					
	Personal Identification Number (where applicable)		Indirectly---- ----- % of shares			
	Nationality					
	Date of birth [dd/mm/yyyy]					
	Postal address					
	Residential address					
	Telephone number					
	Email address					

	Details of all Beneficial Owners		% of shares a person holds in the company Directly or indirectly	% of voting rights a person holds in the company	Whether a person directly or indirectly holds a right to appoint or remove a member of the board of directors of the company or an equivalent governing body of the Tenderer (Yes / No)	Whether a person directly or indirectly exercises significant influence or control over the Company (tenderer) (Yes / No)
	Occupation or profession					Direct..... .....  Indirect..... ...
2.	Full Name		Directly----- ----- % of shares	Directly..... .....% of voting rights	1. Having the right to appoint a majority of the board of the directors or an equivalent governing body of the Tenderer: Yes -----No----	1. Exercises significant influence or control over the Company body of the Company (tenderer) Yes -----No-- --
	National identity card number or Passport number				2. Is this right held directly or indirectly?:	2. Is this influence or control exercised directly or indirectly?
	Personal Identification Number (where applicable)		Indirectly----- ----- % of shares	Indirectly----- % of voting rights	Direct..... .....	Direct..... .....
	Nationality(ies)				Indirect..... .....	Indirect..... .....
	Date of birth [dd/mm/yyyy]					
	Postal address					
	Residential address					
	Telephone number					
	Email address					
	Occupation or profession					
3.						
e.t						
.c						

II) Am fully aware that beneficial ownership information above shall be reported to the Public Procurement Regulatory Authority together with other details in relation to contract awards and shall be maintained in the Government Portal, published and made publicly available pursuant to Regulation 13(5) of the Companies (Beneficial Ownership Information) Regulations, 2020. (Notwithstanding this paragraph Personally Identifiable Information in line with the Data Protection Act shall not be published or made public). *Note that Personally Identifiable Information (PII) is defined as any information that can be used to distinguish one person from another and can be used to deanonymize previously anonymous data. This information includes National identity card number or Passport number, Personal Identification Number, Date of birth,*



*Residential address, email address and Telephone number.*

III) In determining who meets the threshold of who a beneficial owner is, the Tenderer must consider a natural person who in relation to the company:

- (a) holds at least ten percent of the issued shares in the company either directly or indirectly;
- (b) exercises at least ten percent of the voting rights in the company either directly or indirectly;
- (c) holds a right, directly or indirectly, to appoint or remove a director of the company;  
or
- (d) exercises significant influence or control, directly or indirectly, over the company.

IV) What is stated to herein above is true to the best of my knowledge, information and belief.

*Name of the Tenderer: .....\*[insert complete name of the Tenderer]\_\_\_\_\_*

*Name of the person duly authorized to sign the Tender on behalf of the Tenderer: \*\* [insert complete name of person duly authorized to sign the Tender]*

*Designation of the person signing the Tender: ..... [insert complete title of the person signing the Tender]*

*Signature of the person named above: ..... [insert signature of person whose name and capacity are shown above]*

*Date this ..... [insert date of signing] day of..... [Insert month], [insert year]*

Bidder Official Stamp

Request for Proposal Reference No.:\_\_\_\_\_

\_\_\_\_\_ [insert identification no] Name of the

Assignment:\_\_\_\_\_ [insert name of

the assignment] to:\_\_\_\_\_ [insert complete name of Procuring Entity]

In response to your notification of award dated\_\_\_\_\_ [insert date of notification of award] to furnish additional information on beneficial ownership: [select one option as applicable and delete the options that are not applicable]

V) We here by provide the following beneficial ownership information.

### **Details of beneficial ownership**

<b>Identity of Beneficial Owner</b>	<b>Directly or indirectly holding 25% or more of the shares (Yes / No)</b>	<b>Directly or indirectly holding 25 % or more of the Voting Rights (Yes / No)</b>	<b>Directly or indirectly having the right to appoint a majority of the board of the directors or an equivalent governing body of the Consultant (Yes / No)</b>
<i>[include full name (last, middle, first), nationality, country of residence]</i>			

OR

- ii) We declare that there is no Beneficial Owner meeting one or more of the following conditions: directly or indirectly holding 25% or more of the shares. Directly or indirectly holding 25% or more of the voting rights. Directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Consultant.

OR

- iii) We declare that we are unable to identify any Beneficial Owner meeting one or more of the following conditions. [If this option is selected, the Consultant shall provide explanation on why it is unable to identify any Beneficial Owner]

*Directly or indirectly holding 25% or more of the shares. Directly or indirectly holding 25% or more of the voting rights.*

*Directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Consultant]*

*Name of the Consultant: .....\*[insert complete name of the Consultant]\_\_\_\_\_*

*Name of the person duly authorized to sign the Proposal on behalf of the Consultant: \*\* [insert complete name of person duly authorized to sign the Proposal]*

*Title of the person signing the Proposal: ..... [insert complete title of the person signing the Proposal]*

*Signature of the person named above: ..... [insert signature of person whose name and capacity are shown above]*

*Date signed ..... [insert date of signing] day of..... [Insert month], [insert year]*

---

*\*In the case of the Proposal submitted by a Joint Venture specify the name of the Joint Venture as Consultant. In the event that the Consultant is a Joint venture, each reference to "Consultant" in the Beneficial Ownership Disclosure Form (including this Introduction there to) shall be read to refer to the joint venture member.*

*\*\*Person signing the Proposal shall have the power of attorney given by the Consultant. The power of attorney shall be attached with the Proposal Schedules."*

## UFAA EPROCUREMENT PORTAL GUIDE

**Step 1.** Click the link <https://eProcurement.ufaa.go.ke> to access the portal

**Step 2.** Register as a new supplier by filling in the required registration details

**Step 3.** Submit and wait for account activation link sent to the email used upon registration

Log in to the email account used upon registration to find the link sent from [suppliersregistration@ufaa.go.ke](mailto:suppliersregistration@ufaa.go.ke) follow the instructions of the email to activate your account.

**Step 4.** After activation of the email account log in to the Eprocurement portal next access your profile and complete all the steps by filling in the required information and submit for approval (**You will be required to attach mandatory documents**) NB: Open Tender, RFP process and Restricted tender may be applied for even before approval is given by UFAA upon submitting profile details.

**Step 5.** Once approval is given from UFAA you will be able to see the RFQ Process and apply for the same.

### Bid submission process (Applies for Open tender and the rest)

For Open Tender/RFP proceed to expand the Open Tender/RFP drop down to reveal

*New Open Tenders/RFP and Applied Open Tenders/RFPs*

Select New Open Tenders/RFPs to list all Open tenders/RFPs available for Bidding.

The screenshot displays the 'New Open Tenders List' page on the UFAA e-Procurement portal. The page features a sidebar with navigation options: Dashboard, My Profile, RFQ Process, Purchase Orders, Open Tenders (selected), New Open Tenders, Applied Open Tenders, RFP Process, Restricted Tenders, and Market Survey. The main content area shows a table of open tenders with columns for No., Opening Date, Closing Date, Subject, Status, and Type. A message at the top states: 'You MUST fill your Basic Profile details first before applying for an Open Tender'. The table lists three tenders, all with a status of 'Released' and type of 'Open Tender'. Each tender has an 'Open' button next to it. The first tender is for 'Prequalification of Legal Service Providers', the second for 'Provision of Office Security Services - Readvertised', and the third for 'Provision of Air Tickets on Framework Agreement'. The page also includes a search bar, a 'Showing 1 to 3 of 3 entries' indicator, and 'Previous' and 'Next' navigation buttons.

No.	Opening Date	Closing Date	Subject	Status	Type
OP0023	31 Mar 2023 10:30	31 Mar 2023 10:30	Prequalification of Legal Service Providers	Released	Open Tender
OP0026	31 Mar 2023 10:30	31 Mar 2023 10:30	Provision of Office Security Services - Readvertised	Released	Open Tender
OP0027	31 Mar 2023 10:30	31 Mar 2023 10:30	Provision of Air Tickets on Framework Agreement	Released	Open Tender

The screenshot displays the 'Available RFPs List' page on the UFAA e-Procurement portal. The page features a sidebar with navigation options: Dashboard, My Profile, RFQ Process, Purchase Orders, Open Tenders, RFP Process (selected), New RFPs Available, Applied RFPs, Restricted Tenders, and Market Survey. The main content area shows a table of available RFPs with columns for No., Opening Date, Closing Date, Subject, and Status. A message at the top states: 'You MUST fill your Basic Profile details first before applying for a Request for Proposal (RFP)'. The table is currently empty, with a message 'No data available in table'. The page also includes a search bar, a 'Showing 0 to 0 of 0 entries' indicator, and 'Previous' and 'Next' navigation buttons.

No.	Opening Date	Closing Date	Subject	Status
No data available in table				

From the list of new open tenders/ RFPs select your interest by clicking the open tab at the far end to your right.

Once you open the tender/RFP scroll down to find the document link where you will be able to download the

tender. As seen below

**Open Tender Card [PUQ0491]**

Sections: Dashboard, My Profile, RFQ Process, Purchase Orders, Open Tenders, New Open Tenders, Applied Open Tenders, RFP Process, Restricted Tenders, Market Survey.

**Tender Document**

Show: 10 entries

#	Document	Document Saved As	Document Link
1	blank	RFP for Provision of Legal Audit Services (002).pdf	<a href="#">View Document...</a>
2	blank	RFP Legal Audit.pdf	<a href="#">View Document...</a>
3	PREQUALIFICATION OF LEGAL SERVICE PROVIDERS 2023-2026.pdf	PREQUALIFICATION OF LEGAL SERVICE PROVIDERS 2023-2026.pdf	<a href="#">View Document...</a>

Showing 1 to 3 of 3 entries

**Attachments**

Upload a Word document that you downloaded and other necessary documents

[Add New Attachment](#)

Show: 10 entries

#	Document	Document Saved As	Document Link
No data available in table			

Showing 0 to 0 of 0 entries

Company: Unclaimed Financial Assets Authority(UFAA)

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Next click on the Generate open tender/RFP tab on the top of the page as seen below.

**New Open Tender [OP0023]**

Generate Open Tender

**General Information**

No: OP0023 Date Tenders Invited: 21 Mar 2023 Expected Closing Date: 31 Mar 2023 10:30 Procurement Methods: OT

Subject: Prequalification of Legal Service Providers Expected Opening Date: 31 Mar 2023 10:30 Technical Pass Score: 70.00

Reason for extending: RFQ Instruction

**Open Tender Lines**

Show: 10 entries

Item	Description	Specification	Delivery Point	BOM	Quantity
GL Account	Legal Services	0	HQ		1.00

Showing 1 to 1 of 1 entries

**Related Documents**

Download the Document, Fill and then submit after generating the open Tender

Show: 10 entries

Document	Date	Record ID	Document Link
No data available in table			

Company: Unclaimed Financial Assets Authority(UFAA)

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Once the Open Tender Quote is generated proceed to fill in the unit cost.

**Open Tender Card [PUQ0491]**

Save Tender Submit Tender Close

**General Information**

No: PUQ0491 Document Date: 24 Mar 2023 Tender Closing Date: 3/01/2023 10:30:00 AM Currency Code: Select... Status: Open  
 Subject: Quote PUQ0491 Portal Status: Draft

**Open Tender Lines (Amount should be Incl. VAT)**

#	Type	Description	Delivery Point	Quantity	UOM	Unit Cost	Amount
1	G/L Account	prequalification of legal service providers		1.00		0	0.00

**Tender Evaluation Criteria**

Show: 10 entries Search:

Code	Category	Description
No data available in table		

Showing 0 to 0 of 0 entries Previous Next

**Tender Document**

**Applied RFP [PUQ0193]**

Save Quote Submit Quote Close

**General Information**

No: PUQ0193 Document Date: 04 Oct 2022 Tender Closing Date: Select... Status: Open  
 Subject: Quote PUQ0193 Portal Status: Draft

**Purchase Quote Lines (Amount should be Incl. VAT)**

#	Type	Description	Delivery Point	Quantity	UOM	Unit Cost	Amount
1	G/L Account			1.00		0	0.00

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Under unit cost avoid putting commas and decimal points to the figure. E.g., Do not put 2,000 or 2000.00 use this format 2000.

Proceed to scroll down the page to find Attachments.

Unclaimed Financial Assets Authority(UFAA)

Open Tender Card [PUQ0491]

Save Tender Submit Tender Close

Code	Category	Description
No data available in table		

Showing 0 to 0 of 0 entries

Tender Document

Show 10 entries

#	Document	Document Saved As	Document Link
1	blank	RFP for Provision of Legal Audit Services (002).pdf	<a href="#">View Document...</a>
2	blank	RFP Legal Audit.pdf	<a href="#">View Document...</a>
3	PREQUALIFICATION OF LEGAL SERVICE PROVIDERS 2023-2026.pdf	PREQUALIFICATION OF LEGAL SERVICE PROVIDERS 2023-2026.pdf	<a href="#">View Document...</a>

Showing 1 to 3 of 3 entries

Attachments

Upload a filled document that you downloaded and other necessary documents

[Add New Attachment](#)

Show 10 entries

#	Document	Document Saved As	Document Link
No data available in table			

Showing 0 to 0 of 0 entries

Company: Unclaimed Financial Assets Authority(UFAA)

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Unclaimed Financial Assets Authority(UFAA)

Applied RFP [PUQ0193]

Save Quote Submit Quote Close

#	Document	Document Saved As	Document Link
No data available in table			

Showing 0 to 0 of 0 entries

Technical Proposal Attachments

Upload a filled Technical Proposal document

[Upload Technical Document](#)

Show 10 entries

#	Document	Document Saved As	Document Link
No data available in table			

Showing 0 to 0 of 0 entries

Financial Proposal Attachments

Upload a filled Financial Proposal document

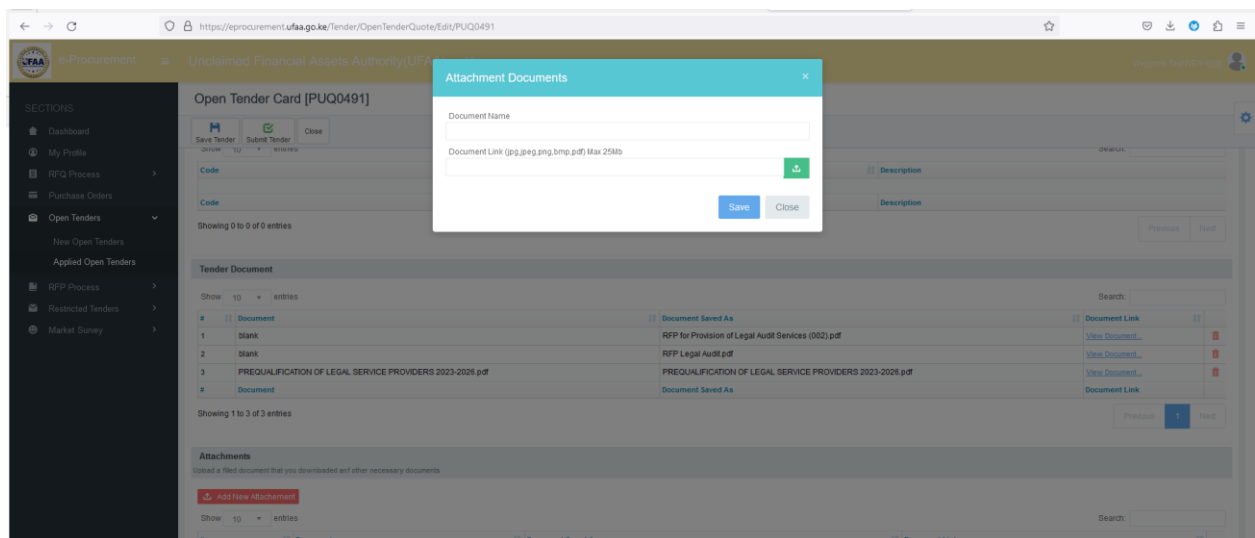
Company: Unclaimed Financial Assets Authority(UFAA)

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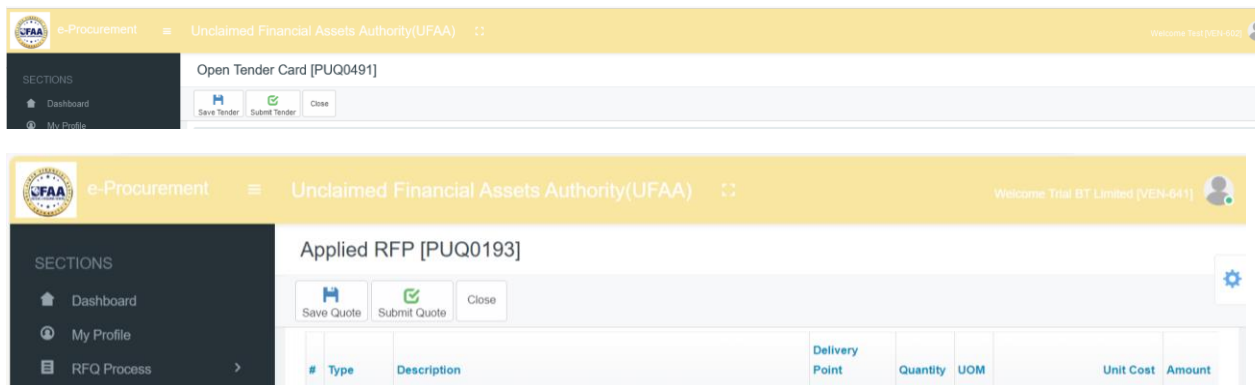
Click on the add new attachment link to upload files as seen above.

Please note files uploaded accept this formats only (jpg,jpeg,png,bmp,pdf)

Also, max document per upload is 25mb



Attach supporting documents as per the tender evaluation criteria from the Tender document.



Once you are done uploading supporting tender documents click on the save Tender button at the top and submit the Tender to finalize.

#### NOTE:

**EMAIL SUBMISSIONS WILL NOT BE ACCEPTED. ENSURE BIDS ARE SUBMITTED THROUGH THE EPROCUREMENT PORTAL EARLY TO AVOID LAST MINUTE TECHNICAL CHALLENGES.**

In case of any challenge do call (0204023140) or Email [procurement@ufaa.go.ke](mailto:procurement@ufaa.go.ke) for further assistance.

Regards

UFAA procurement