



**REQUEST FOR PROPOSALS (RFP)**

**TENDER NO.: KWS/RFP/PENSION/10/2018-2020:**

**PROVISION OF PENSION SCHEME AUDIT SERVICES**

**CLOSING DATE AND TIME**

**7<sup>th</sup> JANUARY, 2019 AT 12 NOON**

**P.O. BOX 40241 – 01000 NAIROBI, TEL 254-20-6000800, 6002345. ISDN +254-0203992000/1000**

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## LETTER OF INVITATION

Dear Sir/Madam:

### **REQUEST FOR PROPOSAL (RFP) PROVISION OF PENSION SCHEME AUDIT SERVICES**

The Kenya Wildlife Service (KWS) hereby invites competent and eligible firms to submit technical and financial proposals to provide Annual Audit Services for a period of Three years renewable annually for both Schemes separately.

The Pension Scheme was established under an irrevocable trust effective 1<sup>st</sup> July 1991 as a Defined Benefit Scheme; KWS Staff Superannuation Scheme. However, on the DB Scheme was Closed to new entrants and to future accrual of contributions on 31<sup>st</sup> December, 2006 and a new Defined Contribution Pension Scheme; KWS Staff Retirement Benefits Scheme, 2006 was established on 1<sup>st</sup> January, 2007. The Schemes are managed by Trustees under a Trust Deed and Rules and the Retirement Benefit Authority Act 1997 and Regulations.

The objective of the audit of the Staff Pension Schemes financial statements is to;

1. Enable auditors to express an independent professional opinion on the Financial position of the Scheme and to ensure that the funds have been utilized for their intended purpose
2. Confirm if proper books of accounts as required by law have been maintained by the Pension Schemes and also maintain adequate internal controls and supporting documents for the transactions.

You are therefore requested to submit your bid for Audit Services in conformity with the Terms of reference (TOR) specified herein.

To be eligible for evaluation, interested firms should submit together with their Technical and Financial proposals, the following documents to demonstrate their technical and proven experience in similar assignments:

1. Company profile (Company/business name, Shareholding/Partnership details, registered offices, physical address, contact numbers and contact person)
2. Certificate of Registration and Valid Business License
3. Tax compliance certificate
4. Professional Indemnity cover

5. A declaration that the bidder will not engage in any corrupt or fraudulent practice and a declaration that the person or his or subcontractors are not debarred from practicing in public procurement.
6. Letter of undertaking authorizing the Scheme to obtain confidential information concerning your company firm from your clients
7. Tender document must be Sequential paginated

The Request for Proposals (RFP) includes the following:

- Letter of Invitation
- Terms Of Reference
- Information to Audit s
- Statement of Works
- Standard Forms of Contract
  - Technical Proposal – Standard Forms
  - Financial Proposal – Standard Forms

**Tender documents detailing the requirements may be downloaded from KWS website [www.kws.go.ke](http://www.kws.go.ke) (<http://www.kws.go.ke/tenders>)**

Bids should be submitted in duplicate marked 'ORIGINAL' and 'COPY' in a plain sealed envelopes to reach the Director General, KWS or be placed in the Tender Box situated at the Main Entrance of KWS Headquarters, along Lang'ata Road, on or before **12.00 NOON on JANUARY 7<sup>th</sup>, 2019.**

The plain sealed envelope should indicate the Tender Reference name without identifying the sender. Bulky bid documents that cannot go through the slot of the Tender Box may be placed in the office of the Head of Supply Chain Management **at 11.45 A.M on or before 7<sup>TH</sup> January, 2019.**

The bids will be opened at 12.00 NOON same day and interested bidders may attend the bid opening session. Late bids will be rejected and returned to the bidders unopened.

Yours Faithfully,

**HEAD SUPPLY CHAIN MANAGEMENY  
KENYA WILDLIFE SERVICE**

## **TERMS OF REFERENCE**

### **1.0 Introduction and Background of the Pension Scheme**

KWS Staff Superannuation Scheme was established under irrevocable trust on 1st July 1991 with the benefits being pegged on an actuarial factor of 1/480th of pensionable salary for final annual salary at the time of closure and the pensionable service. The Scheme was closed for new entrant effective from 31<sup>st</sup> December, 2006

Effective 1<sup>st</sup> January, 2007, KWS Staff Retirement Benefits Scheme, 2006 was set up for active member and those employed after by the Trustees and the sponsor where benefits are now pegged on contributions and investment income.

The two Schemes are independent and managed separately by different Board of Trustees.

### **2.0 Objective of the Audit**

1. The objective of the audit of the Staff Pension Scheme financial statements is to enable auditors to express an independent professional opinion on the Financial position of the Scheme and to ensure that the funds have been utilized for their intended purpose
2. Proper books of accounts as required by law have been maintained by the Pension Scheme and also maintain adequate internal controls and supporting documents for the transactions.

### **3.0 Scope of Audit**

1. The Audit will be carried out in accordance with the International Auditing Standards and the Provisions of Retirement Benefits Authority Act, 1997 and the Regulations there under and will include tests and verification procedures as the auditors deem necessary.
2. Verify if all funds have been used in accordance with the established rules and regulations of the Pension Scheme only for the purposes for which the funds were provided.
3. Appropriate supporting documents, records and books of accounts relating to all activities have been kept. Clear linkages should exist between the books of accounts and financial statements presented to.

4. The financial statements have been prepared by the Scheme Administrator in accordance with applicable accounting standards and give true and fair view of the financial position of the Scheme and of its receipts and expenditure for the period ended on that date.
5. Comprehensive assessment of the adequacy and effectiveness of the accounting and overall internal control system to monitor expenditures and other financial transactions.
6. Express an opinion as to reasonable of the financial statements in all material respects
7. Include in their reports opinion on compliance with procedures designed to provide reasonable assurance of detecting misstatements due to errors or fraud that are material in the financial statements.
8. Conduct entry and exit meeting with the Trustees and Scheme Administrator.
9. In addition to Audit Report, the Auditors will prepare a Management letter on the following
  - a) Give comments and observations on the accounting records, procures, systems and that were examined during the course of audit.
  - b) Identify specific deficiencies and areas of weaknesses in systems and controls and make recommendations for improvement.
  - c) Report on implementation status of recommendations pertaining to previous period audit reports
  - d) Communicate matters that have come to their attention during the audit which might have significant impact on sustainability of the organization.
  - e) Provide professional advice on the internal controls and general operational system of the Scheme.
  - f) Bring to the Trustee's attention any other matters that the auditors consider pertinent

#### **4.0 Audit duration**

The audit report shall be submitted within **three weeks (3)** from the date of commencement of the audit.

## **5.0 Deliverables**

1. The Auditors on completion of the Audit work will submit five (5) original copies of the Audit Report appended to financial statements along with the reports to the attention of the Scheme Secretary
2. Management letter in accordance with the scope of work

## **INSTRUCTION TO BIDDERS**

### **2.0 General Terms and Conditions**

#### **2.1 Scope**

The Invitation to Bid (RFP) document is for the procurement of "Audit services", as specified in the data sheet. Bidders must comply fully with the requirements set out in this document.

#### **2.2 Eligibility**

Participation in this tender process is open to organizations/ institutions/firms and individuals from Kenya on equal terms, subject to the restrictions and conditions outlined below.

##### **2.2.1 Restrictions**

Organizations or individuals who are prohibited from participation in public procurement or who may have been suspended by KWS, on grounds of incompetence or "non delivery" of services will not be considered.

If the information provided by the bidder to support an application, especially regarding past performance and references is falsified, such application will be disqualified from consideration.

Any organization in which KWS or any of it's' employees is involved or have ownership, directorship or vested interests, shall not be allowed to propose, submit bids or participate in any way.

Organizations or individuals may be excluded from the evaluation and award of contract if they;

- a. Are bankrupt, or are being wound up, or whose affairs are being administered by court, or who have entered into an arrangement with creditors, or who have suspended business activities or who are subject to an injunction against running business by a court of law;
- b. Are subject of proceedings for declaration of bankruptcy, or of an order for compulsory winding up or administration by court, or of an arrangement with creditors, or of any other similar proceedings;
- c. Have been convicted of an offence concerning their professional conduct by a court of law, or found guilty of grave professional misconduct; and
- d. Have not fulfilled obligations relating to payments of taxes or statutory contributions.

All bidders are required to sign the bidders Declaration form contained in Appendix 4

### **2.3 Conflict of Interest**

Conflict of interest is described as;

1. Any event(s) influencing the capacity of a candidate, bidder or contractor to give an objective and impartial professional opinion, or preventing him at any moment, from giving priority to the interests of KWS SSS.
2. Receipt or granting of any consideration relating to possible contracts in the future or conflict with other commitments, past, present, of a candidate, bidder or contractor, or any conflict with their own interests.

These restrictions also apply to subcontractors and employees of the candidate, bidder or contractor.

### **2.4 Request for Clarification**

Any request for clarification must be received by KWS- Supply Chain Management in writing as specified in the data sheet (clause 1.3). If KWS SSS either on its own initiative or in or in response to a request from a bidder provides additional information on the proposal document, such information will be sent in writing to all bidders.

## **2.5 Amendment of RFP Documents**

At any time prior to the deadline for submission of proposals, KWS SSS/KWS RBS, for any reason, whether at its own initiative or in response to a clarification requested by prospective bidders may modify the RFP documents by amendment.

All prospective bidders will be notified of the amendment in writing and it will be binding on them. KWS SSS/KWS RBS, may, at its discretion, extend the deadline, if deemed necessary to allow bidders reasonable time to take the amendment into account.

## **3.0 Preparation of Proposal**

### **TECHNICAL PROPOSAL**

- 3.1 The bidder's proposal shall be written in English language.
- 3.2 In preparing the Technical Proposal, Auditors are expected to examine the documents constituting this RFP in detail. Material deficiencies in providing the information requested may result in rejection of a proposal.
- 3.3 While preparing the Technical Proposal, Auditors must give particular attention to the following:
  - (i) If a firm considers that it does not have all the expertise for the assignment, it may obtain a full range of expertise by associating with individual consultant(s) and/or other firms or entities in a joint venture.
  - (ii) It is desirable that the majority of the key professional staff proposed be available throughout the contract period
  - (iii) Proposed professional staff must, as a minimum, have the experience indicated
  - (iv) Alternative professional staff shall not be proposed and only one Curriculum Vitae (CV) may be submitted for each position.
- 3.4 The Technical Proposal shall provide the following information using the attached Standard Forms;



- (i) A brief description of the firm's organization and an outline of recent experience on assignments of a similar nature. For each assignment the outline should indicate *inter alia*, the profiles of the staff proposed, duration of the assignment, contract amount and firm's involvement.
- (ii) A description of the methodology and work plan for performing the assignment.
- (iii) The list of the proposed staff team by specialty, the tasks that would be assigned to each staff team member and their timing.
- (iv) CVs recently signed by the proposed professional staff and the authorized representative submitting the proposal. Key information should include number of years working for the firm/entity and degree of responsibility held in various assignments
- (v) Estimates of the total staff input (professional and support staff staff-time) needed to carry out the assignment and the time proposed for each professional staff team member.

3.5 The Technical Proposal shall not include any financial information

### **FINANCIAL PROPOSAL**

3.6 In preparing the Financial Proposal, Auditors are expected to take into account the requirements and conditions outlined in the RFP documents. The Financial Proposal should follow Standard Forms (Section D). It lists all costs associated with the assignment including; (a) professional fees remuneration for staff (in the field and at headquarters, and (b) Disbursements reimbursable expenses (if any), transportation, services and equipment (vehicles, office equipment, furniture and supplies), office rent, insurance, printing of documents, surveys and training, if it is a major component of the assignment. If appropriate these costs should be broken down by activities.

3.7 The Financial Proposal should clearly identify as a separate amount, the local taxes, duties, fees, levies and other charges imposed under the law on the Auditors, the sub consultants and their personnel.

3.8 Bidders shall express the price of their services in Kenya Shillings.

3.9 Commissions and gratuities, if any, paid or to be paid by Auditors and related to the services will be listed in the Financial Proposal submission Form.

3.10 The Proposal must remain valid for 90 days after the submission date. During this period, the Auditor is expected to keep available, at his own cost, the professional staff proposed for the assignment. KWS will make an effort to complete negotiations within this period. If the KWS wishes to extend the validity period of the proposals, the Auditors who do not agree have the right not to extend the validity of their proposals.

### **Submission, Receipt, and Opening of Proposals**

4.1 The original proposal (Technical Proposal and Financial Proposal) shall be prepared in indelible ink. It shall contain no interlineations or overwriting, except as necessary to correct errors made by the firm itself. Any such corrections must be initialed by the persons or person authorized to sign the proposals.

4.2 For each proposal, the Auditors shall prepare the number of copies indicated. Each Technical Proposal and Financial Proposal shall be marked "**ORIGINAL**" or "**COPY**" as appropriate. If there are any discrepancies between the original and the copies of the proposal, the original shall govern.

4.3 The original and all copies of the **Technical Proposal** shall be placed in a sealed envelope clearly marked "**TECHNICAL PROPOSAL**," and the original and all copies of the FINANCIAL PROPOSAL in a sealed envelope clearly marked "**FINANCIAL PROPOSAL**" and warning: "**DO NOT OPEN WITH THE TECHNICAL PROPOSAL**". Both envelopes shall be placed into an outer envelope and sealed. This outer envelope shall bear the submission address and other information indicated and be clearly marked, "**DO NOT OPEN, EXCEPT IN PRESENCE OF THE EVALUATION COMMITTEE.**"

4.4 The completed Technical and Financial Proposals must be delivered at the submission address on or before closure date. Any proposal received after the closing time for submission of proposals shall be returned to the respective Auditor **unopened**.

4.5 After the deadline for submission of proposals, the Technical Proposal shall be opened immediately by the evaluation committee. The Financial Proposal shall remain sealed and deposited with a responsible officer of the client department until all submitted proposals are opened publicly.

## **5.0 Proposal Evaluation General**

5.1 From the time the bids are opened to the time the Contract is awarded, if any Auditor wishes to contact the Client on any matter related to his proposal, he should do so in writing at the address indicated. Any effort by the firm to influence the Client in the proposal evaluation, proposal comparison or Contract award decisions may result in the rejection of the Auditor's proposal.

5.2 Evaluators of Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded.

## **SPECIAL CONDITIONS OF CONTRACT**

### **5.3 Undertake statutory audit of the Scheme.**

- 5.3.1 Provide professional advice on the internal controls and general operational system of the Scheme.
- 5.3.2 Ensure that the Scheme Accounts and Financial Statements are prepared in accordance with the International Financial Reporting Standards and the Provisions of Retirement Benefits Authority Act, 1997 and the Regulations there under.

### **5.4 Notes on Special Conditions of Contract**

#### **5.4.1 Firm Profile**

Please provide a brief description of your firm's history, ownership structure and the main objects and main business areas (Not more than two pages).

#### **5.4.2 Personnel**

- a) Please provide the following information in respect of your (a) audit personnel in Kenya: -
  - (i) Total employees split as.
  - (ii) Client Service/Marketing
  - (iii) Administrators
  - (iv) Other Professionals
  - (v) Other full-time employees.

- (vi) Overseas Professionals (if applicable).
- b) Provide an organizational flow chart and an organ gram of the firm.
- c) Please give an indication of turnover of personnel and specify the number of personnel who have left and joined over the last three years.

#### 5.4.3 Professional Indemnity

- a) Does your company have in place Professional Indemnity insurance?
- b) If yes, please state the amount of cover and the name of the insurer. Include a copy of the cover.

### 5.5 Funds under Audit

5.5.1 Please provide the following information for the funds under Audit:

Size of funds in Kes..	<500m	500m – 1bn	1bn –	>3bn	Total
Number of segregated pension/provid					
Total Value					

5.5.2 Please also provide the following information for the funds under Audit in the form of a table: -

Value in Kes. of:

- (i) Government securities (treasury bills and bonds)
- (ii) Equity stock quoted on the NSE
- (iii) Unquoted Stock
- (iv) Fixed-income securities
- (v) Corporate bonds
- (vi) Commercial Paper
- (vii) Direct property holdings
- (viii) Offshore equity investments
- (ix) Offshore fixed-income investments
- (x) Cash
- (xi) Other (please specify)

For the last 3 Years to 30 September 2018.

## EVALUATION OF TECHNICAL PROPOSALS

5.6 The evaluation committee appointed by the Client shall evaluate the proposals on the basis of their responsiveness to the Terms of Reference, and applying the evaluation criteria below;

<b>EVALUTION CRITERIA</b>	<b>SCORE/ PARTICULARS PROVIDED</b>
Mandatory Requirements	YES/NO
Corporate Structure and methodology	60
Technical Qualification & Competence	30
General Considerations	10
<b>TOTAL</b>	<b>100</b>

### 5.6.1 MANDATORY REQUIREMENTS

<b>Criterion</b>	<b>Particulars Provided (YES/NO)</b>
Name of bidder, registered office and contact details	
Business Registration Certificate	
A certified copy of CR12 for limited companies or a copy of business registration certificate for sole proprietorship or the equivalent document for partnerships that clearly indicates the ownership must be attached.	
Company profile	
Audited accounts for last two years – 2015-2016, 2016-2017	
Certified copy of valid business permit	
Valid Tax compliance Certificates from Kenya Revenue Authority (KRA) copy must be attached	
Letter of undertaking authorizing the Scheme to obtain confidential information concerning your company/ firm from your clients	
Professional Indemnity cover	

A declaration that the bidder will not engage in any corrupt or fraudulent practice and a declaration that the person or his or her sub-contractors are not debarred from participating in procurement proceeding.	
Tender document must be Sequential paginated	

## 5.6.2 TECHNICAL EVALUATION

### a) Corporate structure and methodology ( 60 Marks)

	Criteria	Particulars provided	Scores
1	The profile of the firm and understanding of the terms of reference <b>(10 Marks )</b>		
2	Experience in providing Audit of Pension Schemes (for at least 3 firms) <b>(6 Marks )</b>		
3	List of current clients (at least clients with the asset base of over KShs 3 billion). Attached Contract Agreement <b>(6 Marks )</b>		
4	Letter of undertaking authorizing the Scheme to obtain confidential information concerning your firm from your clients. <b>(3 Marks )</b>		
5	List of your new clients over the last 3 years. Please provide the fund size of the Scheme <b>(6 Marks )</b>		
6	Reference Letters from your current clients (at least 3 clients). <b>(6 Marks )</b>		
7	Academic and professional qualifications of directors. <b>(6 Marks )</b>		
8	Any Value added services you are likely to provide <b>(2 Marks )</b>		
9	Your methodology and approach to providing the above mentioned services. <b>(10 Marks )</b>		
10	Compliance with the new regulations published by the Retirement Benefit Authority. <b>(5 Marks )</b>		

**b) Technical Qualification & Competence of Key Staff for the assignment - (30MARKS)**

	<b>Criterion</b>	<b>Particulars provided</b>	<b>Scores</b>
1	Staff Complement of Organization <b>(5Marks)</b>		
2	Number of staff and experience (cumulative years) <b>(5 Marks)</b>		
3	Appropriate qualification of the team <b>(5 Marks)</b>		
4.	Staff shareholding in organization <b>(5 Marks)</b>		
5.	Capability/experience/composition of client team <b>(5 Marks)</b>		
6.	Defined function & segregation of staff roles <b>(5Marks)</b>		

**c) General Considerations - (10 Marks)**

	<b>Criteria</b>	<b>Particulars provided</b>	<b>Scores</b>
1.	Amount of cover for Professional Indemnity Insurance <b>(4 Marks)</b>		
2.	Client specific reporting <b>(2 Marks)</b>		
3.	Negotiation of Fees <b>(2 Marks)</b>		
4.	Value added services <b>(2 Marks)</b>		

Each responsive proposal will be given a technical score (St). A proposal shall be rejected at this stage if it does not respond to important aspects of the Terms of Reference.

5.7 Any proposal that does not attain a minimum threshold of 70 points at the technical evaluation stage will be rejected and thus will not be considered for financial evaluation.

### **Public Opening and Evaluation of Financial Proposals**

5.8 After Technical Proposal evaluation, the Client shall notify those Auditors whose proposals did not meet the minimum qualifying mark or were considered non-responsive to the RFP and Terms of Reference, indicating that their Financial Proposals will be returned after completing the selection process. The Client shall simultaneously notify the Auditors who have secured the minimum qualifying mark, indicating the date and time set for opening the Financial Proposals and stating that the opening ceremony is open to those Auditors who choose to attend. The opening date shall not be sooner than seven (7) days after the notification date. The notification may be sent by registered letter, or electronic mail.

5.9 The Financial Proposals shall be opened publicly in the presence of the Auditors' representatives who choose to attend.

5.10 The name of the Auditor, the technical scores and the proposed prices shall be read aloud and recorded when the Financial Proposals are opened. The Client shall prepare minutes of the public opening.

5.11 The evaluation committee will determine whether the financial proposals are complete (i.e. whether the Auditors have costed all the items of the corresponding Technical Proposal and correct any computational errors. The cost of any unpriced item shall be assumed to be included in other costs in the proposal. In all cases, the total price of the Financial Proposal as submitted shall prevail.

5.12 While comparing proposal prices between local and foreign firms participating in a selection process in financial evaluation of Proposals, firms incorporated in Kenya where indigenous Kenyans own 51% or more of the share capital shall be allowed a 10% preferential bias in proposal prices. However, there shall be no such preference in the technical evaluation of the tenders. Proof of local incorporation and citizenship shall be required before the provisions of this



sub-clause are applied. Details of such proof shall be attached by the Auditor in the financial proposal.

5.9 The formulae 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.

Proposals will be ranked according to their combined technical ( $S_t$ ) and financial ( $S_f$ ) scores using the weights ( $T$ =the weight given to the Technical Proposal ( $T=0.75$ );  $P$ = the weight given to the Financial Proposal ( $P=0.25$ );  $T + P = 1$ ). The combined technical and financial score,  $S$ , is calculated as follows:-  $S = S_t \times T \% + S_f \times P \%$ .

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

## **6. Negotiations**

6.1 Negotiations will be held with successful firm with the aim of reaching an agreement on all points and sign a contract.

6.2 Negotiations will include a discussion of the Technical Proposal, the proposed methodology (work plan), staffing and any suggestions made by the firm to improve the Terms of Reference. The Client and firm will then work out final Terms of Reference, staffing and activities, staff periods in the field and in the head office, staff-months, logistics and reporting. The agreed work plan and final Terms of Reference will then be incorporated in the "Description of Services" and form part of the Contract. Special attention will be paid to getting the most the firm can offer within the available budget and to clearly defining the inputs required from the Client to ensure satisfactory implementation of the assignment.

6.3 Unless there are exceptional reasons, the financial negotiations will not involve the remuneration rates for staff (no breakdown of fees).

6.4 Having selected the firm on the basis of, among other things, an evaluation of proposed key professional staff, the Client expects to negotiate a contract on the basis of the experts named in the proposal. Before contract negotiations, the Client will require assurances that the experts will be actually available. The Client will not consider substitutions during contract negotiations unless both parties agree that undue delay in the selection process makes such substitution

unavoidable or that such changes are critical to meet the objectives of the assignment. If this is not the case and if it is established that key staff were offered in the proposal without confirming their availability, the firm may be disqualified.

6.5 The negotiations will conclude with a review of the draft form of the Contract. To complete negotiations the Client and the selected firm will sign the agreed Contract. If negotiations fail, the Client will invite the firm whose proposal received the second highest score to negotiate a contract.

## **7.0 Award of Contract**

7.1 The Contract will be awarded following negotiations. After negotiations are completed; the Client will promptly notify other Auditors on the shortlist that they were unsuccessful and return the Financial Proposals of those Auditors who did not pass the technical evaluation.

7.2 The selected firm is expected to commence the assignment upon signing the contract.

## **8.0 Confidentiality**

8.1 Information relating to evaluation of proposals and recommendations on awards shall not be disclosed to the Auditors who submitted the proposals or to other persons not officially concerned with the process, until the winning firm has been notified that it has been awarded the Contract.

## Appendix 1: DATA SHEET

Clause Ref:	1. General
1.1	<ol style="list-style-type: none"> <li>1 <b>Name of Client:</b> The procuring entity is KWS,</li> <li>2 <b>Recipient:</b> The services shall be delivered to KWS.</li> <li>3 <b>Method of procurement:</b> Open tender</li> </ol>
1.2	The name and reference number of the Invitation to Bid is: <b>PROVISION OF AUDIT SERVICES ;Tender No: KWS/RFP/PENSION/10/2018- 2020</b>
1.3	<p><b>Clarifications</b></p> <ol style="list-style-type: none"> <li>1. Requests for clarification quoting the tender number and title <b>must</b> be received by <b>17:00 Kenyan time on 30<sup>th</sup> December 2018</b>. Clarification requests received after this date and time shall not be responded to. Responses to queries are expected to have been sent out to all bidders by <b>31<sup>st</sup> December, 2018</b> Clarifications on any aspect of this RFP including the detailed terms of reference must be addressed and submitted to the KWS-Supply Chain Management Department on official letterhead only by fax, registered mail or hand delivered to the address and contacts below.</li> <li>2. The address and contact for submitting proposals and requesting clarifications is as follows: <p style="text-align: center;"> <b>The Director  Kenya Wildlife Service  P O Box 40241  Nairobi, Kenya</b> </p> </li> </ol>
	<b>2.0 Preparation of Proposals</b>
2.1	The currency specified for this proposal is Kenya Shillings.
2.2	The proposal(s) must remain valid for 90 days from date of submission.
2.3	The bidder shall submit one (1) original and one (1) copy of its proposal.
	<b>3.0 Submission of Proposals</b>
3.1	Proposals must be received and deposited in the tender box before 12.00 Noon Kenyan Time (GMT +3) on <b>January 7, 2019</b> at the address indicated in 1.3 above.
3.2	<p>Bidders must submit the original and a copy of the technical Proposal as well as the original of the Financial Proposal and a copy. In both cases the proposals must be printed in indelible ink and neatly bound. The original copy must be clearly marked "Original" and copy marked clearly as "Copy".</p> <p>The Technical and Financial Proposals <b>must</b> be separately sealed in <b>two separate envelopes</b>, clearly marked "Technical Proposal" and "Financial Proposal". The two separate envelopes must be enclosed a single outer envelope, which shall bear the name and address of the bidder, the proposal title and reference number (as per clause 1.2 above) and labeled "<b>not to be open except in the presence of the Tender Opening Committee.</b>"</p>
3.3	Submission of proposals by electronic mail or facsimile is <b>not</b> allowed.

3.4

### Opening of technical and financial proposals

1. Opening of the technical proposal shall be undertaken immediately following the proposals submission. Bidders or their authorized representatives are allowed to attend and observe the technical proposal opening if they so choose. The bidders' or their representatives shall sign a register of attendance.
2. The bidders' names and the presence or absence of Bidder's Declaration, Integrity Pact and other such details as the KWS, at its discretion, may consider appropriate will be announced at the opening.
3. The opening of financial proposals shall be undertaken only for bidders whose technical proposals meet the minimum technical score as detailed in clause 4.2 below.
4. Bidders who do not meet the minimum technical score shall not proceed to the financial evaluation stage and shall have their unopened financial proposals returned to them.

#### 4.0 Evaluation and comparison of Proposals

4.1

**Currency:** The currency for evaluation process will be Kenya Shillings

4.2

### Proposal evaluation and criteria and process

In assessing the proposals submitted, the tender committee will carry out a three-stage Quality and cost-Based Selection process as follows:

#### 1. Technical evaluation

- (a) The technical evaluation will be based on a scoring system marked out of a maximum of 100 marks. Only proposals that score at least 70 marks in this technical evaluation will be deemed to be "technically responsive" and eligible for Stage 2. Marks will be awarded according to the following matrix:

	The number of points given under each of the evaluation criteria are:	<u>Points Given</u>
(1)	<b>Specific Experience of the consulting firm in the same field that of the assignment and on similar projects</b>  (A) Experience in Pension scheme Audit services less than or equal to ten years (B) List of five Current Client with evidence of the same (C) Scheme Structure – Defined Benefit Scheme or Defined contribution Scheme (D) Current Schemes Fund Value less than or equal to 5 Billion	<b><u>25</u></b>  10 5 5 5
(2)	<b>Adequacy of the proposed work plan and methodology in responding to the TOR</b>	<b><u>35</u></b>

<b>a.</b>	<b>Understanding of the TOR</b>	5
<b>b.</b>	<b>Overall quality of proposal</b>	5
<b>c.</b>	<b>Quality of methodology proposed</b>	
	(c.1) Technical approach	20
	(c.2) Quality of work plan	3
	(c.3) Organization and staffing	2
<b>(3)</b>	<b>Qualifications and competence of the key staff for the assignment.</b>	
	<b>Qualification</b>	
	(A) Holder of masters in Finance or relevant field	5
	(B) Holder of Degree in Finance or related field	10
	(C) Holder of Professional Certificate - CPA (K)	10
	(D) Experience in Scheme Audit	5
	(E) Registered member in ICPAK or ACCA with active membership	5
	(F) At least five years' experience in Pension Scheme accounting at partner/manager level	5
	<b>Total:</b>	<b>100</b>

## 2. Financial evaluation

The financial evaluation will allocate the least-cost, qualified bidder (i.e. the bidder with the lowest cost quotation among those who attain a score of at least 70 marks in the overall technical evaluation) with a maximum financial score of 30 marks. Other qualifying bidders will then have their financial scores reduced in proportion to their excess over minimum qualifying cost quotation.

The formula

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

shall be used where:

F = Price of proposal under consideration

S<sub>f</sub> = Financial score

F<sub>m</sub> = Lowest priced financial proposal

## 3. Total proposal score (S)

A total proposal score will then be ascribed to each qualifying bidder, as the sum of:

- Technical score; and
- Financial score as calculated above.

Finally, bidders will be ranked by total proposal score and the highest scoring bidder overall will be selected as the successful bidder. Where, the highest scoring bidder is unable to confirm availability for the work, the next highest combined scoring bidder will be selected as the successful bidder.

## **Appendix 2: - TECHNICAL PROPOSAL – STANDARD FORMS**

These forms shall include;

- i) Technical Proposal submission form.
- ii) Confidential business questionnaire
- iii) Firm's references.
- iv) Description of the methodology and work plan for performing the assignment.
- v) Team composition and task assignments.
- vi) Format of curriculum vitae (CV) for proposed professional staff.
- vii) Time schedule for professional personnel.
- viii) Activity (work) schedule.

**(i) TECHNICAL PROPOSAL SUBMISSION FORM**

[\_\_\_\_\_ Date]

To: \_\_\_\_\_ [Name and address of Client]

Ladies/Gentlemen:

We, the undersigned, offer to provide the consultancy services for

\_\_\_\_\_ [Title of consulting services] in accordance with your Request for Proposal dated \_\_\_\_\_ [Date] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal, [and a Financial Proposal sealed under a separate envelope].

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

We remain,

Yours sincerely,

\_\_\_\_\_ [Authorized Signature]

\_\_\_\_\_ [Name and Title of Signatory]

\_\_\_\_\_ [Name of Firm]

\_\_\_\_\_ [Address]



**(iii) CONFIDENTIAL BUSINESS QUESTIONNAIRE**

You are requested to give the particular indicated in Part 1 and either Part 2(a), 2(b), or 2(c) whichever applies to your type of business  
You are advised that it is a serious offence to give false information on this Form.

Part 1 - General:

Business Name

Location of business premises

Plot No. .... Street/Road

Postal Address ..... Tel. No. .... Fax ..... Email

Nature of business

..... Registration

Certificate No. ....

Maximum value of business which you can handle at any one time Kes..

Name of your bankers ..... Branch .....

Part 2(a) – Sole Proprietor:

Your name in full ..... Age .....

Nationality ..... Country of origin .....

Citizenship details.....

Party 2(b) – Partnership

Give details of partners as follows

	Name	Nationality	Citizenship Details	Shares
1.	.....	.....	.....	.....
2.	.....	.....	.....	.....
3.	.....	.....	.....	.....
4.	.....	.....	.....	.....

5. ....

Part 2(c) – Registered Company:  
Private or Public

.....

State the nominal and issued capital of the company –

Nominal Kes... ..

Issued Kes.....

Give details of all directors as follows

	Name	Nationality	Citizenship Details	Shares
1.	.....	.....	.....	.....
2.	.....	.....	.....	.....
3.	.....	.....	.....	.....
4.	.....	.....	.....	.....
5.	.....	.....	.....	.....

Date..... Signature of Tenderer .....

If a citizen, indicate under "Citizenship Details" whether by Birth, Naturalization or Registration

**(iii) FIRM'S REFERENCES**

**Relevant Services Carried Out in the Last Five Years  
That Best Illustrate Qualifications**

Using the format below, provide information on each assignment for which your firm either individually as a corporate entity or in association, was legally contracted.

Assignment Name:	Country	
Location within Country:	Professional Staff provided by Your Firm/Entity(profiles):	
Name of Client:	No. of Staff:	
Address:	No of Staff-Months; Duration of Assignment:	
Start Date (Month/Year):	Completion Date	Approx. Value of Services (Kshs)
	(Month/Year):	
Name of Associated Auditors. If any:	No of Months of Professional Staff provided by Associated Auditors:	
Name of Team Leader Involved and Functions Performed:		
Narrative Description of project:		
Description of Actual Services Provided by Your Staff:		

Firm's Name: \_\_\_\_\_

Name and title of signatory; \_\_\_\_\_

**COMMENTS AND SUGGESTIONS OF AUDITORS ON THE TERMS OF REFERENCE AND ON DATA, SERVICES AND FACILITIES TO BE PROVIDED BY THE CLIENT.**

---

On the Terms of Reference:

- 1.
- 2.
- 3.
- 4.
- 5.

On the data, services and facilities to be provided by the Client:

- 1.
- 2.
- 3.
- 4.
- 5.

**(iv) DESCRIPTION OF THE METHODOLOGY AND WORK PLAN FOR PERFORMING THE ASSIGNMENT**

**(v) TEAM COMPOSITION AND TASK ASSIGNMENTS**

**1. Technical/Managerial Staff**

Name	Position	Task

**2. Support Staff**

Name	Position	Task

**(vi) FORMAT OF CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF**

Proposed Position:

---

Name of Firm:

---

Name of Staff:

---

Profession:

---

Date of Birth:

---

Years with Firm: \_\_\_\_\_ Nationality: \_\_\_\_\_

Membership in Professional Societies:

---

---

Detailed Tasks Assigned:

---

---

**Key Qualifications:**

*[Give an outline of staff member's experience and training most pertinent to tasks on assignment. Describe degree of responsibility held by staff member on relevant previous assignments and give dates and locations].*

---

**Education:**

*[Summarize college/university and other specialized education of staff member, giving names of schools, dates attended and degree[s] obtained.]*

---

**Employment Record:**

*[Starting with present position, list in reverse order every employment held. List all positions held by staff member since graduation, giving dates, names of employing organizations, titles of positions held, and locations of assignments.]*

**Certification:**

I, the undersigned, certify that these data correctly describe me, my qualifications, and my experience.

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

\_\_\_\_\_  
*[Signature of staff member ]*

Date; \_\_\_\_\_

\_\_\_\_\_  
*[Signature of authorised representative of the firm]*

Full name of staff member:

\_\_\_\_\_

Full name of authorized representative:

\_\_\_\_\_

**(vii) TIME SCHEDULE FOR PROFESSIONAL PERSONNEL**

Weeks (in the Form of a Bar Chart)

Name	Position	Reports Due/ Activities	Weeks (in the Form of a Bar Chart)												Number of weeks		
			1	2	3	4	5	6	7	8	9	10	11	12			

Reports Due: \_\_\_\_\_  
Activities Duration: \_\_\_\_\_

Signature: \_\_\_\_\_  
(Authorized representative)

Full Name: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_



**(viii) ACTIVITY (WORK) SCHEDULE**

**(a). Field Investigation and Study Items**

*[1<sup>st</sup>, 2<sup>nd</sup>, etc, are weeks from the start of assignment)*

	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	5 <sup>th</sup>	6 <sup>th</sup>	7 <sup>th</sup>	8 <sup>th</sup>	
Activity (Work)									
_____									
_____									
_____									
_____									

**(b). Completion and Submission of Reports**

Reports	Date
1. Inception Report	
3. Draft Report	
4. Final Report	

### Appendix 3: - **FINANCIAL PROPOSAL – STANDARD FORMS**

These forms shall include;

- i) Financial Proposal submission form.
- ii) Summary of costs.
- iii) Breakdown of price per activity.
- iv) Breakdown of remuneration per activity.
- v) Re-imbursables per activity.
- vi) Miscellaneous expenses.

**(i) FINANCIAL PROPOSAL SUBMISSION FORM**

\_\_\_\_\_ [ Date]

To: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
*[Name and address of Client]*

Ladies/Gentlemen:

We, the undersigned, offer to provide the consulting services for (\_\_\_\_\_) *[Title of consulting services]* in accordance with your Request for Proposal dated (\_\_\_\_\_) *[Date]* and our Proposal. Our attached Financial Proposal is for the sum of (\_\_\_\_\_) *[Amount in words and figures]* inclusive of the taxes.

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

We remain,

Yours sincerely,

\_\_\_\_\_ *[Authorized Signature]*

\_\_\_\_\_ *[Name and Title of Signatory]*

\_\_\_\_\_ *[Name of Firm]*

\_\_\_\_\_ *[Address]*

**(ii) SUMMARY OF COSTS**

Costs	Currency(ies)	Amount(s)
Subtotal		
Taxes		
Total Amount of Financial Proposal		_____

**(iii) BREAKDOWN OF PRICE PER ACTIVITY**

Activity NO.: _____	Description: _____
Price Component	Amount(s)
Remuneration Reimbursables Miscellaneous Expenses Subtotal	_____

**(iv) BREAKDOWN OF REMUNERATION PER ACTIVITY**

Activity No: _____ Name: _____				
Names	Position	Input (Staff months, days or hours as appropriate)	Remuneration Rate	Amount
<b>Regular staff</b>				
(i)				
(ii)				
<b>Auditors</b>				
<b>Grand Total</b>				_____

**(v) REIMBURSABLES PER ACTIVITY**

Activity No: \_\_\_\_\_

Name: \_\_\_\_\_

No.	Description	Unit	Quantity	Unit Price	Total Amount
1.					
2.					
3.					
4.					

**(vi). MISCELLANEOUS EXPENSES**

Activity No. \_\_\_\_\_ Activity

Name: \_\_\_\_\_

No.	Description	Unit	Quantity	Unit Price	Total Amount
1.					
2.					
3.					
4.					

**Appendix 4: BIDDER DECLARATION**

We/I the undersigned....., in the capacity of.....for [name of the company/firm/individual] certify that the bidder is not in any of the following situations;

1. Bankruptcy; are the subject of proceedings for a declaration of bankruptcy, or of an order for compulsory winding up or administration by court, or of any other similar proceedings
2. Payments to us have been suspended in accordance with the judgment of a court other than judgment declaring bankruptcy and resulting, in accordance with our national laws, in the total or partial loss of the right to administer and dispose off our property;
3. Legal proceedings have been instituted against us involving an order suspending payments and which may result, in accordance with our national laws, in a declaration of bankruptcy or in any other situation entailing the total or partial loss of the right to administer and dispose of our property;
4. Are being wound up, or our affairs are being administered by court, or have entered into an arrangement with creditors, or have suspended business activities or are subject to an injunction against running business by a court of law;
5. Have been convicted by a final judgment of any crime or offence concerning our/my professional conduct;
6. Are guilty of serious misrepresentation with regard to information required for participation in an invitation to tender or execution of a tender already awarded;
7. Are in breach of contract on another contract with the government of Kenya or other local or international contracting authority or foreign government.
8. Are convicted of an offence concerning our/my professional conduct by a court of law, or found guilty of grave professional misconduct; and
9. Is in default of obligations relating to payments of taxes or statutory contributions.

If the bidder is in any of the above listed situations, kindly attach documents giving details of situation.

Names in Full [.....]

Duly authorized to sign this bid on behalf of (bidder's name):  
[.....]

Place and date: [.....]

Stamp of the firm/ company:

**Declaration Form for Non Corrupt Practices & Non-Debarrement**

Date: .....

To:

DIRECTOR GENERAL  
KENYA WILDLIFE SERVICE  
P. O. BOX 40241-00100  
**NAIROBI**

**LADIES AND GENTLEMEN**

The Tenderer i.e. (full name and complete physical and postal address)  
\_\_\_\_\_ declare the  
following: -

- a) That I/ We have not been debarred from participating in public procurement by anybody, institution or person
- b) That I/ We have not been involved in and will not be involved in corrupt and fraudulent practices regarding public procurement anywhere.
- c) That I/ We are not insolvent, in receivership, bankrupt or in the process of being wound up and is not the subject of legal proceedings relating to the foregoing.
- d) That I/We do hereby confirm that all the information given in this tender is accurate, factual and true to the best of our knowledge.
- e) That I/ We are not associated with any other Tenderer participating in this tender.

Yours sincerely,

\_\_\_\_\_  
Name of Tenderer

\_\_\_\_\_  
Signature of duly authorized person signing the Tender

\_\_\_\_\_  
Name and Designation of duly authorized person signing the Tender

\_\_\_\_\_  
Stamp or Seal of Tenderer