



**CONTRACT STANDARD REQUEST FOR PROPOSAL**

**Rural Electrification and Renewable Energy Corporation**

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TEL NO. 0709193000

- (2) Contract / Request for Proposals (IFP) No. 1000000823**
- (3) Contract Name: PROVISION OF SYSTEMS PENETRATION TESTING AND SECURITY AUDIT SERVICES (RETENDER)**

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

Reference No.: **RFX 1000000823**

Name of Assignment: **PROVISION OF SYSTEMS PENETRATION TESTING AND SECURITY AUDIT SERVICES**

TO: Eligible tenderers

1. Rural Electrification and Renewable Energy Corporation has set aside funds in its budget toward the cost of the subject consulting services.
2. The Procuring Entity now invites proposals to provide the following consulting services (here in after called "the services"): Provision of Systems penetration testing and Security Audit Services. More details on the Services are provided in the tender document.
3. This Request for Proposals (RFP) has been addressed to all eligible tenderers.
4. Tendering will be conducted under National open competitive method using a standardized tender document. Tendering is open to all qualified and interested Tenderers.
5. Qualified interested tenderers may obtain further information during office 8.00am-12.45pm to 1.45pm-4.00pm Monday to Friday at the address given below.
6. A complete set of tender documents may be viewed and downloaded by interested tenderers free of charge electronically from the Website **www.rerec.co.ke** under tender documents or through the e-procurement portal using **https://suppliers.rea.co.ke:44300/irj/portal**
7. Tenderers who are not yet registered with REREC must register their companies in order to participate in the tender using link below that can be found from the website **www.rerec.co.ke** Procurement-Supplier registration: **https://suppliers.rea.co.ke:44200/supportal(bD1lbiZjPTUwMCZkPW1pbg==)/bspwdapplication.do#VIEW\_ANCHOR-ROS\_TOP**
8. All Tenders must be accompanied by an indemnity fee of Ksh. 200,000. The Tenderer shall chronologically serialize all pages of the tender document submitted.
9. Completed tenders must be delivered to the address below on or before **25/05/2022** at **10.00am**.
10. Electronic Tenders will be permitted for technical proposal, sealed financial proposal shall be deposited to the box at the main reception in Kawi House.
11. Tenders will be opened immediately after the deadline date and time specified above or any dead line date and time specified later. Tenders will be publicly opened in the presence of the Tenderers' designated representatives who choose to attend at the address below and the results relayed electronically. Late tenders will be rejected.
12. The addresses referred to above are:  
**Address for obtaining further information on tender documents:** for hand Courier Professional indemnity and financial proposal Delivery to an office or Box (Nairobi, Off Popo Road, Kawi Complex, Ground floor). Contact Manager, Supply chain management, telephone number: 0709193000 and e-mail address: **tenders@rerec.co.ke**

**Address for Submission of Tenders:** Online Through

**https://suppliers.rea.co.ke:44300/irj/portal**

**Address for Opening of Tenders. Online**

Designation: **Chief Executive Officer**



## SECTION 2. INSTRUCTIONS TO CONSULTANTS AND DATA SHEET

### Section 2(a). Instructions to Consultants (ITC)

#### 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 overwrite, 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 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 Consultant 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 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 it's 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 maybe 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 or 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..... (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 Technical 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 sand 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:
- i) 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.



- ii) 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 a 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 Sand 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.

**37. Procurement Related Complaint and Administrative Review**

- 37.1 The procedures for making Procurement-related Complaints shall be specified in the **TDS**.
- 37.2 A request for administrative review shall be made in the form provided under contract forms.

**SECTION 2 (B). DATA SHEET**

Reference to ITC Clause	PARTICULARS OF APPENDIX TO INSTRUCTIONS TO TENDERS
<b>A. General Provisions</b>	
1(j)	<p>Electronic procurement system shall be used</p> <p>Electronic –Procurement System The Procuring Entity shall use the following electronic-procurement system to manage this Request for Proposal process: <a href="https://suppliers.rea.co.ke:44300/irj/portal">https://suppliers.rea.co.ke:44300/irj/portal</a></p> <p>The electronic-procurement system shall be used to manage the following part of the RFP process:</p> <ul style="list-style-type: none"> <li>i. Issuing tendering document,</li> <li>ii. Submissions of Tenders,</li> <li>iii. Opening of Tender</li> <li>iv. Contract Preparation</li> </ul>
2.1	<p>Name of the Procuring Entity: Rural Electrification and Renewable Energy Corporation The consultant selection method is:</p> <p>Quality and Cost Based Selection Method (QCBS) [ X ]</p>
2.2	<p>Financial Proposal to be submitted together with Technical Proposal</p> <p>The name of the assignment is: Provision of Systems Penetration Testing and Security Audit Services</p>
2.3	A pre-proposal conference will not be held
2.4	The Procuring Entity has provided the following inputs, project data, reports, etc. to facilitate the preparation of the Proposals: as indicated in the terms of reference
3.3 (iv)	None
4.1	No consultant has an Unfair Competitive Advantage
6.2	Maximum number of members in the Joint Venture (JV) shall be <i>Two</i> (2).
6.6 (a)	The list of debarred firms and individuals is available at the 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	N/A
<b>B. Preparation of Proposals</b>	
10.1	<p>The Proposal shall comprise the following:</p> <p>Technical Proposal: Power of Attorney to sign the Proposal TECH-1: Technical Proposal Submission Form TECH-2: Consultant’s Organization and Experience TECH-3: Comments and Suggestions TECH-4: Description of Approach, Methodology and Workplan TECH-5: Work Schedule and Planning for Deliverables TECH-6: Team Composition, Assignment, and Key Experts’ Input</p>

Reference to ITC Clause	PARTICULARS OF APPENDIX TO INSTRUCTIONS TO TENDERS
	TECH-7: Mandatory Documentary Evidence And (1) FIN-1: Financial Proposal Submission Form (2) FIN-2: Summary of Costs (3) FIN-3: Breakdown of Remuneration (4) FIN-4: Breakdown of Reimbursable Expenses
11.1	Participation of Sub-consultants, and Key Experts in more than one Proposal is not permissible.
12.1	Proposals must remain valid for 120 days after the proposal submission deadline.
13.1	Clarifications may be requested no later than 7 days prior to the submission deadline. The contact information for requesting clarifications is: E-mail: <a href="mailto:tenders@rea.co.ke">tenders@rea.co.ke</a>
14 (b) (do not use for Fixed Budget method)	Estimated input of Key Experts' time-input: 2 person-months.
14 (c) and 26.2 [use for Fixed Budget method]	<i>Not Applicable</i>
14 (d)	Key Experts shall not appear in more than one proposal
16.1(b)	The Financial Proposal will include sum of all reimbursable expenses.
16.2	A price adjustment provision applies to remuneration rates to local and/or foreign inflation
16.3	The Procuring Entity has not obtained an exemption for the Consultant from payment
16.4	The Financial Proposal shall be stated in the following currencies: Consultant may express the price for their Services in any fully convertible currency, singly or in combination of up to three foreign currencies. The Financial Proposal should state local costs in Kenya Shillings
<b>C. Submission, Opening and Evaluation</b>	
17.1	The Consultants shall be submitting their Proposals electronically.  The electronic Tender submission procedures shall be: The Bidder shall process and submit its Bid via the Corporation's e-Procurement system as follows: a. Login to REREC portal via url <a href="https://suppliers.rea.co.ke:44300/irj/portal">https://suppliers.rea.co.ke:44300/irj/portal</a> N/B: It is assumed that you have already completed the registration process and that your registration has been approved by REREC and you have created an employee user account to transact with REREC via url <a href="https://suppliers.rea.co.ke:44200/supportal(bD1lbiZjPTUwMCZkPW1pbg==)/b">https://suppliers.rea.co.ke:44200/supportal(bD1lbiZjPTUwMCZkPW1pbg==)/b</a>

Reference to ITC Clause	PARTICULARS OF APPENDIX TO INSTRUCTIONS TO TENDERS
	<p><b><a href="#">spwdapplication.do#VIEW_ANCHOR-ROS_TOP</a></b></p> <ul style="list-style-type: none"> <li>b. For the purpose of bidding, each firm must ensure the following <ul style="list-style-type: none"> <li>i. Each company must have two user accounts; Admin Account and Employee Account. Ensure that the following roles are NOT ASSIGNED to the employee; Employee Administrator and Supplier Master Data manager.</li> <li>ii. Ensure that the admin account and employee account does not share same email address</li> <li>iii. Ensure that the Employee user name is between 4 and 12 characters.</li> <li>iv. For the purpose of this tender bidding, the employee account shall be used to submit your RFX responses. <ul style="list-style-type: none"> <li>c. Choose RFX and Auction link in the navigation pane</li> <li>d. Click on the RFX number to open it</li> <li>e. Click Register and then Click Participate</li> <li>f. Click Create response; You will get a unique number for your response for the RFX</li> <li>g. Navigate to the Notes and Attachments tab and click on Collaboration link at the bottom of the screen (the link will be in the format “RFX Response No: Company Name”. If under your notes and attachment no link is formed in the collaboration room, you are advised to delete the response and create a new one until the link is formed, in this link all the documents of the tender shall be uploaded.</li> <li>h. NB: All supplier bid documents/Responses shall be uploaded to the COLLABORATION ROOM in the link with “RFX Response Number: Company Name” .Bidders shall not attach their documents at any other Tab of the Portal. Attachments placed elsewhere in the portal shall be declared non-responsive and the attachments shall not be evaluated.</li> <li>j. You are to login to the collaboration link and upload all the required documents</li> <li>k. Enter bid price in the item tab and fill in all required information for the response.</li> <li>l. This price shall be read out price during the opening.</li> <li>m. No value shall be entered under the RFX information “Target Value for RFX”</li> <li>n. Check for errors by clicking the Check button</li> </ul> </li> </ul> </li> </ul> <p>Click on Save to review later or Submit to send the response to REREC</p>
17.5	The Consultant must submit their tender electronically as described in 17.1 above.
18.5	<p>The Proposals must be submitted no later than:  Date: 25<sup>th</sup> May, 2022  Time: 10.00a.m.  The Proposal submission address is:  For hand Courier Professional indemnity and financial proposal Delivery to an office or Box (Nairobi, Off Popo Road, Kawi Complex, Ground floor). Contact Manager, Supply chain management, telephone number: 0709193000 and e-mail address: tenders@rerec.co.ke</p> <p>Address for Submission of Tenders: Online Through  <a href="https://suppliers.rea.co.ke:44300/irj/portal">https://suppliers.rea.co.ke:44300/irj/portal</a></p>



Reference to ITC Clause	PARTICULARS OF APPENDIX TO INSTRUCTIONS TO TENDERS										
20.1	<p>Proposals will be opened online</p> <ol style="list-style-type: none"> <li>i. The opening committee logs in SAP-SRM</li> <li>ii. Click on initiate RFX opening</li> <li>iii. Download the X-cel file, which is the opening schedule contains the tender number, tenderer's name and quoted prices</li> </ol> <p>The Opening schedule will be sent electronically to all the bidders who participated in the tender.</p> <p>The opening shall take place at:  Street Address: Kawi Complex off Popo Road, Behind Boma Hotel  Floor Number: Ground Floor  Room number: Procurement Office  City: Nairobi  County: Kenya</p> <p>Date: 25<sup>th</sup> May, 2022  Time: 10.00.am</p>										
20.2	In addition, the following information will be read aloud at the opening of the Technical Proposals: Not Applicable										
22.1	Other eligibility and mandatory criteria shall be as indicated in the evaluation criteria										
22.2	<p>The Criteria, sub-criteria, and point system for the evaluation of the Technical Proposals:</p> <p><u>Points</u></p> <p>(i) Specific experience of the Consultant, as a firm, relevant to the Assignment: (10 points)</p> <table border="1" data-bbox="411 1249 1423 1805"> <thead> <tr> <th data-bbox="411 1249 485 1312">No</th> <th data-bbox="485 1249 724 1312">Evaluation Criteria</th> <th data-bbox="724 1249 932 1312">Requirement</th> <th data-bbox="932 1249 1270 1312">Weighting Score</th> <th data-bbox="1270 1249 1423 1312">Maximum Score</th> </tr> </thead> <tbody> <tr> <td data-bbox="411 1312 485 1805">1</td> <td data-bbox="485 1312 724 1805">Demonstration of the firm's experience in undertaking ICT Consultancy services</td> <td data-bbox="724 1312 932 1805">Firm experience in Systems assessment in the region should be a minimum of Ten (10) years. Provide evidence i.e. copies registration certificate, contracts/LPOs or completion certificates for the period.</td> <td data-bbox="932 1312 1270 1805">10 years and above Others prorated at No. of years in Systems assessment in the region x10 points/10 years.</td> <td data-bbox="1270 1312 1423 1805">10 Points</td> </tr> </tbody> </table> <p>(ii) Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference (TORs):</p> <ol style="list-style-type: none"> <li>(a) Technical approach and methodology <i>[20 points]</i></li> <li>(b) Work plan <i>[10 points]</i></li> <li>(c) Organization and staffing <i>[10 points]</i></li> </ol>	No	Evaluation Criteria	Requirement	Weighting Score	Maximum Score	1	Demonstration of the firm's experience in undertaking ICT Consultancy services	Firm experience in Systems assessment in the region should be a minimum of Ten (10) years. Provide evidence i.e. copies registration certificate, contracts/LPOs or completion certificates for the period.	10 years and above Others prorated at No. of years in Systems assessment in the region x10 points/10 years.	10 Points
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Reference to ITC Clause	PARTICULARS OF APPENDIX TO INSTRUCTIONS TO TENDERS																													
	<p><b>Total points for criterion (ii):</b> <span style="float: right;"><b>[ 40]</b></span>  <i>[Notes to Consultant: The Procuring Entity will assess whether the proposed methodology is clear, responds to the TORs, work plan is realistic and implementable; overall team composition is balanced and has an appropriate skill mix; and the work plan has right input of Experts]</i></p> <table border="1" data-bbox="411 450 1422 1155"> <thead> <tr> <th data-bbox="416 456 485 510">No</th> <th data-bbox="493 456 724 510">Evaluation Criteria</th> <th data-bbox="732 456 932 510">Requirement</th> <th data-bbox="940 456 1270 510">Weighting Score</th> <th data-bbox="1278 456 1417 510">Maximum Score</th> </tr> </thead> <tbody> <tr> <td data-bbox="416 517 485 1149">1</td> <td data-bbox="493 517 724 1149">Methodology in ICT Audit Consultancy services. The Bidder must submit a plan and a detailed methodology on all the areas under this criteria failure to which bidder shall be deemed non-responsive.</td> <td data-bbox="732 517 932 1149">Appropriateness of the methodology, work plan, organization and staffing. Completeness of the description of the same in relation to the scope of work and requirements. Detailed Technical approach &amp; methodology</td> <td data-bbox="940 517 1270 1149">Consultants to provide clear Methodology, work plans and Organization/staffing on each of the following areas;  a. IT System Audit  b. Cyber Risk Audit  c. Penetration Testing and Vulnerability Assessment  d. Business Continuity and Capability Review  e. Network Security Review  f. Application Security  g. Data Integrity Review  h. Business Process Control Review  i. Authentication of Systems Licenses  j. IT Audit Framework</td> <td data-bbox="1278 517 1417 1149">40 Points  (Each area to attract 4 points)</td> </tr> </tbody> </table> <p>(iii) Key Experts' qualifications and competence for the Assignment:  <i>{Notes to Consultant: each position number corresponds to the same for the Key Experts in Form TECH-6 to be prepared by the Consultant}</i></p> <p>(a) Position K-1: [Team Leader] <span style="float: right;">[ points]</span>  (b) Position K-2: [Technical Personnel] <span style="float: right;">[ points]</span>  (c) Position K-3: [Technical Personnel] <span style="float: right;">[ points]</span>  ETC.</p> <table border="1" data-bbox="411 1458 1422 1944"> <thead> <tr> <th data-bbox="416 1464 671 1518">No</th> <th data-bbox="679 1464 887 1518">Evaluation Criteria</th> <th data-bbox="895 1464 1257 1518">Requirement</th> <th data-bbox="1265 1464 1417 1518">Weighting Score</th> </tr> </thead> <tbody> <tr> <td data-bbox="416 1525 671 1821" rowspan="3">Demonstrate Project Manager qualification &amp; experience</td> <td data-bbox="679 1525 887 1821" rowspan="3">Team Leader/ Project Manager (1No.)</td> <td data-bbox="895 1525 1257 1579"><b>Academic Qualifications</b> Bachelor's degree in IT</td> <td data-bbox="1265 1525 1417 1579">2 Points</td> </tr> <tr> <td data-bbox="895 1585 1257 1704"><b>Professional qualifications</b> Quality assurance and/or ICT audit /ICT security certifications</td> <td data-bbox="1265 1585 1417 1704">3 Points</td> </tr> <tr> <td data-bbox="895 1711 1257 1821"><b>Work experience</b> At least 7 years' experience in systems Assessment</td> <td data-bbox="1265 1711 1417 1821">5 Points</td> </tr> <tr> <td data-bbox="416 1827 671 1937">Demonstrate technical staff qualification &amp; experience</td> <td data-bbox="679 1827 887 1937">Technical Personnel (10 No.)</td> <td data-bbox="895 1827 1257 1937"><b>Academic qualifications</b> Bachelor's degree in IT, computer science, Information Systems or equivalent</td> <td data-bbox="1265 1827 1417 1937">2 Points</td> </tr> </tbody> </table>				No	Evaluation Criteria	Requirement	Weighting Score	Maximum Score	1	Methodology in ICT Audit Consultancy services. 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<p><b>Total points for criterion (iii):</b></p> <p>The number of points to be assigned to each of the above Key experts positions shall be determined considering the following three sub-criteria and relevant percentage weights:</p> <p>(1) General qualifications (general education, training, and experience): <b>[20 %]</b></p> <p>(2) Adequacy for the Assignment (relevant education, training, experience in the sector or similar assignments): <b>[70%]</b></p> <p>(3) Relevant experience in the Kenya (working level fluency in local language(s)/knowledge of local culture or administrative system, government organization, etc.): <b>[10 %]</b></p> <p style="text-align: center;"><b>Total weight: 100%</b></p> <p>(iv) Transfer of knowledge and training program (relevance of approach and methodology):  <i>[10 points.</i></p> <p><i>When transfer of knowledge is a particularly important component of the assignment, more than 10 points may be allocated; the following sub-criteria may be provided]</i></p> <p>(a) <i>Relevance of training program</i> <span style="float: right;"><i>[ points]</i></span>            (b) <i>Training approach and methodology</i> <span style="float: right;"><i>[ points]</i></span>            (c) <i>Qualifications of experts and trainers</i> <span style="float: right;"><i>[ points]</i></span></p> <p><u><i>Knowledge transfer to meet requirements guidelines in appendix F</i></u></p>			<p><b>[30]</b></p>				

Reference to ITC Clause	PARTICULARS OF APPENDIX TO INSTRUCTIONS TO TENDERS																			
	<p><b>Total points for criterion (iv):</b> <span style="float: right;"><b>[10]</b></span></p> <p>(v) Participation by Kenya citizens among proposed Key Experts <span style="float: right;"><b>[10]</b></span></p> <p><i>[not to exceed 10 points] [Sub-criteria shall not be provided. Calculated as a ratio of the Kenyan Key Experts' time-input (in person-months) to the total number of Key Experts' time-input (in person-months) in the Consultant's Technical Proposal]</i></p> <p><b>Total points for the five criteria:</b> <span style="float: right;"><b>100</b></span></p> <p>The minimum technical score (St) required to pass is: 80%</p> <table border="1" data-bbox="408 651 1422 1328"> <thead> <tr> <th data-bbox="408 651 480 712">No</th> <th data-bbox="480 651 719 712">Evaluation Criteria</th> <th data-bbox="719 651 927 712">Requirement</th> <th data-bbox="927 651 1270 712">Weighting Score</th> <th data-bbox="1270 651 1422 712">Maximum Score</th> </tr> </thead> <tbody> <tr> <td data-bbox="408 712 480 1048">2</td> <td data-bbox="480 712 719 1048">Good experience and understanding in ICT Consultancy services in Kenya.</td> <td data-bbox="719 712 927 1048">Provide details of five (5) references of similar assignments where local experts have participated in the past five years (from 2017 to 2021).</td> <td data-bbox="927 712 1270 1048">Five (5) references and above = 5 Marks Others prorated at number of similar Consulting Assignments x5 Marks/5 Similar Consulting Assignments</td> <td data-bbox="1270 712 1422 1048">5 Points</td> </tr> <tr> <td data-bbox="408 1048 480 1328">3</td> <td data-bbox="480 1048 719 1328">Capability to successfully carry out the assignment through ability to employ at least ten(10) highly skilled/qualified &amp; experienced professionals</td> <td data-bbox="719 1048 927 1328">Firms audited accounts to prove average turnover of 100 million for years 2018-2020.</td> <td data-bbox="927 1048 1270 1328">Average turnover of Kshs. 100 million for 2018-2020 and above =5 Marks; Others prorated at Value (Kshs) of Similar Consulting Assignments x5 Marks/100 million</td> <td data-bbox="1270 1048 1422 1328">5 Points</td> </tr> </tbody> </table>					No	Evaluation Criteria	Requirement	Weighting Score	Maximum Score	2	Good experience and understanding in ICT Consultancy services in Kenya.	Provide details of five (5) references of similar assignments where local experts have participated in the past five years (from 2017 to 2021).	Five (5) references and above = 5 Marks Others prorated at number of similar Consulting Assignments x5 Marks/5 Similar Consulting Assignments	5 Points	3	Capability to successfully carry out the assignment through ability to employ at least ten(10) highly skilled/qualified & experienced professionals	Firms audited accounts to prove average turnover of 100 million for years 2018-2020.	Average turnover of Kshs. 100 million for 2018-2020 and above =5 Marks; Others prorated at Value (Kshs) of Similar Consulting Assignments x5 Marks/100 million	5 Points
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23.4	An online option of the opening of the Financial Proposals is not offered																			
25.2	<p>For the evaluation, the Procuring Entity will include separate items of: (a) all local identifiable indirect taxes such as sales tax, excise tax, VAT, or similar taxes levied on the contract's invoices; and (b) all additional local indirect tax on the remuneration of services rendered by experts.</p> <p>If a Contract is awarded, at Contract negotiations, all such taxes will be discussed, finalized using the itemized list and included in the Contract amount as a separate line, also indicating which taxes shall be paid by the Consultant and which taxes are withheld and paid by the Procuring Entity on behalf of the Consultant.</p>																			
26.1	<p>The single currency for the conversion of all prices expressed in various currencies into a single one is: Kenya Shillings</p> <p>The official source of the selling exchange rate is: <u>Central Bank of Kenya Mean rate</u></p> <p>The date of the exchange rate is 25<sup>th</sup> May, 2022</p>																			
29.1 (QCBS only)	The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) of 100.																			

Reference to ITC Clause	PARTICULARS OF APPENDIX TO INSTRUCTIONS TO TENDERS
	<p>The formula for determining the financial scores (Sf) of all other Proposals is calculated as following:  <math>Sf = 100 \times Fm / F</math>, in which “Sf” is the financial score, “Fm” is the lowest price, and “F” the price of the proposal under consideration.</p> <p>The weights given to the Technical (T) and Financial (P) Proposals are:  <math>T = \text{___} [ 0.85]</math>, and  <math>P = \text{_____} [ 0.15]</math></p> <p>Proposals are ranked according to their combined technical (St) and financial (Sf) scores using the weights (T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; T + P = 1) as following: <math>S = St \times T\% + Sf \times P\%</math>.</p>
31	<p>The Standstill Period shall be: Fourteen (14) days</p> <p>The procedures for making a procurement related complaint are detailed in the Public Procurement and Asset Disposal Act and Regulations. If a Consultant wishes to make a procurement related complaint or appeal, the Consultant shall submit its complaint to the Public Procurement Administrative Review Board.</p>
<b>D. Negotiations and Award</b>	
32.1	<p>Expected date and address for contract negotiations:  Date: June, 2022  Address: __REREC, KAWI complex , South C. _____</p>
35.2	<p>Expected date for the commencement of the Services:  Date: <i>June, 2022</i> at: REREC, KAWI Complex, South C.</p>
36.1	<p>The publication of the contract award information following the completion of the contract negotiations and contract signing will be done as following:  The publication will be done within fourteen (14) days after the contract signing</p>
37.1	<p>The procedures for making a Procurement-related Complaints are detailed in the “Regulations” available from the PPRA 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>. If a Tenderer wishes to make a Procurement-related Complaint, the Tenderer should submit its complaint following these procedures, in writing (by the quickest means available, that is either by hand delivery or email to:</p> <p>For the attention: <i>Chief Executive Officer</i></p> <p>Title/position: <i>CEO</i></p> <p>Procuring Entity: <i>Rural Electrification and Renewable Energy Corporation</i></p> <p>Email address: <b><i>Info@rea.co.ke</i></b></p> <p>In summary, a Procurement-related Complaint may challenge any of the following:</p> <p>(i) the terms of the Tender Documents; and</p> <p>(ii) the Procuring Entity’s decision to award the contract.</p>

### **SECTION 3. TECHNICAL PROPOSAL – STANDARD FORMS**

{*Notes to Consultant* shown in brackets { } throughout Section 3 provide guidance to the Consultant to prepare the Technical Proposal; they should not appear on the Proposals to be submitted.}

## 1 FORMTECH-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 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]

in response to the request for tenders made by: \_\_\_\_\_ [Name of Tenderer]

do hereby make the following statements that I certify to be true and complete in every respect:

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

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Title

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Date

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*[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 an 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 tenders 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.

---

<sup>1</sup>For the avoidance of doubt, a party's ineligibility to be awarded a contract shall include, without limitation, (i) applying for pre-qualification, expressing interest in

A consultancy, and tendering, either directly or as a nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider, in respect of such contract, and(ii) entering into an addendum or amendment introducing a material modification to any existing contract.

<sup>2</sup> Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the Investigating Authority or persons appointed by the Procuring Entity to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm's or individual's financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies there of as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information.

### 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 only previous similar assignments successfully completed in the last [.....] 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*.

<b>Assignment name:</b>	<b>Approx. value of the contract [KES, US\$ etc.]:</b>
Country:	Duration of assignment (months):
Name of Procuring Entity:	Total N <sup>o</sup> 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:	N <sup>o</sup> of professional staff-months provided by associated Consultants:
Role on Assignment: (E.g. <i>Lead Member in ABC JV, or Sole Consultant</i> ):	Name of senior professional staff of your firm involved and functions performed:
Narrative description of Assignment:	
Description of actual services provided by your staff within the assignment:	
Name of Consulting Firm: Signatory:	Name and Title of



### 3 FORMTECH-3: COMMENT SAND 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.}*

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

N°	Deliverables <sup>1</sup> (D-..)	Months												
		1	2	3	4	5	6	7	8	9	.....	n	TOTAL	
D-1	{e.g., Deliverable #1: Report A													
	1) data collection													
	2) drafting													
	3) inception report													
	4) incorporating comments													
	5) .....													
	6) delivery of final report to Procuring Entity }													
D-2	{e.g., Deliverable #2:.....}													
N														

- 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**

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., Abbbb}	Mr. [Team Leader]	[Home] [Field]	[2 month] [0.5 m]		[1.0] [2.5]		[1.0] [0]							
K-2															
K-3															
N															
											Subtotal				
<b>NON-KEY EXPERTS</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.	{e.g., K-1, Team Leader}
Name of Expert:	{Insert full name}
Date of Birth:	{day/month/year}
Country of Citizenship	

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

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)

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- 5 in 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.

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) A valid copy of professional indemnity during opening

*{Consultant to insert a copy of professional indemnity of minimum of ksh 200,000,}*

- c) Tax Compliance Certificate and E-PIN certificate

*{Consultant to insert a copy of the tax compliance and E-Pin certificate from Kenya Revenue Authority or similar body in the case of foreign consulting firms. E-PIN Certificate with both VAT & Income Tax obligations,}*

- d) A written Power of Attorney

*{Consultant to insert here a copy of commissioned by commissioner of oaths, or a Magistrate of the Kenyan Judiciary signed and stamped by company directors including the specimen signature of the Authorized person}*

- e) 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}*

- f) Academic Certificates

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

- g) Professional Certificates

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

- h) Professional Membership of Key Experts

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

- i) Certificate of Independent Proposal Determination

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

j) A copy of CR12 for limited company and CR13 for sole propriety and partnership.

k) Audited accounts for three years (2018, 2019 and 2020)

*{Consultant to insert firm's audited accounts}*

l) A valid single business permit

*{Consultant to insert a copy of the business permit from County Government or similar body in the case of foreign consulting firms}*

m) The consulting firm should provide the following certification;

<b>No.</b>	<b>Subject</b>	<b>Criteria</b>
Must be accredited by ICT authority certificate in information/IT Security	Check from ICTA website, list of accredited service providers under information/IT Security	Must attached ICTA Certification on information/IT Security (ICTA 1- Information Security)
ISO certification	Proof of ISO 27001 (ISMS) Certification.	Attach valid Proof of ISO 27001 (ISMS) Certification
NITA Accreditation	Attach certificate	Must attach valid NITA certificate

***Notes: Consultants must sequentially paginate/serialize/number all pages including the attachments of their proposals***



**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

**FORM SD2**

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

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

1. THAT I am the 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)  
(Signature)  
(Date)

Bidder Official Stamp

**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: Not Applicable**

[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.}*

### **Terms of Payment**

Payment for the consultancy shall be made upon satisfactory execution of the services.

Payment shall be done in four phases:

- Phase 1:** Delivery of an inception report - 20%
- Phase 2:** Delivery of the draft reports for the ICT Audit - 40%
- Phase 3:** Delivery of final Penetration testing and security audit report - 20%
- Phase 4:** Delivery of final capacity building report and closure- 20%

### **Quarterly Remediation Reviews**

- Phase 1:** Quarterly Remediation Reviews - to be paid quarterly

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}			
	{Insert Foreign Currency # 1}	{Insert Foreign Currency # 2, if used}	{Insert Foreign Currency # 3, if used}	{Insert Local Currency, if used and/or
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}				
{insert type of tax}				
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								

**FORM 3C: FORM FOR CONSULTANT'S REPRESENTATIONS REGARDING COSTS AND CHARGES: *Not Applicable***

*{This Form FIN 3C shall be used for Time-Based contracts only}*

(Expressed in {insert name of currency\*})

Personnel		1	2	3	4	5	6	7	8
Name	Position	Basic Remuneration Rate per Working Month/Day/Year	Social Charges <sup>1</sup>	Overhead <sup>1</sup>	Subtotal	Profit <sup>2</sup>	Away from Home Office Allowance	Proposed Fixed Rate per Working Month/Day/Hour	Proposed Fixed Rate per Working Month/Day/Hour <sup>1</sup>
Home Office									
Procuring Entity's Country									

{\* If more than one currency is used, use additional table(s), one for each currency}

1. Expressed as percentage of 1
2. Expressed as percentage of 4

FORM FIN-4 BREAKDOWN OF REIMBURSABLE

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for calculation of the Contract 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. This form shall be filled for Time-Based Contracts to form the basis of contract negotiations.

B. Reimbursable Expenses_____								
N°	Type of Reimbursable Expenses	Unit	Unit Cost	Quantity	{Currency # 1- as in FIN-2}	{Currency # 2- as in FIN-2}	{Currency# 3- as in FIN-2}	{Local Currency- as in FIN-2}
	{e.g., Per diem allowances**}	{Day}						
	{e.g., International flights}	{Ticket}						
	{e.g., In/out airport transportation}	{Trip}						
	{e.g., Communication costs between Insert place and Insert place}							
	{ e.g., reproduction of reports }							
	{e.g., Office rent}							
	.....							
	{Training of the Procuring Entity’s personnel – if required in TOR}							
Total Costs								

**Legend:**

“Per diem allowance” is paid for each night the expert is required by the Contract to be away from his/her usual place of residence. Procuring Entity can set up a ceiling.

## SECTION 5. TERMS OF REFERENCE

### A. Background

The government established the Rural Electrification Programme in 1973 to subsidize electricity supply in rural areas. This was upon realization that electricity is an important input to the socio-economic development of the country, and hence there was need to increase accessibility to all parts of the country to spur economic and social development.

In 2006, the Rural Electrification Authority (REA) was created through the Energy Act (2006) and became operational in 2007. The mandate of the REA was to accelerate rural electrification in Kenya. The functions of REA, as outlined in Section 67 of the Energy Act (2006), were as follows:

- Management of the Rural Electrification Programme Fund
- Development and updating of the Rural Electrification Programme Master Plan
- Implementing and sourcing of funds for the Rural Electrification Programme
- Promotion of use of renewable energy sources, including but not limited to small hydro, wind, solar, biomass, geothermal, hybrid systems and oil-fired components taking into account specific needs of certain areas including the potential for using electricity for irrigation and in support of off-farm income generating activities, and
- Management of the delineation, tendering, and award of contracts for licenses and permits for rural electrification.

Through the Energy Act (2019) which came into force on 28<sup>th</sup> March 2019, Rural Electrification and Renewable Energy Corporation (REREC) was established as the successor of the Rural Electrification Authority (REA).

Under the new Act, REREC has a broader mandate of spearheading Kenya's renewable energy drive and implementing rural electrification projects. The functions are as follows:

- a) Oversee the implementation of the Rural Electrification Programme
- b) Manage the Rural Electrification Programme Fund established under Section 143
- c) Source additional funds for the Rural Electrification Programme and renewable energy
- d) Develop and update the rural electrification master plans in consultation with county governments
- e) Develop and update the Renewable Energy Master Plan, taking into account county-specific needs and the principle of equity in the development of renewable energy resources
- f) Support the establishment of energy centres in the counties
- g) Establish a framework for collaboration with county governments in the discharge of its mandate
- h) Undertake on-farm and on-station demonstration of wood-fuel species, seedling production and management
- i) Undertake feasibility studies and maintain data with a view to availing the same to developers of renewable energy resources
- j) Develop, promote, and manage in collaboration with other agencies, the use of renewable energy and technologies, including but not limited to biomass (biodiesel, bioethanol, charcoal, fuelwood, biogas) municipal waste, solar, wind, tidal waves, small hydropower and co-generation, but excluding geothermal
- k) Formulate, in conjunction with the Agency, a national strategy for coordinating research in renewable energy
- l) Undertake, in conjunction with the Agency, research, development and dissemination of appropriate renewable energy technologies
- m) Provide an enabling framework for the efficient and sustainable production, conversion, distribution, marketing and utilisation of biomass, solar, wind, small hydros, municipal waste

- n) Promote, in conjunction with the agency responsible for forests, the use of fast maturing trees for energy production including biofuels and the establishment of commercial woodlots including peri-urban plantations
- o) Promote, in collaboration with other agencies, the development of appropriate local capacity for the manufacture, installation, maintenance and operation of renewable technologies such as bio-digesters, solar systems, turbines and other renewable energy technologies
- p) Promote international co-operation programmes focusing on renewable energy sources
- q) Harness opportunities offered under clean development mechanism and other mechanisms including, carbon credit trading to promote the development and exploitation of renewable energy sources
- r) Promote the development of electricity generation through co-generation by sugar millers
- s) Provide technical and other capacity building support to county governments in the discharge of the function of electricity reticulation and energy regulation, and
- t) Undertake any other duty or perform such other function as may be necessary for the execution of its mandate under this Act.

REA/REREC implemented SAP ERP in July 2009 on Oracle Database and the following modules have been in use:

- Financial and Management Accounting (Finance & Controlling Module)
- Procurement and Inventory Management (Material Management Module)
- Human Resource Management (Human Capital Management Module)
- Projects Management and accounting (Project Systems Module)

The corporation has also deployed SAP Supplier Relationship Management System (SAP-SRM, SAP-SUS, SAPSLC) as well as SAP Contract Lifecycle Management (SAP-CLM) in January 2017. The current landscape is ECC 6.0 EHP 8 and Solution Manager 7.2

REREC is now in the process of optimizing the SAP ERP system through migration to S/4 HANA on HANA Database Platform and to automate all its manual processes in view of its new expanded mandate.

It is anticipated that this optimization processes will enable REREC execute its mandate better by increasing operational efficiency through cutting operational costs by employing industry best practices.

The modules currently under use/optimization/implementation are as follows:

Table 1

No.	MODULE
1	Geographical Information Systems (GIS)
2	Success Factors(SF)
	<ul style="list-style-type: none"> <li>• SF Performance and Goals</li> <li>• SF Learning Management</li> <li>• SF Employee/Manager Self Service</li> <li>• SF Recruiting</li> <li>• SF Employee central</li> <li>• SF Succession</li> <li>• SF Off boarding</li> <li>• SF Onboarding (all aspects of employee life cycle in the company)</li> <li>• SF Time off ( Leave Management )</li> </ul>
3	SAP S/4HANA HCM – Time and Attendance
4	SAP S/4HANA HCM - Payroll
5	OpenText Extended ECM
	<ul style="list-style-type: none"> <li>• Document Archiving</li> <li>• Business Workspaces (strengthen internal collaboration)</li> </ul>
6	Quality Management (QM)
7	Sales & Distribution (SD)
8	Bank Communication Management (BCM)
9	Plant Maintenance (PM)
10	Material Management (MM)
11	Project Systems (PS): Project initiation and structuring, project planning, project budgeting, project orientation procurement, project execution, and project closure
12	Finance Controlling (FICO): Includes the General ledger, Controlling, Funds management, accounts payable, Accounts receivables and asset accounting
13	Solution Manager (Solman 7.2)
14	Project Portfolio Management (PPM)
15	Business Planning and Consolidation (BPC)
16	Governance, Risk & Compliance (GRC)
	<ul style="list-style-type: none"> <li>• GRC Access Control</li> <li>• GRC Process control</li> <li>• GRC Risk Management</li> <li>• GRC Audit Management</li> </ul>
17	SAP Security Strategy
18	Contract Lifecycle Management (CLM)
19	Funds Management (FM)
20	SAP Business Integrity
21	Extended Warehouse Management (EWM)
22	SAP Concur - travel and expense management
23	Supplier Relationship Management (SRM)
24	Master Data Governance - Supplier (MDG-S)
25	Supplier Collaboration
26	Adobe Document Services Deployment
27	Cloud Identify Access Governance

No.	Technical Design Documents
1	GIS Solution Design Document
2	GIS Detailed Design Specification
3	GIS Technical Integration Interface Design
4	OpenText Extended ECM <ul style="list-style-type: none"> <li>• Document Archiving</li> <li>• Business Workspaces – collaborative function i.e. document related to any one item</li> </ul>
5	M-pesa Interface Design Document for SD
6	SAP Collaboration tools for learning: <ul style="list-style-type: none"> <li>• SAP Enable Now</li> <li>• SAP Jam</li> </ul>
7	Bank Interface Design Document for BCM
8	HCM S/4 HANA Interface
9	Fiori UI5 Design Document
10	Authorization Technical Design Document
11	RICEFW Functional & Technical Design Document
12	BO/BI- Business Object / Business Intelligence
13	Custom MM SUS
14	SLC Solution
15	SF Technical Design Interface document
16	Document e-signatures

## IT Infrastructure

REREC has a decentralized infrastructure system across all regional. The Network Infrastructure encompasses:

- Cisco routers and switches,
- Internet Protocol telephony (IPT) System,
- IBM physical and virtual servers,
- Antivirus and firewalls,
- Desktop computers, laptops and printers

## Other Systems

Table 2

No	Systems	Version	Purpose
1	Microsoft Exchange	2013 Enterprise	Email Communication
2	Active Directory, DNS, Domain Controllers, Certificate Authority, ADFS, file server	2008 forest function level	Domain management, user provisioning, security, Name resolution, DHCP, file server and authentication, Active directory federated services
3	SAP PI/PO	dual stack system based on	Acts as a middleware for various SAP and Non-SAP systems
4	HelpDesk	SysAid 19	Automated Helpdesk system for logging user issues, knowledge management, ticket management
5	electronic board management system	N/A	electronic board management system to run the meetings and papers of the board of directors



No	Systems	Version	Purpose
6	Backup	Veritas 5230 and 5240 appliances	Backup all on-premise systems
7	VDI	7	Virtual Desktop Infrastructure
8	Unified Communication manager	Version 9 being upgraded to version 11	Manage the IP phone communication infrastructure
9	Conference Systems	N/A	Teleconference via cisco and zoom
10	Network Monitoring	Solar winds	WAN links monitoring
11	Firewall	Sophos upgrading to Palo alto	unified threat management system and bandwidth management tool
12	Access Control	N/A	manage access control devices, register users and run reports
13	CCTV	N/A	Record, store and retrieve surveillance footage

The Terms of References (TORs) for this assignment is as follows:

1. Perform Gap Audit of REREC's existing systems and infrastructure with respect to best practice and globally accepted cybersecurity and anti-fraud management standards. This shall include
  - a) Review & Identify gaps with respect to Cyber Security/Resilience Framework (gaps audit);
  - b) Review the existing Processes, Procedures and systems for their sufficiency of controls.
  - c) Identify and document gaps in REREC's Cyber threat detection mechanisms
  - d) Identify gaps in REREC systems that can lead to fraud
  - e) Suggest controls under Administrative, Technical and Physical categories to mitigate the gaps.
  - f) Network penetrating testing – to identify security gaps or flows in the design, implementation or operations of our network.
  - g) To perform analysis and exploits to assess whether access and maintenance connections can be used to penetrate the test target.
  - h) Application penetration testing- to undertake attack simulation examine the effectiveness of our data security controls by identifying the risks posed by actual exploitative vulnerabilities e.g. can traffic be allowed to pass through the firewall currently being used in protecting information which can compromise security?
  
2. Based on the outcome of the gap analysis, give comprehensive recommendations on
  - a) Cybersecurity enhancement
  - b) Fraud Management framework, plan and possible solution
  - c) Training for systems & forensic audit staff
  - d) Recommend Prioritized Cybersecurity & Fraud Management Enhancement Program (Action Plan) based on the outcome of the Gap Assessment, as follows:
    - Short-term: 0 to 12 months
    - Mid-term: 12 to 24 months
    - Long-term: 24 to 36 months
  - e) The Cybersecurity and Fraud Management Enhancement Program (Action Plan) should cover the following aspects:
    - Propose measures/controls and their expected effectiveness;
    - Key milestones with timelines for implementing the proposed controls/measures;
    - Measurement criteria for assessing their effectiveness followed/proposed by REREC
  
3. Perform quarterly audits for a period of 1 year with a possibility of extension of a further addition year subject to successful performance.

## **B. Objective(s) of the Assignment**

Through deployment of IS, REREC Management have objectives and expectations of what they intend to achieve from the investment.

The reasons for implementing the above systems within the organisation include the desire to obtain business value through reduced costs, greater effectiveness, enhanced efficiency and increased service delivery. It is against these objectives that the IS auditor is required to provide Board assurance.

The Board's goals and objectives in utilizing IT to support business processes include:

1. Confidentiality;
2. Integrity;
3. Availability;
4. Reliability and
5. Compliance with legal and regulatory requirements.

Underpinning these goals and objectives is the need to ensure IT, and the controls supporting such technology, assists REREC to achieve its business objectives (effectiveness) with appropriate use of resources (efficiency).

## **C. Scope of Services, Work /Tasks (Components)and Expected Deliverables**

### **Scope of Work**

To ensure that the board's goals and objectives in utilising IT to support business are met, the scope of work includes the following: -

1. IT system Audit
2. Cyber-risk Audit
3. Penetration Testing and Vulnerability Assessment
4. Business Continuity and Capability Audit
5. Network Security Review
6. Application Security Review
7. Data Integrity Review
8. Business Process Controls Review
9. Authentication of systems Licenses
10. Compliance with Legal and Regulatory Requirements
11. Capacity building
12. IT Audit framework
13. Fraud Management Enhancement Program (Action Plan)
14. Knowledge transfer during the audit: basic skilling before the exercise necessary
15. Quarterly review Audits

### **1) IT system Audit**

1. Assess the business value of the current network security and control.
2. Assess the current state of the network security controls and make recommendations for correcting control weaknesses and strengthening the overall level of security.
3. Review the adequacy of policies, procedures and technical measures used to prevent unauthorized access, alteration, theft, or physical damage to information systems.
4. Incident Response Program Review and selected Forensic Analysis
5. System Configuration and Change Management reviews
6. Security review of the application and Wide Area Network (WAN)
7. Examining various components of data security
8. Assessment of the adequacy of controls and procedures that identify user system activities
9. Assessment and testing of the domain controller configurations

10. Assessment of the adequacy of controls over the use of various devices
11. Assessment of the adequacy of policies, procedures and controls that ensure that records created, and information captured are authentic and reliable.
12. Testing of the virtual environment for security weaknesses
13. Website penetration testing
14. Social engineering assessment depicting realistic scenarios
15. Integration and interfaces security review
16. Incident Management (Detection & Response)

## **2) Cyber-risk Audit**

1. Identify, monitor, and analyze information-related vulnerabilities effectively
2. Determine methods to manage or resolve data security risks
3. Spot potential data privacy and security compliance issues
4. Cyber security framework:
5. Prioritize remediation steps into an effective plan based on the Authority's goals, schedule, and budget.

## **3) Penetration Testing and Vulnerability Assessment**

1. Anonymous information gathering to discover all Internet-facing assets a hacker could identify as potential entry-points into the organizations network
2. Scanning of internet-available network access points and web servers for known vulnerabilities (non-credentialed)
3. Verifying scan-result findings through in-depth manual penetration testing attack techniques (both credentialed and non-credentialed)
4. Providing deeply informed remediation guidance and advisory services for identified/verified vulnerabilities
5. Internal & External Penetration Testing
6. Manual Vulnerability Testing and Verification of Identified Vulnerabilities
7. Intrusion Detection/Prevention System Testing
8. Password Service Strength Testing
9. VoIP Penetration Testing
10. Email security Testing
11. Internal Web Application Penetration Testing
12. DMZ Network Architecture Design Review and Testing
13. Server Security and Configuration Reviews and Testing
14. Database Security and Configuration Reviews and Testing
15. Firewall and Router Configuration Reviews and Testing
16. Data Centre Security Assessment
17. VPN Configuration Reviews
18. Third party interconnection Reviews
19. Application Security Configuration Reviews and Testing
20. Back up and Restoration policy and procedure Reviews

## **4) Business Continuity and Capacity Audit**

Review the business continuity systems and capacity in place. Perform gap analysis (consistency on daily, weekly & Monthly, documentation and storage) and give recommendations.

### **Review testing procedures for:**

1. Backups
2. Backup restores
3. Operability of system clusters/failovers

## **5) Network Security Review**

Key requirements for this section are: -

To carry out a comprehensive audit on the current network infrastructure, identify control Weakness, design deficiencies and give recommendation

## **Application Security Review**

Review the applications security and capacity in place. Perform gap analysis and give recommendations.

### **6) Data Integrity Review**

Check and verify the integrity of data and identify any gaps

### **7) Business Process Controls Review**

Review the process controls and mitigation measures in place. This should include segregation of duties. Perform gap analysis and give recommendations.

### **8) Authentication of systems Licenses**

Review and confirm validity of all the licenses in place. Perform gap analysis and give recommendations

### **9) Compliance with Legal and Regulatory Requirements**

The consultant should review and confirm that the systems in place and/or being developed are in compliance with the country's regulatory requirements. The following regulatory requirements should be noted: -

1. The public Finance Management act, 2015
2. The data protection act, 2019
3. Internal Audit Act 2013
4. Computer misuse and cyber-crimes act 2018
5. Constitution of Kenya, 2010

### **10) Capacity building**

REREC has setup a new Systems and Forensic Audit (SFA) Department with the following mandate among others:

1. Plan, execute and lead ICT and Security audits across the Corporation;
2. Inspect and evaluate financial and information systems, management procedures and security controls;
3. Evaluate the efficiency, effectiveness and compliance of operation processes with Corporate security policies and related government regulations;
4. Evaluate Acquisition process of major new Information Systems assets by advising project teams on information systems control and security issues and ensure capabilities are at the acceptable standards;
5. Track latest IT Security innovations and keeping abreast of latest cyber security technologies;
6. Develop rigorous "best practice" recommendations to improve security on all levels;
7. Collaborate with departments to improve security compliance, manage risk and bolster effectiveness;
8. Conduct investigations on reported and suspected cases;

This is a new function in the corporation. It is required that capacity enhancement is carried out in all areas to improve system controls. The contracted firm will therefore be expected to facilitate capacity building and/or certifications to equip SFA staff with critical skills necessary for the enhancement of the corporation's systems controls and evidence gathering (for any future litigation process). The scope (see table 3) should include all the logistical arrangements for tuition and/or accommodation and transfer where applicable.

Table 3.

No	Description	Cost per unit (to include tuition, travel & accommodation where applicable)	Location
1	Certified Ethical Harker (CEH)- 1No		
2	Computer Hacking Forensics Investigator (CHFI)- 1No		
3	Security and Penetration testing- 1No		
4	Business Continuity & Disaster Recovery as prescribed by EC or equivalent- 2No.		
5	<p>Training as prescribed by SAN Technology or equivalent. (1 No).  <b>Note:</b>                      Supplier MUST provide for at least one (1) Exam</p>	<p>1. Windows Forensic Analysis                      or                      Intrusion detection                      or                      Mac and iOS Forensic Analysis and Incident Response</p> <p>2. Security Essential: Network, Endpoint, and Cloud (SAN) or                      Advanced security Essentials-enterprise defender</p>	

*Note: unit cost to remain valid for the period of the contract.*

**11) IT Audit Framework**

To conduct an IT audit and share a framework with guidelines focusing on planning, testing and reporting on IT processes, controls and related IT audit or assurance initiatives, to support alignment of IT audit engagements with the corporation objectives and initiatives.

**D. Team Composition & Qualification Requirements for the Key Experts**

The firm must provide proof/evidence of key personnel. Please make sure that the specific key positions are clearly identified and the minimum academic education, professional qualification, training, experience and professional memberships are articulated for each position.

No	Evaluation Criteria	Requirement
Project Manager qualification & experience	Team Leader/ Project Manager (1No.)	Academic Qualifications Bachelor's degree in IT
		Professional qualifications Quality assurance and/or ICT audit /ICT security certifications

No	Evaluation Criteria	Requirement
		Work experience At least 7 years' experience in systems Assessment
Technical staff qualification & experience	Technical Personnel (10 No.)	Academic qualifications Bachelor's degree in IT, computer science, Information Systems or equivalent
		Professional qualifications (attach certificates) <ul style="list-style-type: none"> <li>• Certified Information Systems Auditor (CISA)</li> <li>• Certified Information Security Manager (CISM).</li> <li>• Certified Information Systems Security Professional (CISSP)</li> <li>• Certified Ethical Hacker (CEH)</li> <li>• ISO-27001 Lead Auditor</li> <li>• SAP Certifications</li> </ul> Nb: Technical personnel to have at least one of the above certifications
		Work experience At least 5 years' experience in IT systems Assessment

E. Reporting Requirements and Time Schedule for Deliverables

The contracted company is expected to deliver the following deliverables within 90 days after signing the contract.

Report: Provide a comprehensive report on the following:

1. IT system Audit
2. Cyber-risk Audit and framework
3. Penetration Testing and Vulnerability Assessment
4. Business Continuity and Capability Audit
5. Network Security Review
6. Application Security
7. Data Integrity Review
8. Business Process Controls Review
9. Authentication of systems Licenses
10. Compliance with Legal and Regulatory Requirements
11. Capacity building
12. Fraud Management Enhancement Program (Action Plan)
13. IT Audit framework
14. Fraud Management framework, plan and possible solution
15. Quarterly Remedial Reviews

The contracted firm shall submit the deliverables within 90 days after signing the contract. Upon successful completion of the systems penetration testing and security audit assignment (Phase I), the contract may be extended for a period not exceeding one (1) year to undertake quarterly remediation reviews.

- The quarterly remediation review (Phase II) is a separate assignment. The bidders MUST submit their proposals and the rates should be clearly indicated as such. During this phase II, further skills enhancement on Certified Information Systems Auditor(CISA), Certified Information Security Manager(CISM), License Penetration Tester(LPT), *Certified Information Systems Security Professional (CISSP)* and ITIL may be undertaken.

The successful bidder is expected to commence the work on receipt of a signed contract document. The consultants shall provide inception, interim/draft and Final reports to the Authority.

No.	Phase	Description	Remarks
1	I	Systems penetration testing and security audit.	
2	II	<ul style="list-style-type: none"> <li>• Quarterly Remediation Review (4No.)</li> <li>• Certified Information Systems Auditor(CISA)- 2No</li> <li>• Certified Information Security Manager(CISM)</li> <li>• License Penetration Tester(LPT)</li> <li>• <i>Certified</i> Information Systems Security Professional (<i>CISSP</i>) – 1No</li> <li>• Information Technology Infrastructure Library(ITIL) – 2No.</li> </ul>	<p>This phase should be priced separately and can only be contracted upon successful completion of Phase I.</p> <p>Tuition, transfer &amp; accommodation/per diem as applicable</p>

Final reports shall be delivered in soft copy in addition to the specified number of hardcopies to

Manager, System and Forensic Audit  
Rural Electrification and Renewable Energy Corporation  
P.O Box 34585  
Nairobi  
Dates of submission; Within 90 days after contract signing

- F. Procuring Entity's Input and Counterpart Personnel  
Procuring Entity's Input and Counterpart Personnel
- a) Services, facilities and property to be made available to the Consultant by the Procuring Entity:
- (i) Technical Manuals
  - (ii) Reports
  - (iii) Minutes
  - (iv) ICT Systems
  - (v) System documentation
- b) Professional and support counterpart personnel to be assigned by the Procuring Entity to the Consultant's team:
- (i) Audit Staff
  - (ii) ICT System Administrator



## SECTION 6. CONDITIONS OF CONTRACT AND CONTRACT FORMS

### Preface

1. This Section includes two types of standard contract forms for: A Lump-Sum Contract and a Time-Based Contract. Each type includes General Conditions of Contract (“GCC”) that shall not be modified, and Special Conditions of Contract (“SCC”). The SCC includes clauses specific to each contract to supplement, but not over- write or otherwise contradict, the General Conditions of Contract.
2. Lump-Sum Contract. This type of contract is used mainly for assignments in which the scope and the duration of the Services and the required output of the Consultant are clearly defined. Payments are linked to outputs (deliverables) such as draft or final reports, drawings, bill of quantities, bidding documents, or software programs. Lump-sum contracts are easier to administer because they operate on the principle of a fixed price for a fixed scope, and payments are due on clearly specified out puts and milestones. Never the less, quality control of the Consultant's outputs by the Procuring Entity s paramount.
3. Time-Based Contract. This type of contract is appropriate when it is difficult to define or fix the scope and the duration of the services, either because they are related to activities carried out by others for which the completion period may vary, or because the input of the consultants required for attaining the objectives of the assignment is difficult to assess. In time-based contracts the Consultant provides services on a timed basis according to quality specifications, and Consultant's remuneration is determined on the basis of the time actually spent by the Consultant in carrying out the Services and is based on (i) agreed upon unit rates for the Consultant's experts multiplied by the actual time spent by the experts in executing the assignment, and (ii) reimbursable expenses using actual expenses and/or agreed unit prices. This type of contract requires the Procuring Entity to closely supervise the Consultant and to be involved in the daily execution of the assignment.
4. The templates are designed for use in assignments with consulting firms and shall not be used for contracting of individual experts. In some consultancy assignments such as design and construction supervision, both Lump- Sum and Time-Based Contracts are used and signed with the Consultant. In that case, the Lump-Sum Contract would apply for the design part of the Services while the construction supervision part would be based on a Time- Based Contract. In such event, both types of contracts shall be signed at the same time.

**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:

## I. 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 as set forth in the Contract, in particular:
  - a) The Consultant shall carry out 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

1.1 Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:

- a) “Applicable Law” means the laws and any other instruments having the force of law in Kenya.
- b) “Consultant” means a legally-established professional consulting firm or entity selected by the Procuring Entity to provide the Services under the signed Contract.
- c) “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).
- d) “Procuring Entity” means the Procuring Entity that signs the Contract for the Services with the selected Consultant.
- e) “Day” means a working day unless indicated otherwise.
- f) “Effective Date” means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.
- g) “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.
- h) “Foreign Currency” means any currency other than the currency of Kenya.
- i) “GCC” mean these General Conditions of Contract.
- j) “Government” means the government of Kenya.
- k) “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.
- 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 Curricula Vitae (CV) was taken into account in the technical evaluation of the Consultant's proposal.
- m) “Local Currency” means the Kenya Shillings, the currency of Kenya.
- n) “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.
- o) “Party” means the Procuring Entity or the Consultant, as the case may be, and “Parties” means both of them.

- p) “SCC” means the Special Conditions of Contract by which the GCC may be amended or supplemented but not over-written.
- q) “Services” means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.
- r) “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**

- 1.1 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**

- 1.2 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 a gents 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 there to.

### **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 GCC19hereof, 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 is 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 or 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 here under 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 GCC13.

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.

### **A. 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 GCC45.1 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 GCC45.1.
- 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.

## **B. 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 GCC14, 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 GCC22, (iii) the Consultant's obligation to permit in section, copying and auditing of their accounts and records set forth in Clause GCC25, and (iv) any right which a Party may have under the Applicable Law.

## **C. 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.

## **D. 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 or 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 for 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 in eligibility 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**

- 32.1 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
  - f 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.
  - g 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 or 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. Currency of Payment

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

### **40 Mode of Billing and Payment**

40.1 The total payments under this Contract shall not exceed the Contract price set forth in Clause GCC 38.1.

40.2 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.

40.2.1 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.

40.2.2 *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.

40.2.3 *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.

40.2.4 All payments under this Contract shall be made to the accounts of the Consultant specified in the SCC.

40.2.5 With the exception of the final payment under 40.2.3 above, 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 inaction 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

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
1.1(a)	The Contract shall be construed in accordance with the law of Kenya
4.1	The language is: English
6.1 and 6.2	<p>The addresses are <i>[fill in at negotiations with the selected firm]</i>:</p> <p>Procuring Entity: _____            Attention: _____            Facsimile: _____            E-mail: _____</p> <p>Consultant: _____            Attention: _____            Facsimile: _____            E-mail: _____</p>
8.1	The Lead Member on behalf of the JV is _____ <i>[insert name of the member]</i>
9.1	<p>The Authorized Representatives are:</p> <p>For the Procuring Entity: Manager, System and Forensic Audit</p> <p>For the Consultant: To be determined after contract signing</p>
11.1	The effectiveness conditions are the following: N/A
12.1	<p>Termination of Contract for Failure to Become Effective:</p> <p>The time period shall be thirty days</p>
13.1	<p>Commencement of Services:</p> <p>The number of days shall be ten days</p> <p>Confirmation of Key Experts' availability to start the Assignment shall be submitted to the Procuring Entity in writing as a written statement signed by each Key Expert.</p>
14.1	<p>Expiration of Contract:</p> <p>The time period shall be 6months</p>
21.1.3.	The Procuring Entity reserves the right to determine on a case-by-case basis whether the Consultant should be disqualified from providing goods, works or non-consulting services due to a conflict of a nature described in Clause GCC 21.1.3: Yes
23.1	No additional provisions.

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
24.1	The insurance coverage against the risks shall be as follows: (a) Professional liability insurance, with a minimum coverage of _____ [insert amount and currency which should be not less than the total ceiling amount of the Contract];
27.1	The additional rights to the use of the documents are: Not Applicable
27.2	[The Consultant shall not use any information provided during contract implementation for purposes unrelated to this Contract without the prior written approval of the Procuring Entity.]
32.1 (a) through (f)	<i>Not Applicable.</i>
32.1(g)	<i>Not Applicable for this Clause SCC 32.1(g).</i>
38.1	The Contract price is Ksh. Lump sum inclusive of local taxes.  Any local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall reimbursed by the Procuring Entity to the Consultant.  The amount of such taxes is _____ [insert the amount as finalized at the Contract’s negotiations on the basis of the tax amounts provided by the Consultant in Form FIN-2 of the Consultant’s Financial Proposal.
39.1 and 39.2	The Procuring Entity warrants that the Procuring Entity shall reimburse the Consultant, the Sub-consultants and the Experts any taxes, duties, fees, levies and other impositions imposed, under the applicable law in the Procuring Entity’s country, on the Consultant, the Sub-consultants and the Experts in respect of: (a) any payments whatsoever made to the Consultant, Sub-consultants and the Experts (other than nationals or permanent residents of Kenya), in connection with the carrying out of the Services; (b) any equipment, materials and supplies brought into Kenya by the Consultant or Sub-consultants for the purpose of carrying out the Services and which, after having been brought into such territories, will be subsequently withdrawn by them; (c) any equipment imported for the purpose of carrying out the Services and paid for out of funds provided by the Procuring Entity and which is treated as property of the Procuring Entity; (d) any property brought into Kenya by the Consultant, any Sub-consultants or the Experts (other than nationals or permanent residents of Kenya), or the eligible dependents of such experts for their personal use and which will subsequently be withdrawn by them upon their respective departure from the Procuring Entity’s country, provided that: (i) the Consultant, Sub-consultants and experts shall follow the usual customs procedures of Kenya in importing property into Kenya; and  (ii) if the Consultant, Sub-consultants or Experts do not withdraw but dispose of any property in the Procuring Entity’s country upon which customs duties and taxes have been exempted, the Consultant, Sub-consultants or Experts, as the case may be, (a)

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
	shall bear such customs duties and taxes in conformity with the regulations of Kenya, or (b) shall reimburse them to the Procuring Entity if they were paid by the Procuring Entity at the time the property in question was brought into the Procuring Entity's country.
40.2	<p>The payment schedule:            Payment shall primarily be through REREC's cheque or Real Time Gross Settlement (RTGS) or telegraphic transfer. Where applicable, a copy of a valid Performance Security, stamped, certified as authentic by REREC, shall form part of the documents to be presented to REREC before any payment is made as follows;</p> <p>1<sup>st</sup> payment: Delivery of an inception report (20%)</p> <p>2<sup>nd</sup> payment: Example: Sixty (40) percent of the Contract Price shall be paid upon submission of an acceptable Draft Report reports for ICT Audit</p> <p>3<sup>rd</sup> Payment twenty percent (20) upon delivery of Capacity Building</p> <p>4<sup>th</sup> and Final Payment: Example: Twenty (20) percent of the lump sum Contract Price shall be paid upon submission and approval of the Final Report &amp; project closure</p>
40.2.1	There will be no advance payment
40.2.4	<p>The accounts are:</p> <p>for foreign currency: <i>[insert account]</i>.</p> <p>for local currency: <i>[insert account]</i>.</p>
41.1	The interest rate is: Zero (0)
44.1	<p>The Procuring Entity and the Consultant shall make every effort to resolve amicably by direct negotiation any disagreement or dispute arising between them under or in connection with the Contract. If, after thirty (30) days, the parties have failed to resolve their dispute or difference by such mutual consultation, then either the Procuring Entity or the Consultant may give notice to the other party of its intention to commence arbitration, as hereinafter provided, as to the matter in dispute, and no arbitration in respect of this matter may be commenced unless such notice is given. Any dispute or difference in respect of which a notice of intention to commence arbitration has been given in accordance with this Clause shall be finally settled by arbitration. Arbitration may be commenced prior to or after delivery of the Goods under the Contract.</p> <p>Arbitration proceedings shall be conducted as follows:</p> <p>Any claim or dispute between the Parties arising out of or in connection with the Contract not settled amicably shall be finally be settled by arbitration.</p> <p>No arbitration proceedings shall be commenced on any claim or dispute where notice of a claim or dispute has not been given by the applying party within thirty days of the occurrence or discovery of the matter or issue giving rise to</p>

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
	<p>the dispute.</p> <p>Notwithstanding the issue of a notice as stated above, the arbitration of such a claim or dispute shall not commence unless an attempt has in the first instance been made by the parties to settle such claim or dispute amicably with or without the assistance of third parties. Proof of such attempt shall be required.</p> <p>The Arbitrator shall, without prejudice to the generality of his powers, have powers to direct such measurements, computations, or valuations as may in his opinion be desirable in order to determine the rights of the parties and assess and award any sums which ought to have been the subject of or included in any due payments.</p> <p>Neither Party shall be limited in the proceedings before the arbitrators to the evidence, or to the reasons for the dispute given in its notice of a claim or dispute.</p> <p>Arbitration may be commenced prior to or after delivery of the goods. The obligations of the Parties shall not be altered by reason of any arbitration being conducted during the progress of the delivery of goods.</p> <p>The terms of the remuneration of each or all the members of Arbitration shall be mutually agreed upon by the Parties when agreeing the terms of appointment. Each Party shall be responsible for paying one-half of this remuneration.</p> <p><b>Arbitration Proceedings</b></p> <p>Arbitration proceedings with national Consultants will be conducted in accordance with the Arbitration Laws of Kenya. In case of any claim or dispute, such claim or dispute shall be notified in writing by either party to the other with a request to submit it to arbitration and to concur in the appointment of an Arbitrator within thirty days of the notice. The dispute shall be referred to the arbitration and final decision of a person or persons to be agreed between the parties. Failing agreement to concur in the appointment of an Arbitrator, the Arbitrator shall be appointed, on the request of the applying party, by the Chairman or Vice Chairman of any of the following professional institutions;</p> <ul style="list-style-type: none"> <li>i) Kenya National Chamber of Commerce</li> <li>ii) Chartered Institute of Arbitrators (Kenya Branch)</li> <li>iii) The Law Society of Kenya</li> </ul> <p>The institution written to first by the aggrieved party shall take precedence over all other institutions.</p> <p><b>Alternative Arbitration Proceedings</b></p> <p>Alternatively, the Parties may refer the matter to the Nairobi Centre for International Arbitration (NCIA) which offers a neutral venue for the conduct of national and international arbitration with commitment to providing institutional support to the arbitral process.</p> <p><b>Arbitration with Foreign Consultants</b></p>

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
	<p>Arbitration with foreign Consultants shall be conducted in accordance with the arbitration rules of the United Nations Commission on International Trade Law (UNCITRAL); or with proceedings administered by the International Chamber of Commerce (ICC) and conducted under the ICC Rules of Arbitration; by one or more arbitrators appointed in accordance with said arbitration rules.</p> <p>The place of arbitration shall be a Nairobi; and the arbitration shall be conducted in the English.</p> <p><b><i>Alternative Arbitration Proceedings</i></b>  Alternatively, the Parties may refer the matter to the Nairobi Centre for International Arbitration (NCIA) which offers a neutral venue for the conduct of national and international arbitration with commitment to providing institutional support to the arbitral process.</p> <p><b>Failure to Comply with Arbitrator’s Decision</b></p> <p>The award of such Arbitrator shall be final and binding upon the parties.</p> <p>In the event that a Party fails to comply with a final and binding Arbitrator's decision, then the other Party may, without prejudice to any other rights it may have, refer the matter to a competent court of law.</p> <p><b><i>Contract operations continue</i></b>  Notwithstanding any reference to arbitration herein,  a) the parties shall continue to perform their respective obligations under the Contract unless they otherwise agree; and  b) the Procuring Entity shall pay the Consultant any monies due the Consultant.</p>
	<p><b><u>Miscellaneous.</u></b> In any arbitration proceeding hereunder:  (a) proceedings shall, unless otherwise agreed by the Parties, be held in <i>Nairobi-Kenya</i>  (b) English language shall be the official language for all purposes; and  (c) the decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding and shall be enforceable in any court of competent jurisdiction, and the Parties hereby waive any objections to or claims of immunity in respect of such enforcement.</p>



## **SECTION 9: APPENDICES**

### **Appendix A – Terms of Reference**

*[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; Procuring Entity's input, including counterpart personnel assigned by the Procuring Entity to work on the Consultant's team; specific tasks 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 in 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.]*

*[Specify Hours of Work for Key Experts: List here the hours of work for Key Experts; travel time to/from Kenya; entitlement, if any, to leave pay; public holidays in Kenya that may affect Consultant's work; etc. Make sure there is consistency with Form TECH-6. In particular: one month equals twenty-two (22) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.]*

### **Appendix C – Remuneration Cost Estimates**

#### **1. Monthly rates for the Experts:**

*[Insert the table with the remuneration rates. The table shall be based on [Form FIN-3] of the Consultant's Proposal and reflect any changes agreed at the Contract negotiations, if any. The footnote shall list such changes made to [Form FIN-3] at the negotiations or state that none has been made.]*

**2** *[When the Consultant has been selected under Quality-Based Selection method, or the Procuring Entity has requested the Consultant to clarify the breakdown of very high remuneration rates at the Contract's negotiations also add the following:*

*“The agreed remuneration rates shall be stated in the attached Form: Breakdown of Agreed Fixed Rates in Consultant's Contract. This form shall be prepared on the basis of Appendix A to Form FIN-3 of the RFP “Consultants' Representations regarding Costs and Charges” submitted by the Consultant to the Procuring Entity prior to the Contract's negotiations.*

*Should these representations be found by the Procuring Entity (either through inspections or audits pursuant to Clause GCC 25.2 or through other means) to be materially in complete or inaccurate, the Procuring Entity shall be entitled to introduce appropriate modifications in the remuneration rates affected by such materially in complete or inaccurate representations. Any such modification shall have retroactive effect and, in case remuneration has already been paid by the Procuring Entity before any such modification, (i) the Procuring Entity shall be entitled to offset any excess payment against the next monthly payment to the Consultants, or (ii) if there are no further payments to be made by the Procuring Entity to the Consultants, the Consultants shall reimburse to the Procuring Entity any excess payment with in thirty (30) days of receipt of a written claim of the Procuring Entity. Any such claim by the Procuring Entity for reimbursement must be made within twelve (12) calendar months after receipt by the Procuring Entity of a final report and a final statement approved by the Procuring Entity in accordance with Clause GCC45. 1(d) of this Contract.”*



**BREAKDOWN OF AGREED FIXED RATES IN CONSULTANT'S CONTRACT**

We hereby confirm that we have agreed to pay to the Experts listed, who will be involved in performing the Services, the basic fees and away from the home office allowances (if applicable) indicated below:

(Expressed in [insert name of currency]) \*

Experts		1	2	3	4	5	6	7	8
Name	Position	Basic Remuneration rate per Working Month/Day/Year	Social Charges <sup>1</sup>	Overhead <sup>1</sup>	Subtotal	Profit <sup>2</sup>	Away from Home Office Allowance	Agreed Fixed Rate per Working Month/Day/Hour	Agreed Fixed Rate per Working Month/Day/Hour <sup>1</sup>
<i>Home Office</i>									
<i>Work in Kenya</i>									

Expressed as percentage of 1

1 Expressed as percentage of 4

\* If more than one currency, add a table

Signature \_\_\_\_\_ Date \_\_\_\_\_ Name and Title: \_\_\_\_\_



## **APPENDIX D: REIMBURSABLE EXPENSES COST ESTIMATES**

1. {Insert the table with the Reimbursable Expenses rates. The table shall be based on [Form FIN-4] of the Consultant's Proposal and reflect any changes agreed at the Contract negotiations, if any. The foot note shall list such changes made to [FormFIN-4] at the negotiations or state that none has been made.]
2. All reimbursable expenses shall be reimbursed at actual cost, unless otherwise explicitly provided in this Appendix, and in no event shall reimbursement be made in excess of the Contract amount.

**APPENDIX E: FORM OF ADVANCE PAYMENTS GUARANTEE (Not Applicable)**

[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\_\_\_\_, 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.

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<sup>1</sup>The Guarantor shall insert an amount representing the amount of the advance payment and denominated either in the currency (ies) of the advance payment as Specified in the Contract, or in a freely convertible currency acceptable to the Procuring Entity.

<sup>2</sup>Insert the expected expiration dates. In the event of an extension of the time for completion of the Contract, the Procuring Entity would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the procuring Entity might consider adding the following text to the form, at the end of the penultimate paragraph: "The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months] [one year], in response to the Procuring Entity's written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee."

## **APPENDIX F –KNOWLEDGE TRANSFER/TRAINING GUIDELINES**

Part I: Windows Forensics Course Topics:

### **1. Digital Forensics and Advanced Data Triage**

Topics

- Windows Operating System Components
  - Key Differences in Modern Windows Operating Systems
- Core Forensic Principles
  - Analysis Focus
  - Determining Your Scope
  - Creating and Investigative Plan
- Live Response and Triage-Based Acquisition Techniques
  - RAM Acquisition and Following the Order of Volatility
  - Triage-Based Forensics and Fast Forensic Acquisition
  - Encryption Detection
  - Registry and Locked File Extraction
  - Leveraging the Volume Shadow Service
  - KAPE Triage Collection
- Windows Image Mounting and Examination
- NTFS File System Overview
- Document and File Metadata
- File and Stream Carving
  - Principles of Data Carving
  - Recovering File System Metadata
  - File and Stream Carving Tools
  - Custom Carving Signatures
- Memory, Pagefile, and Unallocated Space Analysis
  - Artifact Recovery and Examination
  - Chat Application Analysis
  - Internet Explorer, Edge, Firefox, Chrome, and InPrivate Browser Recovery
  - Email and Webmail, including Yahoo, Outlook.com, and Gmail

### **2: Registry Analysis, Application Execution, and Cloud Storage Forensics**

Topics

- Registry Forensics In-Depth
- Registry Core
  - Hives, Keys, and Values
  - Registry Last Write Time
  - MRU Lists
  - Deleted Registry Key Recovery
  - Identify Dirty Registry Hives and Recover Missing Data
  - Rapidly Search and Timeline Multiple Hives
- Profile Users and Groups
  - Discover Usernames and Relevant Security Identifiers
  - Last Login
  - Last Failed Login
  - Login Count
  - Password Policy
- Core System Information
  - Identify the Current Control Set
  - System Name and Version
  - Document the System Time zone

- Wireless, Wired, VPN, and Broadband Network Auditing
- Perform Device Geolocation via Network Profiling
- Identify System Updates and Last Shutdown Time
- Registry-Based Malware Persistence Mechanisms
- User Forensic Data
  - Evidence of File Downloads
  - Office and Microsoft 365 File History Analysis
  - Windows 7, Windows 8/8.1, Windows 10 Search History
  - Typed Paths and Directories
  - Recent Documents (RecentDocs)
  - Open Save/Run Dialog Boxes Evidence
  - Application Execution History via UserAssist, Prefetch, Windows 10 Timeline, System Resource Usage Monitor (SRUM), and BAM/DAM
- Cloud Storage Forensics
  - Microsoft OneDrive
  - OneDrive Files on Demand
  - Microsoft OneDrive for Business
  - OneDrive Unified Audit Logs
  - Google Drive
  - Google Workspace (G Suite) File Stream
  - Google Workspace (G Suite) Logging
  - Dropbox
  - Dropbox Decryption
  - Dropbox Logging
  - Box Drive
  - Box Backup and Sync
  - Synchronization and Timestamps
  - Forensic Acquisition Challenges
  - User Activity Enumeration

### 3: Shell Items and Removable Device Profiling

#### Topics

- Shell Item Forensics
  - Shortcut Files (.lnk) - Evidence of File Opening
  - Windows 7-10 Jumplists - Evidence of File Opening and Program Execution
  - Shellbag Analysis - Evidence of Folder Access
- USB and BYOD Forensic Examinations
  - Vendor/Make/Version
  - Unique Serial Number
  - Last Drive Letter
  - MountPoints2 Last Drive Mapping Per User (Including Mapped Shares)
  - Volume Name and Serial Number
  - Username that Used the USB Device
  - Time of First USB Device Connection
  - Time of Last USB Device Connection
  - Time of Last USB Device Removal
  - Auditing BYOD Devices at Scale

### 4: Email Analysis, Windows Timeline, SRUM, and Event Logs

#### Topics

- Email Forensics
  - Evidence of User Communication
  - How Email Works
  - Email Header Examination
  - Email Authenticity

- Determining a Sender's Geographic Location
- Extended MAPI Headers
- Host-Based Email Forensics
- Exchange Recoverable Items
- Exchange Evidence Acquisition and Mail Export
- Exchange Compliance Search and eDiscovery
- Unified Audit Logs in Office 365
- Google Workspace (G Suite) Logging
- Recovering Data from the Google Workspace (G Suite)
- Web and Cloud-Based Email
- Webmail Acquisition
- Email Searching and Examination
- Mobile Email Remnants
- Business Email Compromise
- Forensically Analyzing Additional Windows OS Artifacts
  - Windows Search Index Forensics
  - Extensible Storage Engine (ESE) Database Recovery and Repair
  - Thumbs.db and Thumbnailcache Files
  - Windows Recycle Bin Analysis (XP, Windows 7-10)
  - Windows 10 Timeline Activities Database
  - System Resource Usage Monitor (SRUM)
    - Connected Networks, Duration, and Bandwidth Usage
    - Applications Run and Bytes Sent/Received Per Application
    - Application Push Notifications
    - Energy Usage
- Windows Event Log Analysis
  - Event Logs that Matter to a Digital Forensic Investigator
  - EVTX and EVT Log Files
    - Track Account Usage, including RDP, Brute Force Password Attacks, and Rogue Local Account Usage
    - Audit and Analyze File and Folder Access
    - Prove System Time Manipulation
    - Track BYOD and External Devices
    - Microsoft Office Alert Logging
    - Geo-locate a Device via Event Logs

## 5: Web Browser Forensics Topics

- Browser Forensics
  - History
  - Cache
  - Searches
  - Downloads
  - Understanding Browser Timestamps
  - Chrome
    - Chrome File Locations
    - Correlating URLs and Visits Tables for Historical Context
    - History and Page Transition Types
    - Chrome Preferences File
    - Web Data, Shortcuts, and Network Action Predictor Databases
    - Chrome Timestamps
    - Cache Examinations
    - Download History
    - Web Storage, IndexedDB, and the HTML5 File System
    - Chrome Session Recovery



- Chrome Profiles Feature
  - Identifying Cross-Device Chrome Synchronization
- Edge
  - Chromium Edge vs. Google Chrome
  - History, Cache, Cookies, Download History, and Session Recovery
  - Microsoft Edge Collections
  - Edge Internet Explorer Mode
  - Chrome and Edge Extensions
  - Edge Artifact Synchronization and Tracking Multiple Profiles
  - Edge HTML and the Spartan.edb Database
  - Reading List, WebNotes, Top Sites, and SweptTabs
- Internet Explorer
  - IE Forensic File Locations
  - History Files: Index.dat and WebCache.dat
  - Cache Recovery and Timestamps
  - Microsoft Universal Application Artifacts
  - IE Download History
  - Gaining Access to Credentials Stored in the Windows Vault
  - Internet Explorer Tab Recovery Analysis
  - Cross-Device Synchronization, Including Tabs, History, Favorites, and Passwords
- Firefox
  - Firefox Artifact Locations
  - SQLite Files and Firefox Quantum Updates
  - Download History
  - Firefox Cache2 Examinations
  - Detailed Visit Type Data
  - Form History
  - Session Recovery
  - Firefox Extensions
  - Firefox Cross-Device Synchronization
- Private Browsing and Browser Artifact Recovery
  - IE and EdgeHTML InPrivate Browsing
  - Chrome, Edge, and Firefox Private Browsing
  - Investigating the Tor Browser
  - Identifying Selective Database Deletion
- SQLite and ESE Database Carving and Examination of Additional Browser Artifacts
  - DOM and Web Storage Objects
  - Rebuilding Cached Web Pages
  - Browser Ancestry

## 6: Windows Forensics Challenge

### Topics

- Digital Forensics Capstone
  - Analysis
- Start at the Beginning with a New Set of Evidence
  - Find Critical Evidence Following the Evidence Analysis Methods Discussed Throughout the Week
  - Examine Memory, Registry, Chat, Browser, Recovered Files, Synchronized Artifacts, Installed Malware, and More
- Reporting
  - Build an Investigative Timeline
  - Answer Critical Investigative Questions with Factual Evidence
  - Practice Executive Summary and Report Generation

## Part II: Mac and iOS Forensic Analysis and Incident Response

### 1: Mac and iOS Essentials

#### Topics

- Apple Essentials
  - Mac and iOS Systems
  - Mac Analysis in a Windows World
  - Apple Fundamentals
- Mac Essentials and Acquisition
  - Mac File System Domains
  - Mac Directory Structures
  - Containers and Sandboxes
  - Acquisition Pitfalls and Considerations
  - Hard Drive, Network, and Memory Acquisition Tools
  - Image Mounting Using Open-Source Utilities
- iOS Essentials and Acquisition
  - Differences between iOS and macOS
  - Security and Encryption
  - Jailbreaks
  - Acquisition Types and Differences
  - Local and iCloud Backups
  - Tools for Acquisition and Analysis
  - Passcode Bypass and Cracking
- Disks and Partitions
  - Disk Layout
  - Partition Schemes
  - GPT
  - FileVault
  - Disk Images
  - CoreStorage
  - APFS Containers
  - Bootcamp
  - Fusion Drives

### 2: File Systems & System Triage

#### Topics

- File Systems
  - Overview of HFS+ & APFS
  - Data Structures
  - Manual Parsing
  - APFS Clones
  - APFS Snapshots
  - APFS Benefits and Caveats
  - Tool Output and Caveats
- Extended Attributes
  - Contents
  - Analysis
  - Tool Support
  - Interesting Attributes
- File System Events Store Database
  - Usage
  - Parsing with Tools
  - Practical Analysis
- Spotlight
  - Analysis Methods and Tools
  - Practical Queries

- Portable Artifacts
- Artifacts Left Behind by Macs
- Differences from Various File Systems
- Mac and iOS Triage
  - OS Version
  - Device Identifying Data
  - System Installation
  - Network Settings
  - Time Zone and Location Services
  - User Accounts
  - Managed Devices
  - Mail and Internet Account Settings
- Most Recently Used (MRUs)
  - Recent iOS Apps
  - Recent Folders
  - Recent Applications
  - Recent Documents
  - Recent Servers
  - Recent Files
  - Parsing Methods and Tools
  - Alias and Bookmark BLOBs
  - NSKeyed Archiver Plist File Manual Parsing

### 3: User Data, System Configuration, and Log Analysis

#### Topics

- User Data and System Configuration
  - Bash History
  - Keychains
  - Printing
  - Firewall Settings
  - Sharing Settings
  - Bluetooth
  - Autoruns
  - Application Bundles
  - Software Updates
  - GUI Settings
- Log Parsing and Analysis
  - Log Basics
  - Log Formats
  - Log Recovery
  - Log Types (Unix, BSM Audit, Apple System Logs (ASL) and Unified)
  - Log Configuration
  - Analysis Methods and Parsing Tools
- Timeline Analysis and Data Correlation
  - Temporal Context and Timestamps
  - Volume Analysis
  - Temporal Changes
  - System Information and State
  - Network Analysis
  - User Access
  - Privilege Escalation
  - Account Creation/Deletion
  - Software Installation
  - Backup Activity
  - Locational Data

## 4: Application Data Analysis

### Topics

- Application Permissions
  - Privacy Settings
  - Location Services
- Native Application Fundamentals
  - Locations
  - Snapshots
- Safari Browser
  - History
  - Cache
  - Syncing
  - Private Mode
  - Data Retention
- Apple Mail
  - Locations and Data Access
  - Mail Accounts and Configuration
  - Attachments
  - Metadata
- Communication
  - iChat/Messages
  - FaceTime
  - SMS
  - iMessage
  - Call History
  - Voicemail
- Calendar and Reminders
  - Files
  - Database Analysis
- Contacts
  - Files
  - Database Analysis
- Notes
  - Files
  - Database Analysis
  - Version Differences
  - Media Analysis
- Apple Pay, Wallet, Passes
  - Files
  - Database Analysis
- Photos
  - Files
  - Database Analysis
  - iCloud Syncing
- Maps
  - Files
  - Database Analysis
  - Caveats
- Location Data
  - Routine, WiFi, Cellular Locations
  - Files
  - Database Analysis
  - Tools and Parsing
- Apple Watch
  - Files

- Capabilities
- Synced Data
- Third-Party Apps
  - Locations
  - Analysis Caveats
  - Data Structure
  - Analysis Tools

## 5: Advanced Analysis Topics

### Topics

- Time Machine
  - Backup Settings
  - Backup Volumes
  - Snapshot Analysis
  - Local Snapshots
  - Encrypted Backups
  - Mounting and Analysis
- Document Versions
  - Versions Metadata
  - Versions Database
  - Generations
  - Chunk Storage
- iCloud
  - Synced Accounts
  - Mobile Documents
  - Synced Preferences
- Malware and Intrusion Analysis
  - Intrusion Analysis
  - Java Cache and IDX Files
  - File Quarantine
  - XProtect
  - Gatekeeper
- Live Response
  - Live Triage Techniques
  - Volatile Data Collection
- Memory Acquisitions and Analysis
  - Acquisition Tools
  - Analysis Tools
- Password Cracking and Encrypted Containers
  - Password Shadow Files
  - Cracking Software
  - Keychains
  - FileVault
  - Encrypted Volumes and Disk Images

## 6: Mac Forensics & Incident Response Challenge

### Topics:

- In-Depth File System Examination
- File System Timeline Analysis
- Advanced Computer Forensics Methodology
- Mac Memory Analysis
- File System Data Analysis
- Metadata Analysis
- Recovering Key Mac Files
- Volume and Disk Image Analysis

- Analysis of Mac Technologies including Time Machine, Spotlight, and FileVault
- Advanced Log Analysis and Correlation
- iDevice Analysis and iOS Artifacts

## **Part III: Security Essentials: Network, Endpoint, and Cloud**

### 1: Network Security and Cloud Essentials

#### Topics

#### Module 1: An Introduction to SE401

This course is unique in its coverage of more than 30 topics of information security. This introductory module reviews the structure of the course and the logistics of the class in concert with the "bootcamp" hours and provides an overall thematic view of the course topics.

#### Module 2: Defensible Network Architecture

To properly secure and defend a network, you must first have a clear and strong understanding of both the logical and physical components of network architecture. Above and beyond an understanding of network architecture, however, properly securing and defending a network will further require an understanding of how adversaries abuse the information systems of our network to achieve their goals.

- Network Architecture
- Attacks Against Network Devices
- Network Topologies
- Network Design

#### Module 3: Protocols and Packet Analysis

A solid understanding of the interworking of networks enables you to more effectively recognize, analyze, and respond to the latest (perhaps unpublished) attacks. This module introduces the core areas of computer networks and protocols.

- Network Protocols Overview
- Layer 3 Protocols
  - Internet Protocol
  - Internet Control Message Protocol
- Layer 4 Protocols
  - Transmission Control Protocol
  - User Datagram Protocol
- Tcpdump

#### Module 4: Virtualization and Cloud Essentials

This module will examine what virtualization is, the security benefits and the risks of a virtualized environment, and the differences in virtualization architecture. Because cloud computing is architected on virtualization, the module concludes with an extensive discussion of what the public and private cloud is, how it works, the services made available by the public cloud (including security offerings), and related security concepts.

- Virtualization Overview
- Virtualization Security
- Cloud Overview
- Cloud Security

#### Module 5: Securing Wireless Networks

This module will explain the differences between the various types of wireless communication technologies available today, the insecurities present in those communications, and approaches to reduce the risk of those insecurities to a more acceptable level.

- The Pervasiveness of Wireless Communications
- Traditional Wireless: IEEE 802.11 and its Continual Evolution
- Personal Area Networks
- 5G Cellular (Mobile) Communications
- The Internet of Things

### 2: Defense in Depth

## Topics

### Module 6: Defense in Depth

This module examines threats to our systems and takes a big picture look at how to defend against them. We will learn that protections need to be layered, a principle called defense in depth, and explain some principles that will serve you well in protecting your systems.

- Defense in Depth Overview
  - Risk = Threat x Vulnerability
  - Confidentiality, Integrity and Availability
- Strategies for Defense in Depth
- Core Security Strategies
- Defense in Depth in the Cloud
- Zero Trust Methodology
- Variable Trust

### Module 7: Identity and Access Management

This module discusses the principles of identity management and access control. Access control models vary in their approaches to security. We will explore their underlying principles, strengths, and weaknesses. The module includes a brief discussion on authentication and authorization protocols and control.

- Digital Identity
  - Authentication
  - Authorization
  - Accountability
- Identity Access Management
- Single Sign On (SSO): On-Premise and Cloud
  - Traditional SSO
  - SAML 2.0
  - OAuth 2.0
- Access Control
  - Controlling Access
  - Managing Access
  - Monitoring Access
- Privileged Access Management: On-Premise and Cloud

### Module 8: Authentication and Password Security

A discussion of identity and access management naturally leads to a conversation on authentication and password security. We will spend time discussing the various types of authentication: something you know, something you have, and something you are. We will focus specifically on the most common (and problematic) example of something you know authentication type (the password).

- Authentication Types
  - Something You Know
  - Something You Have
  - Something You Are
- Password Management
- Password Techniques
- Password (Passphrase) Policies
- Password Storage
- Key Derivation Functions
- How Password Assessment Works
- Password Attack Tools
  - Hashcat
  - Mimikatz
- Multi-Factor Authentication
- Adaptive Authentication

### Module 9: Security Frameworks

In implementing security, it is important to have a framework that includes proper metrics. As is often said, you cannot manage what you cannot measure. This module focuses on three frameworks: The

Center for Internet Security (CIS) Controls (created to help organizations prioritize the most critical risks they face); the NIST Cybersecurity Framework (standards, guidelines, and best practices that can assist in managing overall cybersecurity risk); and the MITRE ATT&CK knowledge base (adversary tactics and techniques). Combining the prioritized actions of the CIS Controls with the understanding of overall risk from the NIST Cybersecurity Framework, all in consideration of adversarial tactics and techniques, will help put us in solid footing in defending against the modern adversary.

- Introduction to the CIS Controls
  - Guiding Principles
  - Case Study: Sample CIS Control
  - Case Study: SolarWinds
- NIST Cybersecurity Framework
  - Framework Core
  - Implementation Tiers
  - Framework Profiles
- MITRE ATT&CK
  - Techniques
  - Mapping to Known Adversaries

#### Module 10: Data Loss Prevention

Loss or leakage?

In essence, data loss is any condition that results in data being corrupted, deleted, or made unreadable in any way by a user and or software (application). A data breach is, in most cases, an intentional or unintentional security incident. Such incidents can lead to, among other things, unintentional information disclosure, data leakage, and data spill. This module covers exactly what constitutes data loss or leakage, and the methodologies that can be leveraged to implement an appropriate data-loss prevention capability.

- Loss or Leakage
  - Data Loss
  - Data Leakage
  - Ransomware
- Preventative Strategies
  - Redundancy (On-Premise and Cloud)
  - Data Recovery
- Related Regulatory Requirements
  - GDPR
  - CCPA
- Data Loss Prevention Tools
- Defending Against Data Exfiltration
  - Honeypots
  - User Activity Monitoring

#### Module 11: Mobile Device Security

This module starts with a quick comparison of the Android and iOS mobile operating systems and what makes them so different. The module concludes with a brief discussion of the security features of both systems.

- Android versus iOS
- Android Security
  - Android Security Features
  - What You Need to Know About Android
  - Android Fragmentation
  - Android Security Fix Process
- Apple iOS Security
  - Apple iOS Security Features
  - What to Know About iOS
  - iOS Updates
- Mobile Problems and Opportunities
- Mobile Device Management



- Unlocking, Rooting, and Jailbreaking
- Mitigating Mobile Malware
  - Android Malware
  - iOS Malware

### 3: Vulnerability Management and Response

#### Topics

#### Module 12: Vulnerability Assessments

This module covers the tools, technology, and techniques used for reconnaissance (including gathering information), the mapping of networks, and scanning of vulnerabilities, all within the scope of a proper vulnerability framework.

- Introduction to Vulnerability Assessments
- Steps to Perform a Vulnerability Assessment
- Criticality and Risks

#### Module 13: Penetration Testing

The role of penetration testing, which is well understood by most organizations, gave rise to newer testing techniques such as red and purple teaming and adversary emulation. Often, penetration testing is limited in scope to where the testers are not truly able to emulate and mimic the behaviors of adversaries. This is where the red teaming and adversary emulation come into play. A methodical and meticulous approach to penetration testing is needed to provide business value to your organization.

- The What and Why of Penetration Testing
  - Red Team
  - Adversary Emulation
  - Purple Team
- Types of Penetration Testing
  - External
  - Internal
  - Web Application
  - Social Engineering
  - Mobile Device Testing
  - Internet of Things Testing
- Penetration Testing Process
- Penetration Testing Tools
  - Nmap
  - Metasploit
  - Meterpreter
  - C2 Frameworks and Implants
- Password Compromise, Reuse, Stuffing, and Spraying

#### Module 14: Attacks and Malicious Software

This module will examine the Marriott breach, which compromised millions of records globally, as well as ransomware attacks that continue to cripple hundreds and thousands of systems across different industries. We will describe the attacks in detail, discussing not only the conditions that made them possible, but also some strategies that can be used to help manage the risks associated with such attacks.

- High-Profile Breaches and Ransomware
- Ransomware as a Service
- Common Attack Techniques
- Malware and Analysis

#### Module 15: Web Application Security

This module looks at some of the most important things to know about designing and deploying secure web applications. We start with an examination of the basics of web communications, then move on to cover HTTP, HTTPS, HTML, cookies, authentication, and maintaining state. We conclude by looking at how to identify and fix vulnerabilities in web applications.

- Web Communication Fundamentals
  - Cookies
  - HTTPS

- Developing Secure Web Apps
  - OWASP Top Ten
  - Basics of Secure Coding
- Web Application Vulnerabilities
  - Authentication
  - Access Control
  - Session Tracking/Maintaining State
- Web Application Monitoring
  - Web Application Firewall (WAF)
  - Monolithic Architecture and Security Controls
  - Microservice Architecture and Related Attack Surface

#### Module 16: Security Operations and Log Management

This module covers the essential components of logging, how to properly manage logging, and the considerations that factor into leveraging logging to its fullest potential.

- Logging Overview
  - Log Collection Architecture
  - Log Filtering
  - Lack of Accepted Log Standards
- Setting Up and Configuring Log Standards
  - Log Analysis Tools
  - Phased Approach
  - Log Aggregation, Security Information, and Event Management
- Key Logging Activity

#### Module 17: Digital Forensics and Incident Response

This module explores the fundamentals of incident handling and why it is important to an organization. We will outline a multi-step process to create our own incident handling procedures and response plans. Being able to leverage digital forensic methodologies to ensure that processes are repeatable and verifiable will also be a key focus of the material.

- Introduction to Digital Forensics
  - What is Digital Forensics?
  - Digital Forensics in Practice
  - The Investigative Process
  - Remaining Forensically Sound
  - Examples of Examining Forensics Artifacts
  - DFIR Subdisciplines
  - Digital Forensics Tools
- Incident Handling Fundamentals
- Multi-Step Process for Handling an Incident
- Incident Response: Threat Hunting

#### 4: Cryptography

##### Topics

#### Module 18: Cryptography

Cryptography can provide the functional capabilities needed to achieve confidentiality, integrity, authentication, and non-repudiation. There are three general types of cryptographic systems: symmetric, asymmetric, and hashing. These systems are usually distinguished from one another by the number of keys employed, as well as the security goals they achieve. This module discusses these different types of cryptographic systems and how each type is used to provide a specific security function. The module also introduces steganography, which is a means of hiding data in a carrier medium. Steganography can be used for a variety of purposes but is most often used to conceal the fact that information is being sent or stored.

- Cryptosystem Fundamentals
  - Cryptography
  - Cryptanalysis
- General Types of Cryptosystems

- Symmetric
- Asymmetric
- Hashing
- Digital Signatures
- Steganography

#### Module 19: Cryptography Algorithms and Deployment

The content of this module will help us gain a high-level understanding of the mathematical concepts that contribute to modern cryptography. We'll also identify common attacks used to subvert cryptographic defenses.

- Cryptography Concepts
- Symmetric, Asymmetric, and Hashing Cryptosystems
  - AES
  - RSA
  - ECC
- Cryptography Attacks (Cryptanalysis)

#### Module 20: Applying Cryptography

This module will discuss the practical applications of cryptography in terms of protection of data in transit and protection of data at rest. We conclude with an important discussion on the management of public keys (and the related concepts of certificates), all in terms of a Public Key Infrastructure.

- Data in Transit
  - Virtual Private Networks (VPN)
    - IPsec
    - SSL-based
    - Security Implications
- Data at Rest
  - File/Folder Level Encryption
  - Full Disk Encryption
  - GNU Privacy Guard (GPG)
- Key Management
  - Public Key Infrastructure
  - Digital Certificates
  - Certificate Authorities

#### Module 21: Network Security Devices

Three main categories of network security devices will be discussed in this module: Firewalls, Network Intrusion Detection Systems (NIDS), and Network Intrusion Prevention Systems (NIPS). Together, they provide a complement of prevention and detection capabilities.

- Firewalls
  - Overview
  - Types of Firewalls
  - Configuration and Deployment
- NIDS
  - Types of NIDS
  - Snort as a NIDS
- NIPS
  - Methods of Deployment
  - Security and Productivity Risk Considerations

#### Module 22: Endpoint Security

In this final module of the section, we examine some of the key components, strategies, and solutions for implementing security from an endpoint perspective. This includes general approaches to endpoint security, strategies for baselining activity, and solutions like Host-based IDS (HIDS) and Host-based IPS (HIPS).

- Endpoint Security Overview
  - Core Components of Endpoint Security
  - Enhancing Endpoint Security
- Endpoint Security Solutions

- Anti-malware
- Endpoint Firewalls
- Integrity Checking
- HIDS and HIPS
  - Overview
  - Practical Considerations

## 5: Windows and Azure Security

### Topics

#### Module 23: Windows Security Infrastructure

This module discusses the infrastructure that supports Windows security. This is a big picture overview of the Windows security model. It provides the background concepts necessary to understand everything else that follows.

- Windows Family of Products
- Windows Workgroups and Accounts
- Windows Active Directory and Group Policy

#### Module 24: Windows as a Service

This module discusses techniques for managing Windows systems as it applies to updates (patches) as well as new cloud-based deployment methodology (Windows Autopilot and Windows Virtual Desktop).

- End of Support
- Servicing Channels
- Windows Update
- Windows Server Update Services
- Windows Autopilot
- Windows Virtual Desktop
- Third-Party Patch Management

#### Module 25: Windows Access Controls

This module focuses on understanding how permissions are applied in the Windows NT File System (NTFS), Shared Folders, Registry Keys, Active Directory, and Privileges. BitLocker is discussed as another form of access control (for encrypted information), and as a tool to help maintain the integrity of the boot-up process if you have a Trusted Platform Module.

- NTFS Permissions
- Shared Folder Permissions
- Registry Key Permissions
- Active Directory Permissions
- Privileges
- BitLocker Drive Encryption
- Secure Boot

#### Module 26: Enforcing Security Policy

This module discusses one of the best tools for automating security configuration changes, SECEDIT.EXE, which is the command-line version of Microsoft's Security Configuration and Analysis snap-in. We'll look at some of the most important changes that can be made through the use of this tool, such as password policy, lockout policy, and null user session restrictions. We'll also briefly discuss Group Policy Objects (GPOs) and the many best practice security configuration changes that they can help enforce throughout the domain.

- Applying Security Templates
- Employing the Security Configuration and Analysis Snap-in
- Understanding Local Group Policy Objects
- Understanding Domain Group Policy Objects
- Administrative Users
  - Privileged Account Management
  - Reduction of Administrative Privileges
- AppLocker

- User Account Control
- Windows Firewall
- IPsec Authentication and Encryption
- Remote Desktop Services
- Recommended GPO Settings

#### Module 27: Microsoft Cloud Computing

Inside your LAN as well as in the cloud, you will likely have a mixture of servers. Microsoft's cloud is known as Azure. On top of Azure, Microsoft has implemented services such as Microsoft 365, Exchange Online, OneDrive, Intune, and many others. Microsoft has designed Windows 10 and later versions for integration with Azure, so Windows security includes not just Windows alone, but also Azure. It's important for your career as a security professional to understand the essential concepts of Microsoft Azure.

- Microsofts All-In Bet on Cloud Computing
- Microsoft Cloud Types: IaaS, PaaS, SaaS, and DaaS
- Microsoft Azure
- Azure Active Directory (Azure AD)
- Azure AD Single Sign-On
- Multi-Factor Authentication
- Administrative Role Reduction
- Endpoint Security Enforcement
- Microsoft Intune
- Azure Conditional Access
- Azure Key Vault
- Azure Monitor
- Azure Sentinel (SIEM and SOAR)
- Azure Policy
- Azure Security Center

#### Module 28: Automation, Logging, and Auditing

Automation, logging, and auditing go together because if we can't automate our work, the auditing work doesn't get done at all (or is done only sporadically). Also, if we can't automate our work, we can't make our work scale beyond the small number of machines that we can physically touch. Thankfully, modern Windows systems come with a very powerful automation capability: PowerShell. We will learn what PowerShell is and how to leverage it in our pursuit of deployment consistency, detection of change, remediation of systems, and even threat hunting!

- What Is Windows PowerShell?
- Windows PowerShell versus PowerShell Core
- Windows Subsystem for Linux (WSL)
- Automation and Command-Line Capability in Azure
  - PowerShell Az Module
  - Azure CLI
  - Azure Cloud Shell
  - Azure Resource Manager Templates
  - Runbooks
- Gathering Ongoing Operational Data
- Employing Change Detection and Analysis

#### 6: Linux, AWS, and Mac Security Topics

##### Module 29: Linux Fundamentals

This module discusses the foundational items that are needed to understand how to configure and secure a Linux system.

- Operating System Comparison
- Linux Vulnerabilities

- Linux Operating System
  - Shell
  - Kernel
  - Filesystem
  - Linux Unified Key Setup
- Linux Security Permissions
- Linux User Accounts
- Pluggable Authentication Modules
- Built-in Command-Line Capability
- Service Hardening
- Package Management

#### Module 30: Linux Security Enhancements and Infrastructure

This module discusses security enhancement utilities that provide additional security and lockdown capabilities for modern Linux systems. As discussed earlier in the course, taking advantage of logging capabilities is an incredibly important aspect of our modern cyber defense. Linux supports the well-known Syslog logging standard (and its related features) and will be discussed in this module. As Syslog continues to age, it may end up being unable to provide the logging features that modern day cyber defense demand. Because of this, we will explore additional logging enhancements ranging from Syslog-ng to Auditd.

- Operating System Enhancements
  - SELinux
  - AppArmor
- Linux Hardening
  - Address Space Layout Randomization
  - Kernel Module Security
  - SSH Hardening
  - OpenSCAP
  - CIS Hardening Guides and Utilities
- Log Files
  - Key Log Files
  - Syslog
  - Syslog Security
  - Log Rotation
  - Centralized
  - Logging
  - Auditd
  - Firewalls: Network and Endpoint
  - Rootkit Detection

#### Module 31: Containerized Security

The importance of segmentation and isolated techniques cannot be understated. Isolation techniques can help mitigate the initial damage caused by an adversary, giving us more time for detection. In this module, we will discuss various types of isolation techniques, including chroot, virtualization, and containers. Containers are a relatively new concept (as applied to information security perspectives). There can be a lot of misunderstanding as to what security benefits are truly afforded by containers, and the potential security issues that may come up within containers themselves. We will discuss what containers are, best practices to deploy them, and how to secure them.

- Chroot
  - Virtualization
  - Containers versus Virtual Machines
- Containers and Orchestration
  - LXC
  - Cgroups and Namespaces
  - Docker
  - Docker Images
  - Kubernetes

- Container Security
  - Docker Best Practices
  - Vulnerability Management
  - Secure Configuration Baselines
  - Terraform

#### Module 32: AWS Fundamentals

This module discusses the foundational concepts of Amazon Web Services (AWS), necessary to provide a better understanding of the interaction among AWS and its more commonly used services. This will provide a strong foundation in anticipation of a discussion on AWS Security Controls.

- Identity and Access Management in AWS
  - AWS IAM Key Concepts
  - Identity Federations and External Access
  - Amazon Cognito
- Management Tools Within AWS
  - AWS Console
  - AWS CLI
- AWS Commonly Used Services and Functionality
  - High-Availability
  - EC2
  - S3
  - Lambda
  - CloudFront
  - AWS Config
  - Amazon RDS

#### Module 33: AWS Security Controls

This module provides an overview of some of the specific security capabilities and services made through AWS.

- Network Protection
  - NACLs versus Security Groups
- AWS Network Firewall
- AWS Shield and AWS Web Application Firewall
- Amazon Macie
- Key Management Service
  - Amazon Managed
  - Customer Managed
  - HSM
- Amazon CloudWatch
- Amazon CloudTrail
- Amazon GuardDuty

#### Module 34: AWS Hardening

The AWS Well-Architected Framework provides best practice guidance and recommendations for the design, delivery, and maintenance of secure AWS workloads. It helps customers design and operate reliable, secure, efficient, and cost-effective workloads in the cloud. The framework is divided into five pillars, one of which is focused on security. This security pillar is the focus of the module.

- AWS Well-Architected Framework (Security Pillar)
- Implement a Strong Identity Model
- Enable Traceability
- Apply Security at All Layer
  - Network
  - Compute
- Automate Security Best Practices
- Protect Data at Rest and in Transit
- Keep People Away from Data
- Collect, Prepare, and Respond

#### Module 35: macOS Security



This module focuses on the security features that are built into macOS systems. Although macOS is a relatively secure system that provides many different features, it can also be flawed just like any other operating system.

- What is macOS?
- Privacy Controls
  - Keychain
  - Strong Passwords
- Gatekeeper
- Anti-Phishing and Download Protection
- XProtect
- Firewall
- FireVault
- Sandboxing and Runtime Protection
- Security Enclaves
- macOS Vulnerabilities and Malware

## **Part IV: Advanced Security Essentials- Enterprise Defender**

### 1: Defensible Network Architecture

#### Topics

- Security Standards and Audit
- Authentication, Authorization, and Accounting
- Defending Network Infrastructure
- Intrusion Prevention Systems and Firewalls
- Name Resolution Attacks and Defense
- Securing Private and Public Cloud Infrastructure

### 2: Penetration Testing

#### Topics

- Penetration Testing Scoping and Rules of Engagement
- Online Reconnaissance
- Social Engineering
- Network Mapping and Scanning Techniques
- Enterprise Vulnerability Scanning
- Network Exploitation Tools and Techniques
- Post-Exploitation and Pivoting
- Web Application Exploitation Tools and Techniques
- Reporting and Debriefing

### 3: Security Operations Foundations

#### Topics

- Network Security Monitoring
- Advanced Packet Analysis
- Network Intrusion Detection/Prevention
- Writing Signatures for Detection
- Network Forensics and More
- Event Management Introduction
- Continuous Monitoring
- Logging and Event Collection and Analysis
- SIEM and Analytics

### 4: Digital Forensics and Incident Response

#### Topics

- Active Defense
- DFIR Core Concepts: Digital Forensics



- DFIR Core Concepts: Incident Response
- Modern DFIR
- Widening the Net: Scaling and Scoping

## 5: Malware Analysis

### Topics

- Introduction to Malware Analysis
- Malware Analysis Stages: Fully Automated and Static Properties Analysis
- Malware Analysis Stages: Interactive Behavior Analysis
- Malware Analysis Stages: Manual Code Reversing

## 6: Enterprise Defender Capstone

## PREFACE

This Section includes a Time-Based Contract. It includes General Conditions of Contract (“GCC”) that shall not be modified, and Special Conditions of Contract (“SCC”). The SCC include clauses specific to each contract to supplement, but not over-write or otherwise contradict, the General Conditions of Contract.

**Time-Based Contract.** This type of contract is appropriate when it is difficult to define or fix the scope and the duration of the services, either because they are related to activities carried out by others for which the completion period may vary, or because the input of the consultants required for attaining the objectives of the assignment is difficult to assess. In time-based contracts the Consultant provides services on a timed basis according to quality specifications, and Consultant's remuneration is determined on the basis of the time actually spent by the Consultant in carrying out the Services and is based on (i) agreed upon unit rates for the Consultant's experts multiplied by the actual time spent by the experts in executing the assignment, and (ii) reimbursable expenses using actual expenses and/or agreed unit prices. This type of contract requires the Procuring Entity to closely supervise the Consultant and to be involved in the daily execution of the assignment.

The template is designed for use in assignments with consulting firms and shall not be used for contracting of individual experts. In some consultancy assignments such as design and construction supervision, both Lump-Sum and Time- Based Contracts are used and signed with the Consultant. In that case, the Lump-Sum Contract would apply for the design part of the Services while the construction supervision part would be based on a Time-Based Contract. In such event; both types of contracts shall be signed at the same time.

In case a Time-Based Contract is not used, please delete the contract template for time-based contract before issuance of the RFP to Consultants.

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<sup>1</sup>The Guarantor shall insert an amount representing the amount of the advance payment and denominated either in the currency (ies) of the advance payment as Specified in the Contract, or in a freely convertible currency acceptable to the Procuring Entity.

<sup>2</sup>Insert the expected expiration date. In the event of an extension of the time for completion of the Contract the Procuring Entity would need to request an extension of

This guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the Procuring Entity might consider adding the following text to the form, at the end of the penultimate paragraph: “The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months] [one year], in response to the Procuring Entity's written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee.”

# CONTRACT FOR CONSULTANT'S SERVICES

## II. TIME-BASED CONTRACT

Consulting Services for:

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

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

between

*[Name*

*of the*

*Procur*

*ing*

*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. The mutual rights and obligations of the Procuring Entity and the Consultant shall be as set forth in the Contract, in particular:
  - a) The Consultant shall carry out 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 8: General Conditions of Contract**

### **A. GENERAL PROVISIONS**

#### **1. Definitions**

- 1.1 Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:
- a) “Applicable Law” means the laws and any other instruments having the force of law in Kenya.
  - b) “Procuring Entity” means the Procuring Entity that signs the Contract for the Services with the Selected Consultant.
  - 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) “Day” means a working day unless indicated otherwise.
  - f) “Effective Date” means the date on which this Contract comes into force and effect pursuant to Clause GCC11.
  - g) “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.
  - h) “Foreign Currency” means any currency other than the Kenya Shilling.
  - i) “GCC” means these General Conditions of Contract.
  - j) “Government” means the government of Kenya.
  - k) “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.
  - 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 Curricula Vitae (CV) was taken in to account in the technical evaluation of the Consultant's proposal.
  - m) “Local Currency” means the Kenya Shilling.
  - n) “Non-Key Expert(s)” means an individual professional provided by the Consultant or its Sub-consultant to perform the Services or any part thereof under the Contract.
  - o) “Party” means the Procuring Entity or the Consultant, as the case may be, and “Parties” means both.
  - p) “SCC” means the Special Conditions of Contract by which the GCC may be amended or supplemented but not over-written.
  - q) “Services” means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.
  - r) “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.
  - s) “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**

- 1.3 Nothing contained here in 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 the moron their behalf here under.

## **2 Law Governing Contract**

- 2.1 This Contract, its meaning and interpretation, and the relation between the Parties shall be governed by the Applicable Law.

## **3 Language**

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

## **4 Headings**

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

## **5 Communications**

- 5.1 Any communication required or permitted to be given or made pursuant to this Contract shall be in writing in the language specified in Clause GCC4. Any such notice, request or consent shall be deemed to have been give nor 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.
- 5.2 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.

## **6 Location**

- 7.1. The Services shall be performed at such locations as are specified in Appendix A here to 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.

## **7 Authority of Member in Charge**

- 7.1 In case the Consultant is a Joint Venture, the members hereby authorize the member 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 and laws in regard to corrupt and fraudulent or prohibited practices as set forth in its laws and policies.

### **a. Commissions and Fees**

- 10.2 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 the 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.

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 hereto.

## **13 Commencement of Services**

- 13.1 The Consultant shall confirm availability of Key Experts and begin 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 GCC 19 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.

### **16.2 In cases of substantial modifications or variations.**

## **17 Force Majeure**

### **a. Definition**

- 17.1 For the purposes of this Contract, “Force Majeure” means an event which is beyond the reasonable control of a Party, is not foreseeable, is unavoidable, and makes a Party's performance of its obligations here under 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 is caused by then 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 here under.

17.3 Force Majeure shall not include in sufficiency of funds or failure to make any payment required here under.

**b. No Breach of Contract**

17.4 The failure of a Party to fulfill any of its obligations here under 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.

17.7 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.

17.8 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:

- a 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
- b 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.

17.9 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 47 & 48.

**18 Suspension**

18.1 The Procuring Entity may, by written notice of suspension to the Consultant, suspend all payments to the Consultant here under if the Consultant fails to perform many 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 into 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 48.1;
- 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**

19.1.3 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.

- a If the Procuring Entity fails to pay any money due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clauses GCC 48.1 within forty-five (45) calendar days after receiving written notice from the Consultant that such payment is overdue.
- b 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.
- c If the Procuring Entity fails to comply with any final decision reached as a result of arbitration pursuant to Clause GCC 48.1.
- d 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 inspection, 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 GCC 27 or GCC 28.

**e. Payment upon Termination**

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

- a remuneration for Services satisfactorily performed prior to the effective date of termination, and reimbursable expenditures for expenditures actually incurred prior to the effective date of termination; and pursuant to Clause 42;
- 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**

**20 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 Consultant 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,
- 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 interests 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 41 through 46) shall constitute the Consultant's only payment in connection with this Contract and, subject to Clause GCC 21.1.3, 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, 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, inter alia, that acts intended to materially impede the exercise of the PPRA's inspection and audit rights provided for under this Clause GCC25.2 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 the mat 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, as applicable.

## **D. CONSULTANT'S EXPERTS AND SUB-CONSULTANTS**

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

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

29.2 If required to comply with the provisions of Clause GCC 20 a, adjustments with respect to the estimated time- input of Key Experts set forth in Appendix B may be made by the Consultant by a written notice to the Procuring Entity, provided (i) that such adjustments shall not alter the original time-input estimates for any individual by more than 10% or one week, whichever is larger; and (ii)that the aggregate of such adjustments shall not cause payments under this Contract to exceed the ceilings set forth in ClauseGCC41.2.

29.3 If additional work is required beyond the scope of the Services specified in Appendix A, the estimated time-input for the Key Experts may be increased by agreement in writing between the Procuring Entity and the Consultant. In case where payments under this Contract exceed the ceilings set forth in Clause GCC41.1, the Parties shall sign a Contract amendment.

### **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 in capacity. In such case, the Consultant shall forth with provide as are placement, a person of equivalent or better qualifications and experience, and at the same rate of remuneration.

### **31 Approval of Additional Key Experts**

31.1 If during execution of the Contract, additional Key Experts are required to carry out the Services, the Consultant shall submit to the Procuring Entity for review and approval a copy of their Curricula Vitae (CVs). If the Procuring Entity does not object in writing (stating the reasons for the objection) within twenty-two (22) days from the date of receipt of such CVs, such additional Key Experts shall be deemed to have been approved by the Procuring Entity.



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

- 32.1 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 has 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.
- 32.2 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.
- 32.3 Any replacement of the removed Experts or Sub-consultants shall possess better qualifications and experience and shall be acceptable to the Procuring Entity.

## **33 Replacement/ Removal of Experts–Impact on Payments**

- 33.1 Except as the Procuring Entity may otherwise agree, (i) the Consultant shall bear all additional travel and other costs arising out of or incidental to any removal and/or replacement, and (ii) the remuneration to be paid for any of the Experts provided as a replacement shall not exceed the remuneration which would have been payable to the Experts replaced or removed.

## **34 Working Hours, Overtime, Leave, etc.**

- 34.1 Working hours and holidays for Experts are set forth in Appendix B. To account for travel time to/from Kenya, experts carrying out Services inside Kenya shall be deemed to have commenced or finished work in respect of the Services such number of days before their arrival in, or after their departure from, Kenya as is specified in Appendix B.
- 34.2 The Experts shall not be entitled to be paid for overtime nor to take paid sick leave or vacation leave except as specified in Appendix B, and the Consultant's remuneration shall be deemed to cover these items.
- 34.3 Any taking of leave by Key Experts shall be subject to the prior approval by the Consultant who shall ensure that absence for leave purposes will not delay the progress and or impact adequate supervision of the Services.

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

### **35 Assistance and Exemptions**

- 35.1 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 Experts 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.

- f Assist the Consultant, any Sub-consultants and the Experts of either of them with obtaining the privilege, pursuant to the applicable law in Kenya, of bringing into 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 there in by the Experts in the execution of the Services.
- g Provide to the Consultant any such other assistance as may be specified in the SCC.

### **36 Access to Project Site**

- 36.1 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.

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

- 37.1 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 ceiling amounts specified in Clause GCC41.1

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

- 38.1 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.
- 38.2 In case that such services, facilities and property shall not be made available to the Consultant as and when specified in Appendix A, the Parties shall agree on (i) any time extension that it may be appropriate to grant to the Consultant for the performance of the Services, (ii) the manner in which the Consultant shall procure any such services, facilities and property from other sources, and (iii) the additional payments, if any, to be made to the Consultant as a result thereof pursuant to Clause GCC 41.3.

### **39 Counterpart Personnel**

- 39.1 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.
- 39.2 If counterpart personnel are not provided by the Procuring Entity to the Consultant as and when specified in Appendix A, the Procuring Entity and the Consultants shall agree on (i) how the affected part of the Services shall be carried out, and (ii) the additional payments, if any, to be made by the Procuring Entity to the Consultant as a result thereof pursuant to Clause GCC 41.3.
- 39.3 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 assigned 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.

#### **40 Payment Obligation**

40.1 In consideration of the Services performed by the Consultant under this Contract, the Procuring Entity shall make such payments to the Consultant and in such manner as is provided by GCCF below.

#### **A. PAYMENTS TO THE CONSULTANT**

##### **41 Ceiling Amount**

41.1 An estimate of the cost of the Services is set forth in Appendix C (Remuneration) and Appendix D ([Reimbursable expenses]).

41.2 Payments under this Contract shall not exceed the ceilings in foreign currency and in local currency specified in the SCC.

41.3 For any payments in excess of the ceilings specified in GCC 41.2, an amendment to the Contract shall be signed by the Parties referring to the provision of this Contract that evokes such amendment.

##### **42 Remuneration and Reimbursable Expenses**

42.1 The Procuring Entity shall pay to the Consultant

(i) remuneration that shall be determined on the basis of time actually spent by each Expert in the performance of the Services after the date of commencing of Services or such other date as the Parties shall agree in writing; and

(ii) reimbursable expenses that are actually and reasonably incurred by the Consultant in the performance of the Services.

42.2 All payments shall be at the rates set forth in Appendix C and Appendix D.

42.3 Unless the SCC provides for the price adjustment of the remuneration rates, said remuneration shall be fixed for the duration of the Contract.

42.4 The remuneration rates shall cover:

(i) such salaries and allowances as the Consultant shall have agreed to pay to the Experts as well as factors for social charges and overheads (bonuses or other means of profit-sharing shall not be allowed as an element of overheads),

(ii) the cost of backstopping by home office staff not included in the Experts' list in Appendix B,

(iii) the Consultant's profit, and

(iv) any other items as specified in the SCC.

42.5 Any rates specified for Experts not yet appointed shall be provisional and shall be subject to revision, with the written approval of the Procuring Entity, once the applicable remuneration rates and allowances are known.

#### **43 Taxes and Duties**

43.1 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.

#### **44 Currency of Payment**

44.1 Any payment under this Contract shall be made in the currency or currencies specified in the SCC.

#### **45 Mode of Billing and Payment**

45.1 Billing and payments in respect of the Services shall be made as follows:

- a Advance payment. Within the number of days after the Effective Date, the Procuring Entity shall pay to the Consultant an advance payment as specified in the SCC. 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 E. The advance payments will be set off by the Procuring Entity in equal installments against the statements for the number of months of the Services specified in the SCC until said advance payments have been fully setoff.
- b The Itemized Invoices. As soon as practicable and not later than fifteen (15) days after the end of each calendar month during the period of the Services, or after the end of each time interval otherwise indicated in the SCC, the Consultant shall submit to the Procuring Entity, in duplicate, itemized invoices, accompanied by the receipts or other appropriate supporting documents, of the amounts payable pursuant to Clauses GCC 44 and GCC 45 for such interval, or any other period indicated in the SCC. Separate invoices shall be submitted for expenses incurred in foreign currency and in local currency. Each invoice shall show remuneration and reimbursable expenses separately.
- c The Procuring Entity shall pay the Consultant's invoices within sixty (60) days after the receipt by the Procuring Entity of such itemized invoices with supporting documents. Only such portion of an invoice that is not satisfactorily supported may be withheld from payment. Should any discrepancy be found to exist between actual payment and costs authorized to be incurred by the Consultant, the Procuring Entity may add or subtract the difference from any subsequent payments.
- d The Final Payment: The final payment under this Clause shall be made only after the final report and a final invoice, identified as such, shall have been submitted by the Consultant and approved as satisfactory by the Procuring Entity. The Services shall be deemed completed and finally accepted by the Procuring Entity and the final report and final invoice shall be deemed approved by the Procuring Entity as satisfactory ninety (90) calendar days after receipt of the final report and final invoice 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 or final invoice. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated. Any amount that the Procuring Entity has paid or has caused to be paid in accordance with this Clause in excess of the amounts payable in accordance with the provisions of this Contract shall be reimbursed by the Consultant to the Procuring Entity within thirty (30) days after receipt by the

Consultant of notice thereof. Any such claim by the Procuring Entity for reimbursement must be made within twelve (12) Calendar months after receipt by the Procuring Entity of a final report and a final invoice approved by the Procuring Entity in accordance with the above.

- e All payments under this Contract shall be made to the accounts of the Consultant specified in the SCC.
- f With the exception of the final payment under (d) above, payments do not constitute acceptance of the Services nor relieve the Consultant of any obligations here under.

#### **46 Interest on Delayed Payments**

- 46.1 If the Procuring Entity had delayed payments beyond thirty (30) days after the due date stated in Clause GCC 45.1(c), 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**

##### **47 Good Faith**

- 47.1 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**

##### **48 Amicable Settlement**

- 48.1 The Parties shall seek to resolve any dispute amicably by mutual consultation.
- 48.2 If either Party objects to any action or inaction 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 considerate and responds 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 49.1 shall apply.

##### **49 Dispute Resolution**

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

## SECTION 8: SPECIAL CONDITIONS OF CONTRACT

*[Notes in brackets are for guidance purposes only and should be deleted in the final text of the signed contract]*

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
1.1(a)	The Contract shall be construed in accordance with the law of Kenya
4.1	The language is: English
6.1 and 6.2	<p>The addresses are <i>[fill in at negotiations with the selected firm]</i>:</p> <p>Procuring Entity: _____            Attention: _____            Facsimile: _____            E-mail: _____</p> <p>Consultant: _____            Attention: _____            Facsimile: _____            E-mail: _____</p>
8.1	The Lead Member on behalf of the JV is _____ <i>[insert name of the member]</i>
9.1	<p>The Authorized Representatives are:</p> <p>For the Procuring Entity: Manager, System and Forensic Audit</p> <p>For the Consultant: To be determined after contract signing</p>
11.1	The effectiveness conditions are the following: N/A
12.1	<p>Termination of Contract for Failure to Become Effective:</p> <p>The time period shall be thirty days</p>
13.1	<p>Commencement of Services:</p> <p>The number of days shall be ten days</p> <p>Confirmation of Key Experts' availability to start the Assignment shall be submitted to the Procuring Entity in writing as a written statement signed by each Key Expert.</p>
14.1	<p>Expiration of Contract:</p> <p>The time period shall be 6months</p>
21.1.3.	The Procuring Entity reserves the right to determine on a case-by-case basis whether the Consultant should be disqualified from providing goods, works or non-consulting services due to a conflict of a nature described in Clause GCC 21.1.3: Yes

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
23.1	No additional provisions.
24.1	The insurance coverage against the risks shall be as follows: (a) Professional liability insurance, with a minimum coverage of _____ [insert amount and currency which should be not less than the total ceiling amount of the Contract];
27.1	The additional rights to the use of the documents are: Not Applicable
27.2	[The Consultant shall not use any information provided during contract implementation for purposes unrelated to this Contract without the prior written approval of the Procuring Entity.]
32.1 (a) through (f)	<i>Not Applicable.</i>
32.1(g)	<i>Not Applicable for this Clause SCC 32.1(g).</i>
38.1	The Contract price is Ksh. Lump sum inclusive of local taxes.  Any local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall be reimbursed by the Procuring Entity to the Consultant.  The amount of such taxes is _____ [insert the amount as finalized at the Contract's negotiations on the basis of the tax amounts provided by the Consultant in Form FIN-2 of the Consultant's Financial Proposal.
39.1 and 39.2	The Procuring Entity warrants that the Procuring Entity shall reimburse the Consultant, the Sub-consultants and the Experts any taxes, duties, fees, levies and other impositions imposed, under the applicable law in the Procuring Entity's country, on the Consultant, the Sub-consultants and the Experts in respect of: (a) any payments whatsoever made to the Consultant, Sub-consultants and the Experts (other than nationals or permanent residents of Kenya), in connection with the carrying out of the Services; (b) any equipment, materials and supplies brought into Kenya by the Consultant or Sub-consultants for the purpose of carrying out the Services and which, after having been brought into such territories, will be subsequently withdrawn by them; (c) any equipment imported for the purpose of carrying out the Services and paid for out of funds provided by the Procuring Entity and which is treated as property of the Procuring Entity; (d) any property brought into Kenya by the Consultant, any Sub-consultants or the Experts (other than nationals or permanent residents of Kenya), or the eligible dependents of such experts for their personal use and which will subsequently be withdrawn by them upon their respective departure from the Procuring Entity's country, provided that: (i) the Consultant, Sub-consultants and experts shall follow the usual customs procedures of Kenya in importing property into Kenya; and (ii) if the Consultant, Sub-consultants or Experts do not withdraw but dispose of any

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
	property in the Procuring Entity's country upon which customs duties and taxes have been exempted, the Consultant, Sub-consultants or Experts, as the case may be, (a) shall bear such customs duties and taxes in conformity with the regulations of Kenya, or (b) shall reimburse them to the Procuring Entity if they were paid by the Procuring Entity at the time the property in question was brought into the Procuring Entity's country.
40.2	<p>The payment schedule:  Payment shall primarily be through REREC's cheque or Real Time Gross Settlement (RTGS) or telegraphic transfer. Where applicable, a copy of a valid Performance Security, stamped, certified as authentic by REREC, shall form part of the documents to be presented to REREC before any payment is made as follows;</p> <p>1<sup>st</sup> payment: Delivery of an inception report (20%)</p> <p>2<sup>nd</sup> payment: forty (40) percent of the lumpsum Contract Price shall be paid upon submission of an acceptable Draft Report for ICT Audit</p> <p>3<sup>rd</sup> payment: twenty (20) percent of the lumpsum Contract Price shall be paid upon submission of an acceptable and Delivery of Capacity Building</p> <p>4<sup>th</sup> and Final Payment: Twenty (20) percent of the lumpsum Contract Price shall be paid upon submission and approval of the Final Report &amp; project closure</p>
40.2.1	There will be no advance payment
40.2.4	<p>The accounts are:</p> <p>for foreign currency: <i>[insert account]</i>.</p> <p>for local currency: <i>[insert account]</i>.</p>
41.1	The interest rate is: Zero (0)
44.1	<p>The Procuring Entity and the Consultant shall make every effort to resolve amicably by direct negotiation any disagreement or dispute arising between them under or in connection with the Contract. If, after thirty (30) days, the parties have failed to resolve their dispute or difference by such mutual consultation, then either the Procuring Entity or the Consultant may give notice to the other party of its intention to commence arbitration, as hereinafter provided, as to the matter in dispute, and no arbitration in respect of this matter may be commenced unless such notice is given. Any dispute or difference in respect of which a notice of intention to commence arbitration has been given in accordance with this Clause shall be finally settled by arbitration. Arbitration may be commenced prior to or after delivery of the Goods under the Contract.</p> <p>Arbitration proceedings shall be conducted as follows:</p> <p>Any claim or dispute between the Parties arising out of or in connection with the Contract not settled amicably shall be finally be settled by arbitration.</p>

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
	<p>No arbitration proceedings shall be commenced on any claim or dispute where notice of a claim or dispute has not been given by the applying party within thirty days of the occurrence or discovery of the matter or issue giving rise to the dispute.</p> <p>Notwithstanding the issue of a notice as stated above, the arbitration of such a claim or dispute shall not commence unless an attempt has in the first instance been made by the parties to settle such claim or dispute amicably with or without the assistance of third parties. Proof of such attempt shall be required.</p> <p>The Arbitrator shall, without prejudice to the generality of his powers, have powers to direct such measurements, computations, or valuations as may in his opinion be desirable in order to determine the rights of the parties and assess and award any sums which ought to have been the subject of or included in any due payments.</p> <p>Neither Party shall be limited in the proceedings before the arbitrators to the evidence, or to the reasons for the dispute given in its notice of a claim or dispute.</p> <p>Arbitration may be commenced prior to or after delivery of the goods. The obligations of the Parties shall not be altered by reason of any arbitration being conducted during the progress of the delivery of goods.</p> <p>The terms of the remuneration of each or all the members of Arbitration shall be mutually agreed upon by the Parties when agreeing the terms of appointment. Each Party shall be responsible for paying one-half of this remuneration.</p> <p><b>Arbitration Proceedings</b></p> <p>Arbitration proceedings with national Consultants will be conducted in accordance with the Arbitration Laws of Kenya. In case of any claim or dispute, such claim or dispute shall be notified in writing by either party to the other with a request to submit it to arbitration and to concur in the appointment of an Arbitrator within thirty days of the notice. The dispute shall be referred to the arbitration and final decision of a person or persons to be agreed between the parties. Failing agreement to concur in the appointment of an Arbitrator, the Arbitrator shall be appointed, on the request of the applying party, by the Chairman or Vice Chairman of any of the following professional institutions;</p> <ul style="list-style-type: none"> <li>i) Kenya National Chamber of Commerce</li> <li>ii) Chartered Institute of Arbitrators (Kenya Branch)</li> <li>iii) The Law Society of Kenya</li> </ul> <p>The institution written to first by the aggrieved party shall take precedence over all other institutions.</p> <p><b>Alternative Arbitration Proceedings</b></p> <p>Alternatively, the Parties may refer the matter to the Nairobi Centre for International Arbitration (NCIA) which offers a neutral venue for the conduct of national and international arbitration with commitment to providing institutional</p>

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
	<p>support to the arbitral process.</p> <p><b><i>Arbitration with Foreign Consultants</i></b></p> <p>Arbitration with foreign Consultants shall be conducted in accordance with the arbitration rules of the United Nations Commission on International Trade Law (UNCITRAL); or with proceedings administered by the International Chamber of Commerce (ICC) and conducted under the ICC Rules of Arbitration; by one or more arbitrators appointed in accordance with said arbitration rules.</p> <p>The place of arbitration shall be a Nairobi; and the arbitration shall be conducted in the English.</p> <p><b><i>Alternative Arbitration Proceedings</i></b></p> <p>Alternatively, the Parties may refer the matter to the Nairobi Centre for International Arbitration (NCIA) which offers a neutral venue for the conduct of national and international arbitration with commitment to providing institutional support to the arbitral process.</p> <p>Failure to Comply with Arbitrator’s Decision</p> <p>The award of such Arbitrator shall be final and binding upon the parties.</p> <p>In the event that a Party fails to comply with a final and binding Arbitrator's decision, then the other Party may, without prejudice to any other rights it may have, refer the matter to a competent court of law.</p> <p><b><i>Contract operations continue</i></b></p> <p>Notwithstanding any reference to arbitration herein,</p> <p>a) the parties shall continue to perform their respective obligations under the Contract unless they otherwise agree; and</p> <p>b) the Procuring Entity shall pay the Consultant any monies due the Consultant.</p>
	<p><b><u>Miscellaneous.</u></b> In any arbitration proceeding hereunder:</p> <p>(a) proceedings shall, unless otherwise agreed by the Parties, be held in <i>Nairobi-Kenya</i></p> <p>(b) English language shall be the official language for all purposes; and</p> <p>(c) the decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding and shall be enforceable in any court of competent jurisdiction, and the Parties hereby waive any objections to or claims of immunity in respect of such enforcement.</p>



## **SECTION 9: APPENDICES**

### **Appendix A – Terms of Reference**

*[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; Procuring Entity's input, including counterpart personnel assigned by the Procuring Entity to work on the Consultant's team; specific tasks 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 in the Consultant's Proposal. Highlight the changes to Section 5 of the RFP]*

*If the Services consist of or include the supervision of civil works, the following action that require prior approval of the Procuring Entity shall be added to the Reporting Requirements” section of the TORs: Taking any action under a civil works contract designating the Consultant as Engineer”, for which action, pursuant to such civil works contract, the written approval of the Procuring Entity is required.*

### **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.]*

*[Specify Hours of Work for Key Experts: List here the hours of work for Key Experts; travel time to/from Kenya; entitlement, if any, to leave pay; public holidays in Kenya that may affect Consultant's work; etc. Make sure there is consistency with Form TECH-6. In particular: one month equals twenty-two (22) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.]*

### **Appendix C – Remuneration Cost Estimates**

#### **3. Monthly rates for the Experts:**

*[Insert the table with the remuneration rates. The table shall be based on [Form FIN-3] of the Consultant's Proposal and reflect any changes agreed at the Contract negotiations, if any. The footnote shall list such changes made to [Form FIN-3] at the negotiations or state that none has been made.]*

#### **4. [When the Consultant has been selected under Quality-Based Selection method, or the Procuring Entity has requested the Consultant to clarify the breakdown of very high remuneration rates at the Contract's negotiations also add the following:**

*“The agreed remuneration rates shall be stated in the attached Form: Breakdown of Agreed Fixed Rates in Consultant's Contract. This form shall be prepared on the basis of Appendix A to Form FIN-3 of the RFP “Consultants' Representations regarding Costs and Charges” submitted by the Consultant to the Procuring Entity prior to the Contract's negotiations.*

*Should these representations be found by the Procuring Entity (either through inspections or audits pursuant to Clause GCC 25.2 or through other means) to be materially in complete or in accurate, the Procuring Entity shall be entitled to introduce appropriate modifications in the remuneration rates affected by such materially in complete or inaccurate representations. Any such modification shall have retroactive effect and, in case remuneration has already been paid by the Procuring Entity before any such modification, (i) the Procuring Entity shall be titled to offset any excess payment against the next monthly payment to the Consultants, or (ii) if there*

*are no further payments to be made by the Procuring Entity to the Consultants, the Consultants shall reimburse to the Procuring Entity any excess payment within thirty (30) days of receipt of a written claim of the Procuring Entity. Any such claim by the Procuring Entity for reimbursement must be made within twelve (12) calendar months after receipt by the Procuring Entity of a final report and a final statement approved by the Procuring Entity in accordance with Clause GCC45. 1(d) of this Contract.”*

**BREAKDOWN OF AGREED FIXED RATES IN CONSULTANT'S CONTRACT**

We hereby confirm that we have agreed to pay to the Experts listed, who will be involved in performing the Services, the basic fees and away from the home office allowances (if applicable) indicated below:

(Expressed in [insert name of currency]) \*

Experts		1	2	3	4	5	6	7	8
Name	Position	Basic Remuneration rate per Working Month/Day/Year	Social Charges <sup>1</sup>	Overhead <sup>1</sup>	Subtotal	Profit <sup>2</sup>	Away from Home Office Allowance	Agreed Rate per Working Month/Day/Hour	Fixed Rate per Working Month/Day/Hour <sup>1</sup>
<i>Home Office</i>									
<i>Work in Kenya</i>									

Expressed as percentage of 1

1 Expressed as percentage of 4

\* If more than one currency, add a table

Signature \_\_\_\_\_ Date \_\_\_\_\_ Name and Title: \_\_\_\_\_

## **APPENDIX D: REIMBURSABLE EXPENSES COST ESTIMATES**

3. {Insert the table with the Reimbursable Expenses rates. The table shall be based on [Form FIN-4] of the Consultant's Proposal and reflect any changes agreed at the Contract negotiations, if any. The foot note shall list such changes made to [FormFIN-4] at the negotiations or state that none has been made.]
4. All reimbursable expenses shall be reimbursed at actual cost, unless otherwise explicitly provided in this Appendix, and in no event shall reimbursement be made in excess of the Contract amount.

## 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\_\_\_\_, 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.

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<sup>1</sup>The Guarantor shall insert an amount representing the amount of the advance payment and denominated either in the currency (ies) of the advance payment as Specified in the Contract, or in a freely convertible currency acceptable to the Procuring Entity.

<sup>2</sup>Insert the expected expiration dates. In the event of an extension of the time for completion of the Contract, the Procuring Entity would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the procuring Entity might consider adding the following text to the form, at the end of the penultimate paragraph: "The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months] [one year], in response to the Procuring Entity's written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee."

## 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 RF 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:	[insert name of successful Consultant]
Address:	[insert address of the successful Consultant]
Contract price:	[insert contract price of the successful Consultant]

#### i) Short listed Consultants

[INSTRUCTIONS: insert names of all short-listed Consultants and indicate which Consultants submitted Proposals. Where the selection method requires it, state the price offered by each Consultant as readout, and as evaluated. Include overall technical scores and scores assigned for each criterion and sub-criterion.]

	Submitted Proposal	Overall technical score	Financial Proposal Price	Evaluated Financial Proposal Price (If applicable)	Combined Score and ranking (if applicable)
[insert name]	[yes/no]	Criterion (i): [insert score] Criterion (ii): [insert score] Criterion (iii): [insert score] <u>Sub-criterion a:</u> 1: [insert score] 2: [insert score] 3: [insert score] <u>Sub-criterion b:</u> 1: [insert score] 2: [insert score] 3: [insert score] <u>Sub-criterion c:</u> .....etc. Criterion (iv): [insert score] Criterion (v): [insert score] Total score: [insert score]	[Proposal price]	[evaluated price]	<u>Combined Score:</u> [combined score] <u>Ranking:</u> [ranking]
[insert name]	[yes/no]	Criterion (i): [insert score] Criterion (ii): [insert score] Criterion (iii): [insert score] <u>Sub-criterion a:</u>	[Proposal price]	[evaluated price]	<u>Combined Score:</u> [combined score]

		1: [insert score] 2: [insert score] 3: [insert score] <u>Sub-criterion b:</u> 1: [insert score] 2: [insert score] 3: [insert score] <u>Sub-criterion c:</u> .....etc. Criterion (iv): [insert score] Criterion (v): [insert score] Total score: [insert score]			<u>Ranking:</u> [ranking]
[insert name]	[yes/no]	Criterion (i): [insert score] Criterion (ii): [insert score] Criterion (iii): [insert score] <u>Sub-criterion a:</u> 1: [insert score] 2: [insert score] 3: [insert score] <u>Sub-criterion b:</u> 1: [insert score] 2: [insert score] 3: [insert score] <u>Sub-criterion c:</u> .....etc. Criterion (iv): [insert score] Criterion (v): [insert score] Total score: [insert score]	[Proposal price]	[evaluated price]	<u>Combined Score:</u> [combined score] <u>Ranking:</u> [ranking]
[insert name]	....	....	....	....	....

(ii) **Reason/s why your Proposal was unsuccessful** [Delete if the combined score already reveals the reason].

[INSTRUCTIONS; State the reason/s why this Consultant's Proposal was unsuccessful. Do NOT include: (a) a point by point comparison with another Consultant's Proposal or (b) information that is marked confidential by the Consultant in its Proposal.]

iii) **How to request a debriefing** [This applies only if your proposal was unsuccessful as stated under point (3) above].

DEADLINE: The deadline to request a debriefing expires at midnight on [insert date] (local time). You may request a debriefing in relation to the results of the evaluation of your Proposal. If you decide to request a debriefing your written request must be made within five (5) Business Days of receipt of this Notification of Intention to Award.

Provide the contract name, reference number, name of the Consultant, contact details; and address the request for debriefing as follows:

Attention: [insert full name of person, if applicable]

Title/position: [insert title/position]

Agency: [insert name of Procuring Entity]

Email address: [insert email address]

Fax number: [insert fax number] delete if not used

If your request for a debriefing is received within the 5 Business Days deadline, we will provide the debriefing within five (5) Business Days of receipt of your request. If we are unable to provide the debriefing within this period, the Standstill Period shall be extended by five (5) Business Days after the



date that the debriefing is provided. If this happens, we will notify you and confirm the date that the extended Standstill Period will end.

The debriefing may be in writing, by phone, video conference call or in person. We shall promptly advise you in writing how the debriefing will take place and confirm the date and time.

If the deadline to request a debriefing has expired, you may still request a debriefing. In this case, we will provide the debriefing as soon as practicable, and normally no later than fourteen (14) Business Days from the date of publication of the Contract Award Notice.

**(iv) How to Make a Complaint**

DEADLINE: The deadline for submitting a Procurement-related Complaint challenging the decision to award the contract expires on midnight, [insert date] (local time).

Provide the contract name, reference number, name of the Consultant, contact details; and address the Procurement-related Complaint as follows:

Attention: [insert full name of person, if applicable]

Title/position: [insert title/position]

Agency: [insert name of Procuring Entity]

Email address: [insert email address]

Fax number: [insert fax number] delete if not used

[At this point in the procurement process] [Upon receipt of this notification] you may submit a Procurement-related Complaint challenging the decision to award the contract. You do not need to have requested, or received, a debriefing before making this complaint. Your complaint must be submitted within the Standstill Period and received by us before the Standstill Period ends.

In summary, there are four essential requirements:

You must be an ‘interested party’. In this case, that means a Consultant who has submitted a Proposal in this selection process and is the recipient of a Notification of Intention to Award.

The complaint can only challenge the decision to award the contract.

You must submit the complaint within the deadline stated above.

You must include, in your complaint, all of the information required by the Procuring Entity.

**(v) Standstill Period**

DEADLINE: The Standstill Period is due to end at midnight on [insert date] (local time).

The Standstill Period lasts ---- (specify the number of business days as per Data Sheet 30.1) Business Days as specified in the Data Sheet after the date of transmission of this Notification of Intention to Award.

The Standstill Period may be extended. This may happen where we are unable to provide a debriefing within the five (5) Business Day deadline. If this happens, we will notify you of the extension.

If you have any questions regarding this Notification, please do not hesitate to contact us.

On behalf of \_\_\_\_\_ [insert the name of the

Procuring Entity]:

Signature: \_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

Title/position: \_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_

\_\_\_\_\_ Email: \_\_\_\_\_

**2 REQUEST FOR REVIEW**

**FORM FOR REVIEW(r.203(1))**

**PUBLIC PROCUREMENT ADMINISTRATIVE REVIEW BOARD**

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

**BETWEEN**

.....**APPLICANT**

**AND**

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

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

**REQUEST FOR REVIEW**

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

- 1.
- 2.

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

- 1.
- 2.

SIGNED .....(Applicant) Dated on.....day of ...../...20.....

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FOR OFFICIAL USE ONLY Lodged with the Secretary Public Procurement Administrative Review Board on.....day of .....20.....

**SIGNED**

**Board Secretary**

### 3. LETTER 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

### 4. BENEFICIAL OWNERSHIP DISCLOSURE FORM

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

*This Beneficial Ownership Disclosure Form ("Form") is to be completed by the successful Consultant. In case of joint venture, the Consultant 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 Consultant is any natural person who ultimately owns or controls the Consultant by meeting one or more of the following conditions:*

- *Directly or indirectly holding 25% or more of the shares.*
- *Directly or in directly 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.*

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]

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

**Details of beneficial ownership**

Identity of Beneficial Owner	Directly or indirectly holding 25% or more of the shares (Yes / No)	Directly or indirectly holding 25 % or more of the Voting Rights (Yes / No)	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)
[include full name (last, middle, first), nationality, country of residence]			

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]

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*\*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.*