



Request for Proposal (RFP)

Consultancy Services for Audit on the Effectiveness of the Compliance Function

Procurement Reference No. RFP/IA_001/2024

30 August 2024

State Insurance Company of Mauritius Ltd | Business Registration No. C07007065

SICOM Building, Sir Célicourt Antelme Street, Port Louis, 11302

t: (230) 203 8400 | f: (230) 208 7662

sicom.mu

A decorative graphic at the bottom of the page consisting of several overlapping circles and leaf-like shapes in shades of blue and yellow.



Letter of Invitation

30 August 2024

Dear Sir/Madam

State Insurance Company of Mauritius Ltd
Request for Proposal
Consultancy Services for Audit on the Effectiveness of the Compliance Function
Procurement Reference No: RFP/IA_001/2024

The State Insurance Company of Mauritius (SICOM) Ltd is inviting you to submit your bid for the following Consultancy Services: Audit on the Effectiveness of the Compliance Function as described in this bid document.

We commit ourselves to maintain the highest standard of integrity and ethical principles during all stages of the procurement cycle.

We would appreciate if you could acknowledge receipt of this Letter of Invitation and inform whether you will be submitting a proposal.

We thank you for your kind consideration.

Yours faithfully

Manager - Internal Audit

Enclosures:

Annex 1: Terms of Reference

Annex 2: Supplementary Information to Consultant



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SECTION I: INSTRUCTION TO CONSULTANTS

1. Introduction

You are hereby invited to submit your proposal for the consultancy services as detailed herein, which shall form the basis for future negotiation(s) and, ultimately, the Contract between your firm, herein referred to as the Consultant, and the State Insurance Company of Mauritius Ltd, herein referred to as the Client / SICOM.

The purpose of this assignment is to :

Audit on the Effectiveness of the Compliance Function for SICOM Group comprising of SICOM, SICOM General Insurance Ltd (SGIN) and SICOM Financial Services Ltd (SFSL)

The following documents are enclosed to enable you to submit your proposal:

- (i) the Terms of Reference (TOR) (Annex 1);
- (ii) Supplementary information for Consultants, including a suggested format of Curriculum Vitae (Annex 2);

2. Eligibility

To be eligible to participate in this bidding exercise, you should:

- a) be duly registered with the appropriate authorities as Consultant to carry out such consultancy services;
- b) have the legal capacity to enter into a contract to execute this consultancy service;
- c) not be insolvent, in receivership, bankrupt, subject to legal proceedings for any of these circumstances or in the process of being wound up;
- d) not have had your business activities suspended;
- e) not have a conflict of interest in relation to this procurement exercise;
- f) have a Business Registration Card/Certificate.

The consulting firm shall have a minimum of 5 years of experience in the execution of similar assignments, including at least 2 such audits performed during the last 3 years for firms with over 100 employees in the financial services sector (excluding global business).

The consulting firm should have a minimum of 10 employees.

Consultants should submit a statement on past and present declaration of ineligibility, if any, by any international agency or any termination of contract for unsuccessful completion of assignment, giving adequate details to enable a fair assessment.

3. Qualification Criteria

- (a) The Lead Consultant assigned to the project shall have a Postgraduate degree or recognised Professional qualification in the relevant field. He shall also have at least 10 years relevant experience and shall have carried out at least two similar assignments during the last 3 years.



- (b) The Compliance Specialist shall have a degree in Law, Law with Management, Accounting, Finance or any other acceptable equivalent qualification and at least 5 years relevant experience . He shall have carried out at least one similar assignment during the last 3 years.
- (c) The Legal Specialist shall have a degree in Law or Law with Management and at least 5 years relevant experience. He shall have carried out at least one similar assignment during the last 3 years.

4. Bid Validity Period

The Bid validity period shall be 90 days from the date of submission deadline during which you will maintain your proposed price.

5. Request for Clarification(s)

Any request for clarification(s) should be sent to the following e-mail: Internal.audit@sicom.mu addressed to the Manager – Internal Audit. Such request is to be sent at least 07 working days prior to deadline for submission of bids.

6. Preparation of Proposal

The Proposal as well as all related correspondence exchanged by the Consultants and the Client, shall be written in English.

In preparing their Proposal, Consultants are expected to examine in detail the documents comprising the RFP. Material deficiencies in providing the information requested may result in rejection of a Proposal.

Please note that the cost of preparing a proposal and of negotiating a contract including visits to Mauritius, if any, is not reimbursable as a direct cost of the assignment.

The Technical Proposal shall be prepared using the attached Standard Form of the bid document.

The Financial Proposal shall be prepared using the attached Standard Form of the bid document. The contract is on a lump sum basis.

7. Submission of Proposals

Bidders should complete the standard forms given in the "Supplementary Information for Consultants". The proposals shall be submitted in one original and one copy.

Bidders must submit the original and the copy of the Technical Proposal in a sealed envelope clearly marked "TECHNICAL PROPOSAL". Similarly, one original and one copy of the Financial Proposal shall be placed in a sealed separate envelope and clearly marked "FINANCIAL PROPOSAL". The two separate envelopes containing the Technical and Financial Proposals shall be placed and sealed in one single envelope clearly marked with **RFP/IA_001/2024** and the "name of the Consultancy Firm"



and addressed to the Group Chief Executive Officer, SICOM Building 1, Sir Cécilcourt Antelme Street, Port Louis. The offer should be deposited in the Tender Box located at Ground Floor, SICOM Building 1, Sir Cécilcourt Antelme Street, Port Louis on or before **Friday 27 September 2024 by 14h00 hrs.**

Late submission shall not be accepted and proposals submitted electronically shall not be considered.

Consultants shall submit only one proposal. If a Consultant submits or participates in more than one proposal, such proposals may not be considered.

8. Opening of Bids

The Client shall open the Proposals after the deadline for their submission internally.

9. Selection and Award of Contract

Technical and Financial Proposals shall be evaluated on the basis of their responsiveness to the Terms of Reference based on the following evaluation criteria:

| | <u>Points</u> |
|--|---------------|
| (i) Adequacy of the proposal | |
| a) Firm's background, structure and capabilities | [20] |
| b) Proposed technical resources and approach | [20] |
| c) Methodology | [20] |
| d) Work plan in responding to the Terms of Reference | [10] |

Total points for criterion (i): [70]

(ii) Key professional staff qualifications and competencies for the assignment

| | |
|--------------------------|------|
| a) Lead Consultant | [10] |
| b) Compliance Specialist | [10] |
| c) Legal Specialist | [10] |

Total points for criterion (ii): [30]

The number of points to be assigned to each of the above positions or disciplines shall be determined considering the following three sub-criteria and relevant percentage weights:

| | |
|-------------------------------------|-------------|
| 1) General qualifications | [30%] |
| 2) Adequacy for the assignment | [30%] |
| 3) Experience in similar assignment | [40%] |
| Total weight: | 100% |

Total points for the two criteria: 100 points



Each responsive Proposal will be given a technical score (St) over a maximum score of 100 points. The minimum technical score St required to pass is: **70 Points**.

A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP, and particularly the Terms of Reference or if it fails to achieve the minimum technical score. Those achieving the minimum technical score shall be retained and have their financial proposal opened. The lowest evaluated Financial Proposal (Fm) will be given the maximum financial score (Sf) of 100 points. The formula for determining the financial scores is the following:

$Sf = 100 \times Fm / F$, in which Sf is the financial score, Fm is the lowest price and F the price of the proposal under consideration.

The weights given to the Technical and Financial Proposals are:

T = 0.7 and

P = 0.3

The firm achieving the highest combined technical and financial score will be invited for negotiations.

10. Clarifications from Bidders

Should you be contacted for negotiations, you must be prepared to furnish the detailed cost breakdown and other clarifications to the proposals submitted by you, as may be required to adjudge the reasonableness of your proposals.

11. Integrity Clause

The Client commits itself to take all measures necessary to prevent corruption and ensures that none of its staff, personally or through his/her close relatives or through a third party, will in connection with the bid for, or the execution of a contract, demand, take a promise for or accept, for him/herself or third person, any material or immaterial benefit which he/she is not legally entitled to.

12. Rights of the Client

The Client reserves the right to accept or reject any proposal, do part or split the procurement at any point in time prior to the award of the contract, to award the contract only for specific phases and not to proceed with other phases, select none or only a few of the additional deliverables proposed, annul the procurement process and reject all proposals, without thereby incurring (i) any liability towards any bidder or any party whatsoever, or (ii) any obligation to inform any bidder, about the grounds of such action.



SECTION II: CONDITIONS OF CONTRACT

1. Payment Terms

Payments for the assignment shall be made in Mauritian Rupees according to the following schedule and based on the deliverables specified at each stage of the project:

- a) Upon successful completion of the draft audit report: 50% of contract amount.
- b) Upon completion and submission of Final audit report : 25% of contract amount.
- c) Upon presentation of Final Report to Senior Management and Audit Committee: 25% of contract amount.

2. Tax Liability

Please note that the remuneration which you receive from this contract will be subject to normal tax liability in Mauritius (no sum will be reimbursed to the Consultant with respect to tax being paid to local or foreign authorities). The Consultant, other than Mauritian nationals, shall be subject to local taxes (such as: value added tax, social charges or income taxes on non-resident Foreign Personnel, duties, fees, levies) on amounts payable by the Client under the Contract. Consultants are requested to contact the Mauritius Revenue Authority at the following address to obtain the relevant information in this respect.

3. Confidentiality & Non-Disclosure Agreement

The Client requires that Consultants participating in this procurement exercise observe the highest standard of ethics during the procurement process and execution of contracts.

As the successful bidder(s) will have access to the data/information of the company while doing the engagement, the Client will require the bidder(s) to sign a Non-Disclosure Agreement (NDA) undertaking not to disclose or part with any information relating to the Group and its data to any person or persons, as may come into possession of the bidder(s) during course of the exercise.

4. Termination

The Client may terminate the Contract, by not less than thirty (30) days' written notice of termination to the Successful Consultant, if the Successful Consultant does not remedy a failure in the performance of its obligations under this Contract, the Successful Consultant becomes insolvent or bankrupt or the Successful Consultant is unable to perform a material portion of the service(s).

5. Settlement of Dispute

The parties shall endeavour to resolve to settle amicably any dispute, controversy or claim arising out or relating to this contract or the breach, termination or invalidity thereof. Unless, any such dispute, controversy or claim between the parties is settled amicably within 30 days after receipt by one party or the other party's request for such amicable settlement, such dispute, controversy or claim shall be referred to an Arbitrator to be mutually agreed by both parties. If the parties fail to mutually agree on the Arbitrator, then the Arbitrator shall be chosen by a Judge of the Supreme



Court. The seat of arbitration shall be Mauritius, and the law of the arbitration shall be Mauritian law.



ANNEX 1: TERMS OF REFERENCE (TOR)

1. Introduction

The Client intends to appoint a Consultant for the following services: Audit on the Effectiveness of the Compliance Function.

2. Scope of Services

Bidders are expected to perform the following reviews / assessments in the undermentioned areas for SICOM and its subsidiaries namely SGIN & SFSL and provide recommendations for improvements, wherever applicable: -

- **Oversight over Compliance Function:**
Assess the adequacy of the stature, independence and authority of the function under the current legal and regulatory framework, the Group's Risk Management Framework, and the National Code of Corporate Governance.
- **Review and evaluate the duties and responsibilities of the following positions in accordance with the respective legal framework:**
 - Money Laundering and Reporting Officer (MLRO) and Deputy MLRO under the Financial Intelligence Anti-Money Laundering Act (FIAMLA)
 - Compliance Officer under the FIAMLA regulations 2018
 - Data Protection Officer under the DPA Act
- **Compliance with legal provisions:**
Evaluate the adequacy, reliability and effectiveness of Policies and procedures set in place for the Group for conforming with relevant legislations including but not limited to the Financial Services Act, FIAMLA, Insurance Act, Banking Act and Securities Act.
- **Compliance with regulatory provisions:**
Evaluate the adequacy, reliability and effectiveness of Policies and procedures set in place for the Group for adhering with the guidelines of the Financial Services Commission and the Bank of Mauritius.
- **Compliance Culture:**
Evaluate how well compliance values are integrated into daily operations and employee behaviour and the level of the compliance culture within the Group.
- **Training:**
Assess adequacy and effectiveness of training provided to employees, directors and other stakeholders to ensure compliance with regulations and internal policies.



- **Compliance reviews and monitoring:**

Determine the appropriateness and adequacy of reviews conducted by the Compliance unit for the Group in line with the inherent risks and as per its annual Action Plans 23/24 and 24/25 and the regular monitoring and screening of transactions including AML / CFT.

- **Reporting to regulators including but not limited to FIU, FSC, BOM, MRA and FCC.**

Determine timeliness and completeness of compliance reporting to the above regulators regularly.

- **Risk Assessment**

Evaluate the risk assessment process within the Compliance Function to ensure it effectively identifies, assesses and mitigates compliance risks.

- **Technology and Systems:**

Assess the adequacy and effectiveness of the technology and systems used by the Compliance Function to manage compliance activities, including transaction monitoring systems, compliance databases and reporting tools.

- **Internal Audit and Risk Management Coordination:**

Review the coordination between the Compliance Function, Internal Audit and Risk Management to ensure effective collaboration and communication.

- **Recommend best practices to be adopted by the Compliance Function.**

3. Contract Duration

The duration of contract shall be 10 weeks.

The date for the commencement of services shall be mutually agreed by both parties.



ANNEX 2: SUPPLEMENTARY INFORMATION FOR CONSULTANTS

1. Proposals

Proposals should include the following information:

a. Technical Proposal

| | Pages |
|--|-------|
| Form TECH-1 : Technical Proposal Submission Form | 8 |
| Form TECH-2 : Firm Background, Structure and Capabilities | 10 |
| Form TECH-3 : List of Past Projects | 11 |
| Form TECH-4 : Description of Approach and Methodology performing the assignment. The Bidder should submit a detailed plan, activity list, tools and methodology to be used, clearly indicating milestones and the number of resources that will be involved in each project stage. | 12 |
| Form TECH-5 : Work Plan. The Bidder should submit a detailed plan, activity list, tools and methodology to be used, clearly indicating milestones and the number of resources that will be involved in each project stage. | 13 |
| Form TECH-6 : Team Composition and Task Assignments | 14 |
| Form TECH-7 : Curriculum Vitae of Proposed Professional Staff (Qualifications and experience) | 15 |
| Form TECH-8 : Staffing Schedule | 16 |
| Form TECH-9 : Work Schedule | 17 |

The Consultant shall provide comments, if any, on the data, services and facilities to be provided by the Client indicated in the Terms of Reference (TOR).

Sample Deliverables

As far as possible, the Bidder should submit samples of the deliverables to be provided under this assignment.



Bidder's Requirements

The Bidder shall specify its requirement in terms of documents to be made available to them for consultation during the assignment and of any logistics required.

Post Implementation Support

The Bidder shall specify mechanism to be set in place for post implementation support to be provided to amend its report to correct any error and/or omission and to give the necessary clarifications when called upon to do so during as well as after implementation of the project in case such a situation arises.

b. Financial Proposal

The Financial Proposal should be given in the form of summary of Contract estimate in Form FIN-1.

The Consultant shall meet the cost of any insurance and/or medical examination or treatment required by him/her/his/her employees involved in this contract, in the course of performing the services.

2. Contract Negotiations

The aim of the negotiations is to reach an agreement on all points with the Consultant and initiate a draft contract by the conclusion of negotiations. Negotiations commence with a discussion of Consultant's proposal, the proposed work plan, and any suggestions made to improve the Terms of Reference. Agreement will then be reached on the final Terms of Reference and the bar chart, which will indicate periods in weeks and reporting schedule.

Once these matters have been agreed, financial negotiations will take place and will begin with a discussion of your proposed payment schedule (if needed).

3. Review of Reports

The Client will review all reports and suggest any modifications/changes considered necessary.



FORM TECH-1: TECHNICAL PROPOSAL SUBMISSION FORM

[Location, Date]

To: [Name and address of Client]

Dear Sir/Madam

- (a) 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 Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal in separate envelopes.
- (b) We are submitting our Proposal in association with: [Insert a list with full name and address of each associated Consultant or mention Not Applicable].
- (c) We hereby declare that all the information and statements made in this Proposal are true and accept that any misinterpretation contained in it may lead to our disqualification.
- (d) If negotiations are held during the period of validity of the Proposal, we undertake to negotiate on the basis of the proposed staff. Our Proposal is binding upon us and subject to the modifications resulting from Contract negotiations.
- (e) We undertake, if our Proposal is accepted, to initiate the consulting services related to the assignment not later than the date in this bid document.
- (f) We have taken steps to ensure that no person acting for us or on our behalf will engage in any type of fraud and corruption as per the principles described hereunder, during the bidding process and contract execution:
 - (i) We shall not, directly or through any other person or firm, offer, promise or give to any of the clients' employees involved in the bidding process or the execution of the contract or to any third person any material or immaterial benefit which he/she is not legally entitled to, in order to obtain in exchange any advantage of any kind whatsoever during the tender process or during the execution of the contract.
 - (ii) We shall not enter with other Consultants into any undisclosed agreement or understanding, whether formal or informal. This applies in particular to prices, specifications, certifications, subsidiary contracts, submission or non-submission of



proposals or any other actions to restrict competitiveness or to introduce cartelisation in the bidding process.

- (iii) We shall not use falsified documents, erroneous data or deliberately not disclose requested facts to obtain a benefit in a procurement proceeding.

We understand that transgression of the above is a serious offence and appropriate actions will be taken against such consultants.

- (g) We understand that the Client reserves the right to accept or reject any proposal, do part or split the procurement at any point in time prior to the award of the contract, to award the contract only for specific phases and not to proceed with other phases, select none or only a few of the additional deliverables proposed, annul the procurement process and reject all proposals, without thereby incurring (i) any liability towards any bidder or any party whatsoever, or (ii) any obligation to inform any bidder, about the grounds of such action.

We remain,

Yours sincerely,

Authorized Signature [*In full and initials*]: _____

Name and Title of Signatory: _____

Name of Firm: _____

Address: _____



FORM TECH-2: FIRM BACKGROUND, STRUCTURE AND CAPABILITIES

| S/N | Description | Details |
|------------------------------------|--|---|
| 1. Background of the Firm | | |
| a. | Field of Operations/Sector of Activity | |
| b. | Company founded in year | |
| c. | Name of Director/s | 1. 2. 3. 4. 5. 6. 7. 8. 9. 10. |
| d. | Name of Shareholder/s | 1. 2. 3. 4. 5. 6. 7. 8. 9. 10. |
| 2. Structure of the Firm | | |
| a. | Established organigram with well-defined roles and responsibilities | To be submitted as attachment and company profile |
| b. | No. of employees in the firm | |
| 3. Capabilities of the Firm | | |
| a. | Number of years of experience in audit services | |
| b. | List of past similar assignments during the last 3 years for firms above 100 employees in the financial sector | To be submitted as per Form TECH-3 |



FORM TECH-3: LIST OF PAST PROJECTS

[Using the format below, provide information on each past assignment for which your firm, and each associate for this assignment, was legally contracted either individually as a corporate entity or as one of the major companies within an association in Mauritius, for carrying out consulting services similar to the ones requested under this assignment during the past 3 years.]

Section A: For the Firm

| | |
|--|---|
| Assignment name: | Approx. value of the contract (in current Rs equivalent): |
| Country: Location within country: | Duration of assignment (months): |
| Name of Client: | Total N ^o of staff-months of the assignment: |
| Address: | Approx. value of the services provided by your firm under the contract (in current Rs equivalent): |
| Start date (month/year): Completion date (month/year): | N ^o of professional staff-months provided by associated Consultants: |
| Name of associated Consultants, if any: | Name of senior professional staff of your firm involved and functions performed (indicate most significant profiles such as Project Director/Coordinator, Team Leader): |
| Narrative description of Project: | |
| Description of actual services provided by your staff within the assignment: | |

Firm's Name: _____



Section B: For the Lead Consultant

| S/N | Project Name | Description of services provided by Lead Consultant as Client Representative* | Approx. project value | Completion Date | Name of Client & Name of Contact person | Nature of services provided | Duration |
|-----|--------------|---|-----------------------|-----------------|---|-----------------------------|----------|
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Section C: For the Compliance Specialist

| S/N | Project Name | Description of services provided by the Compliance Specialist as Client Representative* | Approx. project value | Completion Date | Name of Client & Name of Contact person | Nature of services provided | Duration |
|-----|--------------|---|-----------------------|-----------------|---|-----------------------------|----------|
| 1 | | | | | | | |
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Section D: For the Legal Specialist

| S/N | Project Name | Description of services provided by the Legal Specialist as Client Representative* | Approx. project value | Completion Date | Name of Client & Name of Contact person | Nature of services provided | Duration |
|-----|--------------|--|-----------------------|-----------------|---|-----------------------------|----------|
| 1 | | | | | | | |
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FORM TECH-4: DESCRIPTION OF APPROACH, METHODOLOGY AND WORK PLAN FOR PERFORMING THE ASSIGNMENT

[You must present your Technical Proposal (inclusive of charts and diagrams) divided into the following three chapters:

- a) Technical Approach and Methodology;
 - b) Work Plan; and
 - c) Organisation and Staffing.
-
- a) **Technical Approach and Methodology.** In this chapter you should explain your understanding of the objectives of the assignment, approach to the services, methodology for carrying out the activities and obtaining the expected output, and the degree of detail of such output. You should highlight the problems being addressed and their importance, and explain the technical approach you would adopt to address them. You should also explain the methodologies you propose to adopt and highlight the compatibility of those methodologies with the proposed approach. The Consultant shall provide comments/suggestions (new/innovative methodologies if applicable), if any, on the data, services and facilities to be provided by the Client indicated in the Terms of Reference (TOR).
 - b) **Work Plan.** In this chapter you should propose the main activities of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents, including reports, drawings, and tables to be delivered as final output, delivery of services including list of deliverables at each stage, should be included here. The work plan should be consistent with the Work Schedule of Form TECH-5.
 - c) **Organization and Staffing.** In this chapter you should propose the structure and composition of your team and list the main disciplines of the assignment as per Form TECH-6, the definition of duties/responsibilities (list of key experts), qualifications and experience of proposed professional staff in similar assignment during past 3 years (description of services provided by Consultant as Client Representative) as per Form TECH-7, Staffing Schedule as per Form TECH-8 and Work Schedule as per Form TECH-9.



FORM TECH-6: TEAM COMPOSITION AND TASK ASSIGNMENTS

| <i>Professional Staff</i> | | | | |
|---------------------------|-------------|--------------------------|--------------------------|----------------------|
| Name of Staff | Firm | Area of Expertise | Position Assigned | Task Assigned |
| | | | | |
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FORM TECH-7: FORMAT OF CURRICULUM VITAE (CV) FOR CONSULTANT / KEY STAFF

Name of Consultant: _____

Profession: _____

Date of Birth: _____

Nationality: _____

Membership in Professional bodies: _____

Key Qualifications:

[Give an outline of experience and training most pertinent to tasks on assignment. Describe degree of responsibility held on relevant previous assignments and give dates and locations. Use about half a page.]

Education:

[Summarize college/university and other specialized education, giving names of institutions, dates attended, and degrees obtained. Use about one quarter of a page.]

Employment Record:

[Starting with present position, list in reverse order every employment held. List all positions held since graduation, giving dates, names of employing organizations, titles of positions held, and locations of assignments. For experience in last ten years, also give types of activities performed and employers references, where appropriate. Use about two pages.]

Languages:

[For each language indicate proficiency: excellent, good, fair, or poor; in speaking, reading, and writing]

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe me, my qualifications, and experience.

Date: Day/Month/Year

[Signature of Consultant]

Full name of Consultant: _____



FORM TECH-9 WORK SCHEDULE

| N° | Activity ¹ | Months ² | | | | | | | | | | | | |
|----|-----------------------|---------------------|---|---|---|---|---|---|---|---|----|----|----|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | n |
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- 1 Indicate all main activities of the assignment, including delivery of reports (e.g.: inception, interim, and final reports), and other benchmarks such as Client approvals. For phased assignments please indicate activities, delivery of reports, and benchmarks separately for each phase.
- 2 Duration of activities shall be indicated in the form of a bar chart.



FORM FIN-1: FINANCIAL PROPOSAL SUBMISSION FORM

[Location, Date]

To: [Name and address of Client]

Dear Sir/Madam

- (a) 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 lump sum of [Insert amount(s) in words and figures]. This amount is inclusive of the local or any other applicable taxes **including VAT**.
- (b) Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal, i.e. before the date indicated in the bid document.
- (c) Commissions and gratuities paid or to be paid by us to agents relating to this Proposal and Contract execution, if we are awarded the Contract, are listed below:

| Name and Address of Agents | Amount and Currency | Purpose of Commission or Gratuity |
|----------------------------|---------------------|-----------------------------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

- (d) We have taken steps to ensure that no person acting for us or on our behalf will engage in any type of fraud and corruption as per the principles described hereunder, during the bidding process and contract execution:
 - i. We shall not, directly or through any other person or firm, offer, promise or give to any of the clients’ employees involved in the bidding process or the execution of the contract or to any third person any material or immaterial benefit which he/she is not legally entitled to, in order to obtain in exchange any advantage of any kind whatsoever during the tender process or during the execution of the contract.
 - ii. We shall not enter with other applicants into any undisclosed agreement or understanding, whether formal or informal. This applies in particular to prices, specifications, certifications, subsidiary contracts, submission or non-submission of bids or any other actions to restrict competitiveness or to introduce cartelisation in the bidding process.



iii. We shall not use falsified documents, erroneous data or deliberately not disclose requested facts to obtain a benefit in a procurement proceeding.

We understand that transgression of the above is a serious offence and appropriate actions will be taken against such applicants.

(e) We understand that the Client reserves the right to accept or reject any proposal, do part or split the procurement at any point in time prior to the award of the contract, to award the contract only for specific phases and not to proceed with other phases, select none or only a few of the additional deliverables proposed, annul the procurement process and reject all proposals, without thereby incurring (i) any liability towards any bidder or any party whatsoever, or (ii) any obligation to inform any bidder, about the grounds of such action.

We remain,

Yours sincerely,

Authorized Signature [*In full and initials*]: _____

Name and Title of Signatory: _____

Name of Firm: _____

Address: _____



FORM FIN-2: SUMMARY OF COSTS

| Description | SICOM | SGIN | SFSL |
|--|-------|------|------|
| Audit Services Charge | | | |
| Any Other Charges | | | |
| Sub Total | | | |
| VAT | | | |
| Total Costs inclusive of all charges - Rs | | | |

Note: The Client reserves the right to accept or reject any proposal, do part or split the procurement at any point in time prior to the award of the contract, to award the contract only for specific phases and not to proceed with other phases, select none or only a few of the additional deliverables proposed, annul the procurement process and reject all proposals, without thereby incurring (i) any liability towards any bidder or any party whatsoever, or (ii) any obligation to inform any bidder, about the grounds of such action.

I/We hereby certify that we have taken steps to ensure that no person acting for us or on our behalf will engage or has been involved in any type of fraud and corruption bidding processes and we commit ourselves to observe the same principles if the contract is awarded to me/us and during its execution.

We understand that transgression of the above is a serious offence and appropriate actions will be taken against me/us.

I/We agree to execute the contract at price(s) quoted by me/us in accordance with the Terms & Conditions of the Contract.

| | | | |
|---------------------|--|---------------------|--|
| NAME: | | SIGNATURE: | |
| POSITION: | | DATE: | |
| VAT NUMBER | | BRN NUMBER | |
| COMPANY NAME | | COMPANY SEAL | |