

**REQUEST FOR PROPOSALS NO: E8-AUDIT-002-2020**

**RFP TITLE: PROVISION OF AUDIT SERVICES TO THE SADC MALARIA ELIMINATION EIGHT SECRETARIAT**

**SECTION 1: INSTRUCTIONS TO BIDDERS**

**Definitions**

**“Bidder”**  refers to any legal entity that may submit, or has submitted, a Proposal for the provision of services requested by the E8Secretariat through this RFP.

**“Contract”** refers to the agreement that will be signed by and between the E8 Secretariat and the successful Bidder, all the attached documents thereto, including any the Appendices.

**“Day”** refers to calendar day.

**“Instructions to Bidders**” (Section I of the RFP) refers to the complete set of documents that provides Bidders with all information needed and procedures to be followed in the course of preparing their Proposals

**“Material Deviation”** refers to any contents or characteristics of the proposal that is significantly different

from an essential aspect or requirement of the RFP, and: (i) substantially alters the scope and quality of the requirements; (ii) limits the rights of E8 Secretariat and/or the obligations of the offeror; and (iii) adversely impacts the fairness and principles of the procurement process, such as those that compromise the competitive position of other offerors.

**“Proposal”** refers to the Bidder’s response to the Request for Proposal, including the Proposal Submission Form, Technical and Financial Proposal and all other documentation attached thereto as required by the RFP.

**“RFP”** refers to the Request for Proposals consisting of instructions and references prepared by the E8 Secretariat for purposes of selecting the best service provider to perform the services described in the Terms of Reference.

**“Services”** refers to the entire scope of tasks and deliverables requested by E8 Secretariat under the RFP.

**“Supplemental Information to the RFP”**  refers to a written communication issued by E8 Secretariat to prospective Bidders containing clarifications, responses to queries received from prospective Bidders, or changes to be made in the RFP, at any time after the release of the RFP but before the deadline for the submission of Proposals.

**“Terms of Reference” (TOR)**  refers to the document included in this RFP as Section 2 which describes the objectives, scope of services, activities, tasks to be performed, respective responsibilities of the Bidder, expected results and deliverables and other data pertinent to the performance of the range of duties and services expected of the successful Bidder.

**A. GENERAL**

1. The E8 Secretariat hereby solicits Proposals in response to this Request for Proposal (RFP). Bidders must strictly adhere to all the requirements of this RFP. No changes, substitutions or other alterations to the rules and provisions stipulated in this RFP may be made or assumed unless it is instructed or approved in writing by the E8 Secretariat in the form of Modifications or Supplemental Information to the RFP.

2. Submission of a Proposal shall be deemed as an acknowledgement by the Bidder that all obligations stipulated by this RFP will be met and, unless specified otherwise, the Bidder has read, understood and agreed to all the instructions in this RFP.

3. Any Proposal submitted will be regarded as an offer by the Bidder and does not constitute or imply the acceptance of any Proposal by the E8 Secretariat. TheE8 Secretariat is under no obligation to award a contract to any Bidder as a result of this RFP.

4. In responding to this RFP, the E8 Secretariat requires all Bidders to conduct themselves in a professional, objective and impartial manner, and they must at all times hold the E8 Secretariat’s interests paramount. Bidders must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. All Bidders found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Bidders, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this solicitation process, if they:

4.1 Are or have been associated in the past, with a firm or any of its affiliates which have been engaged the E8 Secretariat to provide services for the preparation of the design, specifications, Terms of Reference, cost analysis/estimation, and other documents to be used for the procurement of the goods and services in this selection process;

4.2 Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or

4.3 Are found to be in conflict for any other reason, as may be established by, or at the discretion of, the E8 Secretariat.

In the event of any uncertainty in the interpretation of what is potentially a conflict of interest, Bidders must disclose the condition to the E8 Secretariat and seek the E8 Secretariat’s confirmation on whether or not such conflict exists.

5. Similarly, the Bidders must disclose in their proposal their knowledge of the following:

5.1 That they are owners, part-owners, officers, directors, controlling shareholders, or they have key personnel who are family of the E8 Secretariat staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this RFP; and

5.2 All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.

Failure of such disclosure may result in the rejection of the proposal or proposals affected by the non-disclosure.

6. Proposals submitted by two (2) or more Bidders shall all be rejected if they are found to have any of the following:

a) they have at least one controlling partner, director or shareholder in common; or

b) any one of them receive or have received any direct or indirect subsidy from the other/s; or

c) they have the same legal representative for purposes of this RFP; or

d) they have a relationship with each other, directly or through common third parties, that puts them in a position to have access to information about, or influence on the Proposal of, another Bidder regarding this RFP process; or

e) they are subcontractors to each other’s Proposal, or a subcontractor to one Proposal also submits another Proposal under its name as lead Bidder; or

f) an expert proposed to be in the team of one Bidder participates in more than one Proposal received for this RFP process. This condition does not apply to subcontractors being included in more than one Proposal.

6. The Terms of Reference for the Services is detailed in Section 2

7. The E8 Secretariat will evaluate all proposals received in response to this Request for Proposals (RFP) in accordance with the Evaluation Criteria in Section 5.

8. The Cost Proposal Format for the Services is attached hereto as Section 7.

9. This RFP is in line with, and subject to:

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| The Global Fund’s **Procurement Regulations (2015, as amended from time to time)**, which may be found at <http://www.theglobalfund.org/en/business/> . The following are integral parts of this RFP:  a. The **Global Fund RFP Solicitation Rules (2015, as amended from time to time)**, which may be found at: <http://www.theglobalfund.org/en/business/> ;  b. The **Policy on Ethics and Conflict of Interest for Global Fund Institutions (2002, as amended from time to time)**, which may be found at: <http://www.theglobalfund.org/en/documents/governance/> ;  c. The **Code of Conduct for Suppliers (2009, as amended from time to time)**, which may be found at: <http://www.theglobalfund.org/en/documents/governance/> ;  d. The **Sanctions Panel Procedures Relating to the Code of Conduct for Suppliers (2014, as amended from time to time)**, which may be found at <http://www.theglobalfund.org/en/documents/governance> ; and  f. **The Terms and Conditions of Purchase of Services 15 September 2015, as amended from time to time)**, which will also be an integral part of any contract resulting from this solicitation, and which may be found at <http://www.theglobalfund.org/en/business/> . |

**B. CONTENTS OF PROPOSAL**

10. **Sections of Proposal**

Bidders are required to **complete, sign and submit** the following documents:

10.1 Proposal Submission Cover Letter Form (**Section 4**);

10.2 Documents Establishing the Eligibility and Qualifications of the Bidder (see **Section 5**);

10.3 Technical Proposal (see prescribed form in RFP **Section 6**);

10.4 Financial Proposal (see prescribed form in RFP **Section 7**); and

10.5 Any attachments and/or appendices to the Proposal.

11. **Clarification of Proposal**

11.1 Prospective service providers may request clarifications of any of the RFP documents no later than **25th September 2020** (**10.00 hours CAT**) prior to the proposal submission date. Any request for clarification must be sent through electronic means to the E8 Secretariat Contracts and Procurement Manager at [procurement@elimination8.org](mailto:procurement@elimination8.org) . The E8 Secretariat will respond in writing, transmitted by electronic means, to any request for clarification provided that such request is received no later than **25th September 2020** (**10.00 hours CAT**), and will forward copies of its response (including an explanation of the query but without identifying its source) to all Bidders who have provided confirmation of their intention to submit a Proposal.

11.2 The E8 Secretariat shall endeavor to provide such responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of the E8 Secretariat to extend the submission date of the Proposals, unless the E8 Secretariat deems that such an extension is justified and necessary.

12. **Amendment of Proposals**

12.1 At any time prior to the deadline of Proposal submission, the E8 Secretariat may modify the RFP by issuing an Addendum/Modification to the RFP. Any Addendum will be sent to the Bidders by email. Any Addendum/Modification to the RFP issued shall be part of the RFP and shall be communicated in writing to all prospective Bidders and through direct communication to prospective Bidders by email.

12.2 To give prospective Bidders reasonable time to take an Addendum into account in preparing their Proposals, the E8 Secretariat may, at its discretion, extend the deadline for submission of Proposals, if the nature of the amendment to the RFP justifies such an extension.

**C. PREPARATION AND SUBMISSION OF PROPOSALS**

13. **Cost of Proposal**

The Bidder shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. E8 SECRETARIAT shall in no case be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.

14. **Language**

14.1 The Proposal, as well as any and all related correspondence exchanged by the Bidder and the E8 Secretariat, shall be written in the English language). The supporting documents to prove the eligibility and qualifications criteria shall be issued in any SADC official languages (i.e.: English, French and Portuguese). If the original documents are written in language other than SADC Secretariat official languages, they shall be accompanied by an original certified translation into any of the SADC official languages. The cost of the translation shall be borne by the Bidders. In case of discrepancies between the original language and the language of translation, the language of the original shall prevail.

14.2 Upon conclusion of a contract, the language of the contract shall govern the relationship between the E8 Secretariat and the service provider.

15. **Proposal Submission Form**

15.1 The Bidder shall submit the Proposal Submission Form using the form provided in Section 4 of this RFP.

15.2 **Technical Proposal Format and Content**

The Bidder shall structure the Technical Proposal as follows:

15.2.1 Expertise of Company/Firm – this section should provide details regarding management structure of the organisation, organisational capability/resources, and experience of company/firm, the list of projects/contracts (both completed and on-going, both domestic and international) which are related or similar in nature to the requirements of the RFP, and proof of financial stability and adequacy of resources to complete the services required by the. The same shall apply to any other entity participating in the RFP as a Joint Venture or Consortium.

15.2.2 Proposed Methodology, Approach and Implementation Plan – this section should demonstrate the Bidder’s response to the Terms of Reference by identifying the specific components proposed, how the requirements shall be addressed, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; identifying the works/portions of the work that will be subcontracted; and demonstrating how the proposed methodology meets or exceeds the specifications, while ensuring appropriateness of the approach to the local conditions and the rest of the project operating environment. This methodology must be laid out in an implementation timetable that is within the following estimated periods:

a. Expected date for Contract signature– **1 November 2020**

b. Expected Commencement Date – **1 February 2021;**

c. Duration - The period of engagement will be for 2 years’ subject to annual confirmation of re-appointment by the E8 Secretariat Board and availability of continued funding of E8 Secretariat. A third year will be considered subject to funding. First financial year will be January 2020 to December 2020.ubject to annual confirmation of re-appointment by the E8 Secretariat Board.

15.2.3 Management Structure and Key Personnel – This section should include the comprehensive curriculum vitae (CVs) of key personnel that will be assigned to support the implementation of the proposed methodology, clearly defining the roles and responsibilities vis-à-vis the proposed methodology. CVs should establish competence and demonstrate qualifications in areas relevant to the TOR.

In complying with this section, the Bidder assures and confirms to the E8 Secretariat that the personnel being nominated are available for the Contract on the dates proposed. If any of the key personnel later becomes unavailable, except for unavoidable reasons such as death or medical incapacity, among other possibilities, the E8 Secretariat reserves the right to consider the proposal non-responsive. Any deliberate substitution arising from unavoidable reasons, including delay in the implementation of the project of programme through no fault of the Bidder shall be made only with the E8 Secretariat’s acceptance of the justification for substitution, and the E8 Secretariat’s approval of the qualification of the replacement who shall be either of equal or superior credentials as the one being replaced.

15.3. **Financial Proposals**

The Financial Proposal shall be prepared using the attached standard form (Section 7). It shall list all major cost components associated with the services, and the detailed breakdown of such costs. All outputs and activities described in the Technical Proposal must be priced separately on a one-to-one correspondence. Any output and activities 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, as well as in the final total price.

15.4 **Submission and Identification of Proposals**

15.4.1 Submissions must made electronically to [procurement@elimination8.org](mailto:procurement@elimination8.org) and must be free from virus and corrupted files, must be formatted in PDF files only and password protected. Password must not be provided to the E8 Secretariat until the date and time of Bid Opening as indicated in Clause 19.

Mandatory subject of email:

1. **RFP No. E8-AUDIT-002-2020 PROVISION OF AUDIT SERVICES TO E8 SECRETARIAT- TECHNICAL PROPOSAL**
2. **RFP No. E8-AUDIT-002-2020 PROVISION OF AUDIT SERVICES TO E8 SECRETARIAT- FINANCIAL PROPOSAL**

15.4.2 Bidders must be aware that the mere act of submission of a Proposal, in and of itself, implies that the Bidder accepts the General Contract Terms and Conditions of the E8 Secretariat as attached hereto as Section 8.

16. **Deadline for Submissions**

16.1 Bidders may submit their Proposals electronically in accordance with electronic application submission procedures specified in Clause15.4 no later than **5th October 2020, 10:00 hours CAT**. An acknowledgement of receipt will be given for all proposals submitted.

16.2 The E8 Secretariat may, at its own discretion, extend the deadline for the submission of proposals by modifying the RFP in accordance with Clause 12 of this RFP, in which case all rights and obligations of the E8 Secretariat and the Bidders subject to the previous deadline shall thereafter be subject to the deadline as extended.

17. **Late Submissions**

Any proposal received by the E8 Secretariat after the deadline for submission of proposals prescribed in Clause 16 of these Instructions will be automatically disqualified from the process.

18. **Withdrawal, Substitution, and Modification of Proposals**

18.1 Bidders are expected to have sole responsibility for taking steps to carefully examine in detail the full consistency of its Proposals to the requirements of the RFP, keeping in mind that material deficiencies in providing information requested by the E8 Secretariat, or lack clarity in the description of services to be provided, may result in the rejection of the Proposal. The Bidder shall assume the responsibility regarding erroneous interpretations or conclusions made by the Bidder in the course of understanding the RFP out of the set of information furnished by the E8 Secretariat.

18.2 A Bidder may withdraw, substitute or modify its Proposal after it has been submitted by sending a written notice duly signed by an authorised representative, and shall include a copy of the authorisation (or a Power of Attorney). The corresponding substitution or modification of the Proposal must accompany the respective written notice. All notices must be received by the E8 Secretariat prior to the deadline for submission and submitted electronically. The Subject Matter in the respective email shall be clearly marked “WITHDRAWAL,” “SUBSTITUTION,” or MODIFICATION”.

18.3 Proposals requested to be withdrawn shall be returned unopened to the Bidders.

18.4 No Proposal may be withdrawn, substituted, or modified in the interval between the deadline for submission of Proposals and the expiration of the period of proposal validity specified by the Bidder on the Proposal Submission Form or any extension thereof.

19. **Opening of Proposals**

19.1 Prior to the Proposal opening time, Bidders shall submit the password for the Technical Proposal.The Technical Proposal shall be opened on **5th October 2020** at **10.00 hours**.

19.2 TheE8 Secretariat shall prepare a record of the opening of Proposals that shall include, as a minimum, the name of the Bidder. A copy of the record shall be distributed to all Bidders.

20. **Currencies**

All prices shall be quoted in United States Dollars. However, where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:

a) the E8 Secretariat will convert the currency quoted in the Proposal into United States Dollars, in accordance with the Bloomberg[[1]](#footnote-1) operational rate of exchange on the last day of submission of Proposals; and

b) In the event that the Proposal found to be the most responsive to the RFP requirement is quoted in another currency different from the E8 Secretariat’s preferred currency of United States Dollars, then the E8 Secretariat shall reserve the right to award the contract in the currency of the E8 Secretariat’s preference, using the conversion method specified above.

21. **Documents Establishing the Eligibility and Qualifications of the Bidder**

21.1 The documentary evidence of the Bidder’s qualifications to perform the Contract if its Proposal is accepted shall establish to the E8 Secretariat’s satisfaction:

a) that, in case of a Bidder not doing business within Namibia, the Bidder is or will be (if awarded the contract) represented by an Agent in the country equipped and able to carry out the services support obligations prescribed in the conditions of Contract and/or any schedule of Requirements; and

b) that the Bidder meets each of the qualification criterion specified in Section 5, Evaluation and Qualification Criteria.

22. **Joint Venture, Consortium or Association**

22.1 If the Bidder is a group of legal entities that will form or have formed a joint venture, consortium or association at the time of the submission of the Proposal, they shall confirm in their Proposal that:

(i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the joint venture jointly and severally, and this shall be duly evidenced by a duly notarised agreement among the legal entities, which shall be submitted along with the Proposal; and

(ii) if they are awarded the contract, the contract shall be entered into, by and between the E8 Secretariat and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.

22.2 After the Proposal has been submitted to the E8 Secretariat, the lead entity identified to represent the joint venture shall not be altered without the prior written consent of the E8 Secretariat. Furthermore, neither the lead entity nor the member entities of the joint venture can:

a) Submit another proposal, either in its own capacity; nor

b) As a lead entity or a member entity for another joint venture submitting another Proposal.

22.3 The description of the organisation of the joint venture/consortium/association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the Joint Venture Agreement. All entities that comprise the joint venture shall be subject to the eligibility and qualification assessment by the E8 Secretariat.

Where a joint venture is presenting its track record and experience in a similar undertaking as those required in the RFP, it should present such information in the following manner:

a) Those that were undertaken together by the joint venture; and

b) Those that were undertaken by the individual entities of the joint venture expected to be involved in the performance of the services defined in the RFP.

22.4 Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the joint venture or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.

22.5 If a joint venture’s Proposal is determined by the E8 Secretariat as the most responsive Proposal that offers the best value for money, the E8 Secretariat shall award the contract to the joint venture, in the name of its designated lead entity. The lead entity shall sign the contract for and on behalf of all other member entities.

23. **Alternative Proposals**

Submission of Alternative Proposals or submission of Proposals for Parts or sub-parts of the RFP shall not be considered.

24. **Validity Period**

24.1 Proposals shall remain valid for a period of **Sixty** (6**0**) days commencing on the submission deadline date of **5th October 2020**. A Proposal valid for a shorter period shall be immediately rejected by the E8 Secretariat and rendered non-responsive. In exceptional circumstances, prior to the expiration of the proposal validity period, the E8 Secretariat may request Bidders to extend the period of validity of their Proposals. The request and the responses shall be made in writing and shall be considered integral to the Proposal.

25. **Confidentiality**

25.1 Information relating to the examination, evaluation, and comparison of Proposals, and the recommendation of contract award, shall not be disclosed to Bidders or any other persons not officially concerned with such process, even after publication of the contract award.

Any effort by a Bidder to influence the E8 Secretariat in the examination, evaluation and comparison of the Proposals or contract award decisions may, at the E8 Secretariat’s decision, result in the rejection of its Proposal.

25.2 In the event that a Bidder is unsuccessful, the Bidder may seek a meeting with the E8 Secretariat for a debriefing. The purpose of the debriefing is discussing the strengths and weaknesses of the Bidder’s submission, in order to assist the Bidder in improving the proposals presented to the E8 Secretariat. The content of other proposals and how they compare to the Bidder’s submission shall not be discussed.

**D. PROCEDURE FOR EVALUATION OF PROPOSALS**

26. **Clarification of Proposals**

26.1 To assist in the evaluation of applications, the E8 Secretariat may, at its discretion, ask any Bidder for a clarification of its application which shall be submitted within a stated reasonable period of time. Any request for clarification and all clarifications shall be in writing.

26.2 If a Bidder does not provide clarifications of the information requested by the date and time set in the E8 Secretariat’s request for clarification, its application may be rejected.

27. **Responsiveness of Proposals**

The E8 Secretariat may reject any application which is not responsive to the requirements of the prequalification document.

28. **Preliminary Examination of Proposals**

The E8 Secretariat shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, whether or not the Bidder is not included in World Bank’s Listings of Ineligible Firms and Individuals or World Bank’s Corporate Procurement Listing of Non-Responsible Vendors or in a “UN Ineligibility List” or declared as ineligible by other international donor organisations, and whether the Proposals are generally in order, among other indicators that may be used at this stage. The E8 Secretariat may reject any Proposal at this stage.

29. **Evaluation of Proposals**

29.1 The E8 Secretariat shall examine the Proposal to confirm that all terms and conditions under the E8 Secretariat Conditions of Contract have been accepted by the Bidder without any deviation or reservation.

29.2 The Evaluation team shall review and evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and other documentation provided, applying the evaluation criteria specified in this RFP. Each responsive Proposal will be given a technical score. A Proposal shall be rendered nonresponsive at this stage if it does not substantially respond to the RFP particularly the demands of the Terms of Reference, which also means that it fails to achieve the minimum technical score indicated in the Terms of Reference. The E8 Secretariat shall NOT make any changes in the criteria indicated in the Terms of Reference after all Proposals have been received.

29.3 In the second stage, only the Financial Proposals of those Bidders who achieve the minimum technical score will be opened for evaluation for comparison and review. The E8 Secretariat will not request the password for a Financial Proposal, where the Technical Proposal did not meet the minimum passing technical score. A technical/cost/past performance trade-off analysis will be performed by the E8 Secretariat in order to determine the Best Value to the E8 Secretariat.

30. **Nonconformities, Reparable Errors and Omissions**

Provided that a Proposal is substantially responsive, the E8 Secretariat may waive any

non-conformities or omissions in the Proposal that, in the opinion of the E8 Secretariat, do not constitute a material deviation. Provided that a Proposal is substantially responsive, E8 Secretariat may request the Bidder to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Bidder to comply with the request may result in the rejection of its Proposal.

Provided that the Proposal is substantially responsive, E8 Secretariat shall correct arithmetical errors as follows:

a) if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total shall be corrected, unless in the opinion of E8 Secretariat there is an obvious misplacement of the decimal point in the unit price, in which case the line item total as quoted shall govern and the unit price shall be corrected;

b) if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected; and

c) if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail subject to the above.

If the Bidder does not accept the correction of errors made by the E8 Secretariat, its Proposal shall be rejected.

**E. AWARD OF CONTRACT**

31. **Right to Accept, Reject, or Render Non-Responsive Any or All Proposals**

The E8 Secretariat reserves the right to accept or reject any Proposal, to render any or all of the Proposals as non-responsive, and to reject all Proposals at any time prior to award of contract, without incurring any liability, or obligation to inform the affected Bidder(s) of the grounds for the E8 Secretariat’s action. Furthermore, The E8 Secretariat shall not be obliged to award the contract to the lowest price offer.

The E8 Secretariat shall also verify, and immediately reject their respective Proposal, if the Bidders are found to appear in World Bank’s Listings of Ineligible Firms and Individuals or World Bank’s Corporate Procurement Listing of Non-Responsible Vendors or in a “UN Ineligibility List” or declared as ineligible by other international donor organisations.

32. **Award Criteria** **and Notification of Award**

Prior to expiration of the period of proposal validity, the E8 Secretariat shall award the contract to the qualified Bidder on a Best Value Determination by selecting the technically acceptable proposal with the lowest feasible cost or by using a trade -off process where the benefits of the technical approach or other elements of the proposal outweigh the benefits of selecting the technically acceptable proposal with lowest feasible cost.

The E8 Secretariat shall notify the successful Bidder, in writing, that its Proposal has been accepted.

33. **Contract Signature**

Within five (5) days from the date of receipt of the Contract, the successful Bidder shall sign and date the Contract and return it to the E8 Secretariat.

Failure of the successful Bidder to comply with this provision shall constitute sufficient grounds for the annulment of the award, on which event, the E8 Secretariat may award the Contract to the Bidder with the second highest rated Proposal or call for new Proposals.

**SECTION 2 Terms of Reference**

**RFP: E8-AUDIT-002-2020**

**AUDIT SERVICES FOR SADC MALARIA ELIMINATION EIGHT SECRETARIAT (E8 SECRETARIAT)**

1. **Background**

Building on considerable progress in malaria control in the 2000s, the Elimination 8 (E8) Regional Initiative was formed in 2009 by eight Ministers of Health in Southern Africa - Angola, Botswana, Eswatini, Mozambique, Namibia, South Africa, Zambia, and Zimbabwe – to plan, coordinate, and execute a regional malaria elimination strategy across the Southern Africa region. E8 Secretariat is a subsidiary agency of the Southern African Development Community (SADC), and serves as the socio-economic body’s malaria elimination coordinating entity. The E8 and its strategies are governed and guided by the overarching SADC Protocol on Health, ratified by all Heads of State or Government in 1999, which recognizes that close co-operation in health across Member States is essential to effectively control communicable diseases and catalyze economic prosperity in the region.

The E8 Initiative aims to end transmission in four low-transmission “frontline countries”— Botswana, Eswatini, Namibia, South Africa — by 2020, and to pave the way for elimination in four middle- to high-transmission “second line countries”— Angola, Mozambique , Zambia, and Zimbabwe — by 2030 through collaboration and coordination.

E8 Secretariat is a multi-donor funded orgnisation and is registed as Diplomatic Mission.

1. **Objectives of the Audit**
2. The main objective of the financial audit is for the auditor to: express and independent and professional opinion on whether the consolidated annual financial statement present fairly in all material respects the financial position, funds received and expenditures by E8 Secretariat (and sub-recipients) for the reporting period and in accordance with the applicable accounting framework;
3. evaluate, obtain sufficient understanding and comment on whether E8 Secretariat internal control framework is satisfactory and to report on the weaknesses identified.
4. **Audit Scope of Work**

The audit should be conducted in accordance with International Standards on Auditing (ISA) and will include such tests and controls as the auditor considers necessary under the circumstances.

As part of the audit testing procedures, particular attention should be paid to the following areas:

* Compliance with applicable legislation: Verify that the transactions comply in all material respects with any applicable legislation;
* System of internal controls: Assessment of the adequacy and effectiveness of the accounting and overall internal control system to monitor expenditures at all levels of the organisation and other financial transactions including special attention to the adequacy and effectiveness of controls around cash transactions.
* Follow up on the status of findings of previous audit reports: The auditor should follow up on management’s intended actions to address the findings of previous audits.
* Safeguarding of entity’s assets: Verify that E8 Secretariat has put in place mechanisms for the tracking and safeguarding of assets purchased with grant funds and that they are being used for the intended purposes.
* Data retention and supporting documentation: necessary supporting documents, records, and accounts have been retained in compliance with statutory guidelines.

The Global Fund (GF) component, which covers 80% of the total funding of the secretariat, will be audited by the GF appointed External Auditors. It is therefore recommended that the auditor selected to do the audit of the consolidated financial statement place reliance on the work done by the GF appointed auditors.

1. **Available documents and facilities**

E8 Secretariat shall provide the auditor with access to all books and records pertaining to the grant as requested by the auditor, including a list of all key Principal Recipient and Sub-Recipient locations, noting the key documents held at each location.

1. **Responsibility for the preparation of Annual Financial Statements**

The responsibility for the preparation of annual financial statement lies with E8 Secretariat.

1. **Annual Financial Statements**

The financial statements should include the following components:

* A statement of Comprehensive Income
* A statement of financial position
* A Cashflow statement
* A statement of changes in net assets
* Notes to the Annual Financial Statements

**Auditor’s Report and Management Letter**

In preparing the audit report, the selected audit firm will issue an audit opinion on the financial statements in accordance with ISA.

* In addition to the audit report, the auditors will prepare a management letter in which they shall.
* Comment on instances of non-compliance in the accounting records, procedures, systems, and controls that were examined during the course of the audit with particular reference to ineligible expenditures and systematic weaknesses.
* Provide recommendations to address the observed deficiencies and areas of weakness in systems and controls which may be implemented promptly.
* Communicate matters that have come to their attention during the audit which might have a significant impact on the implementation and sustainability of the secretariat.
* Report on the implementation status of recommendations contained in previous reports.
* Include responses made by the E8 in discussing audit recommendations.
* It must be clearly noted on the face of the Management Letter that it is a confidential document and must be treated as such.
* The Management Letter should state that the auditor acknowledges and agrees that the Management Letter shall be shared with donor (where required) on a confidential basis.

The selected auditor will report to the Oversight Committee of E8 Secretariat. The Oversight Committee will in turn report to the Board of Directors.

1. **Auditor’s Qualification**

The firm appointed as the auditor should:

* have an internationally recognized professional accounting qualification i.e. the person appointed should be either a certified public accountant, a chartered accountant or should be the holder of an equivalent professional accounting qualification.
* be a member in good standing of a body of accountants affiliated to the international Federation of Accountants (IFAC);
* have experience and knowledge of the Global Fund’s current financial management requirements or other international agencies.
* must be a registered firm. Independent or individual auditors will be disqualified.

1. **Duration of Engagement**

The period of engagement will be for 2 years’ subject to annual confirmation of re-appointment by the E8 Secretariat Board and availability of continued funding of E8 Secretariat. A third year will be considered subject to funding. First financial year will be January 2020 to December 2020.

**SECTION 3: PROPOSAL SUBMISSION FORMAT**

**(*On Company Letterhead*)**

REF: E8-Audit-002-2020-External

The Executive Director Date:

E8 Secretariat

10 Platinum Street, Erf 490 Prosperita

Windhoek, Namibia

Dear Sir

We, the undersigned, hereby offer to provide External Audit Services in accordance with your Request for Proposal dated …………. 2020 and our Proposal. We are hereby submitting our Proposal, which includes the Technical Proposal and Financial Proposal, in separate emails.

We hereby declare that:

1. All the information and statements made in this Proposal are true and we accept that any misrepresentation contained in it may lead to our disqualification;
2. We are currently not on the removed or suspended vendor list of Global Fund, United Nations agencies, or other such lists of other similar organisations, nor are we associated with, any company or individual appearing on the World Bank’s Listings of Ineligible Firm and Individuals or World Bank’s Corporate Procurement Listing of Non-Responsible Vendors or in a “UN Ineligibility List” or declared as ineligible by and Government or other international donor organisations;
3. We have no outstanding bankruptcy or pending litigation or any legal action that could impair our operation as a going concern; and
4. We do not employ, nor anticipate employing, any person who is or was recently employed by the E8 Secretariat.
5. We understand that any resulting contract will be a framework contract, with estimated quantities, and that you will not be bound to request any services, with the exception of any guaranteed minimum value;

We confirm that we have read, understood and hereby accept the Terms of Reference describing the duties and responsibilities required of us in this RFP, and the General Terms and Conditions of E8 Secretariat’s Framework Contract for Audit Services.

We agree to abide by this Proposal for sixty (60) days. We undertake, if our Proposal is accepted, to initiate the services not later than the date to be agreed upon by the parties.

We fully understand and recognise that the E8 Secretariat is not bound to accept this Proposal, that we shall bear all costs associated with its preparation and submission, and that the E8 Secretariat will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the evaluation.

Sincerely,

Authorised Signature

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name and Title of Signatory:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of Firm:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contact Details:

[Please mark this letter with your corporate seal/stamp, if available]

**SECTION 4: DOCUMENTS ESTABLISHING ELIGIBILITY AND QUALIFICATIONS OF THE BIDDER**

**Bidder Information Form**

Date of Proposal Submission……………………………………………….

RFP No. **E8-Audit-002-2020-External**

|  |  |  |
| --- | --- | --- |
| 1. Bidder’s Legal Name: | | |
| 2. In case of Joint Venture (JV), legal name of each party: | | |
| 3. Actual or intended Country of Registration/Operation: | | |
| 4. Year of Registration: | | |
| 5. Countries of Operation | 6. No. of staff in each Country | 7.Years of Operation in each Country |
| 8. Legal Address/es in Country of Registration/Operation: | | |
| 9. Value and Description of Top three (3) Biggest Contract for the past five (5) years: | | |
| 10. Latest Credit Rating (if any): | | |
| 11. Brief description of litigation history (disputes, arbitration, claims, etc.), indicating current status and outcomes, if already resolved: | | |
| 12. Bidder’s Authorized Representative Information  Name:  Address:  Telephone/Fax numbers:  Email Address: | | |
| 13. Are you in the in the World Bank’s Listings of Ineligible Firm and Individuals or World Bank’s Corporate Procurement Listing of Non-Responsible Vendors or in a “UN Ineligibility List” or declared as ineligible by any Government or other international donor organisations.? ☐ YES or ☐ NO | | |
| 14. Attached are certified copies of original documents of: [check the box(es) of the attached original documents]  ☐ All eligibility document requirements listed in section 2.8 of Terms of Reference.  ☐ Articles of Incorporation or Registration of firm.  ☐ In case of government owned entity, documents establishing legal and financial autonomy and compliance with commercial law. | | |

**SECTION 5: QUALIFICATION AND EVALUATION**

|  |  |  |  |
| --- | --- | --- | --- |
| **Subject** | **Requirement** | **Responsive or Non-responsive** | |
| YES | NO |
| **Mandatory requirements** | Submit company incorporation/registration certificate and valid Tax clearance certificate |  |  |
| The lead partner MUST have a valid practicing license and the firm must be licensed for public practice. |  |  |
| **Submission of the above is MANDATORY and any tender deemed non-responsive at this stage will not be considered further** | | | |

**TECHNICAL EVALUATION**

|  |  |
| --- | --- |
| **Requirement** | Available Points |
| **1. Technical Experience of the firm (Expertise and Experience)** | **45** |
| a. Extent of experience conducting single audits of any donor-funded organisation | 15 |
| b. Extent of experience auditing public entities. | 15 |
| c. Size of the firm, size of the firm’s public audit staff, the number of personnel in that office who will be working on this audit | 5 |
| d. References; Complaints filed against firm with any Professional Regulatory Body etc.; Litigation during the past 5 years. | 10 |
|  |  |
| **2. Approach and Implementation** | 30 |
| a. Approach to gaining and documenting an understanding of the auditee’s internal control structure. | 7 |
| b. Approach to drawing audit samples for purpose of testing of compliance. | 8 |
| c. Preliminary schedule for performing “key” phases of audit. | 15 |
|  |  |
| **3. Qualifications of staff, including consultants to be assigned to the audit.**  Education, including position in the firm, and years and types of experience will be considered. Determined from resumes submitted. | 25 |
| **TOTAL TECHNICAL PROPOSAL SCORE**  **(Only Proposals scoring 70 % and above will be considered for Cost Analysis)** | 100 |
|  |  |

**SECTION 6: TECHNICAL PROPOSAL FORMAT**

|  |
| --- |
| TECHNICAL PROPOSAL FORMAT  **RFP No. E8-Audit-002-2020-External**  PROVISION OF AUDIT SERVICES TO THE SOUTHERN AFRICA MALARIA ELIMINATION EIGHT INITIATIVE SECRETARIAT |

***Note: Technical Proposals not submitted in this format may be rejected. The financial proposal should be sent in a separate email.***

|  |  |
| --- | --- |
| **Name of Proposing Organisation / Firm:** |  |
| **Country of Registration:** |  |
| **Name of Contact Person for this Proposal:** |  |
| **Address:** |  |
| **Phone / Fax:** |  |
| **Email:** |  |

|  |
| --- |
| **1: EXPERTISE OF FIRM/ ORGANISATION** |
| *This section should fully explain the Bidder’s resources in terms of personnel and facilities necessary for the performance of this requirement. All contents of this section may be modified or expanded depending on the evaluation criteria stated in the RFP.*  1.1 Brief Description of Company: Provide a brief description of the company submitting the proposal, its legal mandates/authorised business activities, the year and country of incorporation, types of activities undertaken, and approximate annual budget, etc. Include reference to reputation, or any history of litigation and arbitration in which the organisation / firm has been involved that could adversely affect or impact the performance of services, indicating the status/result of such litigation/arbitration.  1.2. Financial Capacity: Provide the latest Audited Financial Statement (Income Statement and Balance Sheet) duly certified by a Public Accountant, and with authentication of receiving by the Government’s Internal Revenue Authority. Include any indication of credit rating, industry rating, etc.  1.3. Track Record and Experiences: Provide the following information regarding corporate experience within the last five (5) years which are related or relevant to those required for this Contract.   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | **Name of project** | **Client** | **Contract Value** | **Period of activity** | **Types of activities undertaken** | **Status or Date Completed** | **References Contact Details (Name, Phone, Email)** | |  |  |  |  |  |  |  | |  |  |  |  |  |  |  | |

|  |
| --- |
| **2- APPROACH AND IMPLEMENTATION PLAN** |
| This section should demonstrate the Bidder’s responsiveness to the TOR by identifying the specific components proposed, addressing the requirements, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; and demonstrating how the proposed methodology meets or exceeds the requirements.  2.1. Approach to the Service/Work Required: Please provide a detailed description of the methodology for how the organisation/firm will achieve the Terms of Reference of the project, keeping in mind the appropriateness to local conditions and project environment.  2.2. Technical Quality Assurance Review Mechanisms: The methodology shall also include details of the Bidder’s internal technical and quality assurance review mechanisms.  2.3 Implementation Timelines: The Bidder shall submit a Gantt Chart or Project Schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing.  2.4. Subcontracting: Explain whether any work would be subcontracted, to whom, how much percentage of the work, the rationale for such, and the roles of the proposed sub-contractors. Special attention should be given to providing a clear picture of the role of each entity and how everyone will function as a team.  2.5. Risks / Mitigation Measures: Please describe the potential risks for the implementation of this project that may impact achievement and timely completion of expected results as well as their quality. Describe measures that will be put in place to mitigate these risks.  2.6. Reporting and Monitoring: Please provide a brief description of the mechanisms proposed for this project for reporting to the E8S and partners, including a reporting schedule.  2.7. Anti-Corruption Strategy: Define the anti-corruption strategy that will be applied in this project to prevent the misuse of funds. Describe the financial controls that will be put in place.  2.8. Partnerships: Explain any partnerships with local, international or other organisations that are planned for the implementation of the project. Special attention should be given to providing a clear picture of the role of each entity and how everyone will function as a team. Letters of commitment from partners and an indication of whether some or all have successfully worked together on other previous projects is encouraged.  2.9 Statement of Full Disclosure: This is intended to disclose any potential conflict in accordance with the definition of “conflict” under this document, if any.  2.10 Other: Any other comments or information regarding the project approach and methodology that will be adopted. |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **3: PERSONNEL** 3.1 Management Structure: Describe the overall management approach toward planning and implementing this activity. Include an organisation chart for the management of the project describing the relationship of key positions and designations.  3.2 Staff Time Allocation: Provide a spreadsheet will be included to show the activities of each staff member and the time allocated for his/her involvement. (Note: *If a substitution of personnel is unavoidable it will be with a person who, in the opinion of the E8S project manager, is at least as experienced as the person being replaced. No increase in costs will be considered as a result of any substitution.)*  3.3 Qualifications of Key Personnel. Provide the CVs for key personnel (Team Leader, Managerial and general staff) that will be provided to support the implementation of this project. CVs should demonstrate qualifications in areas relevant to the Scope of Services. Please use the format below:   |  |  |  |  | | --- | --- | --- | --- | | **Name:** | |  | | | **Position for this Contract:** | |  | | | **Nationality:** | |  | | | **Contact information:** | |  | | | **Countries of Work Experience:** | |  | | | **Language Skills:** | |  | | | **Educational and other Qualifications:** | |  | | | **Summary of Experience:** *Highlight experience in the region and on similar projects.* | | | | | Relevant Experience (From most recent): | | | | | **Period: From – To** | **Name of activity/ Project/ funding organisation, if applicable:** | | **Job Title and Activities undertaken/Description of actual role performed:** | | *e.g. June 2014-January 2018* |  | |  | | *Etc.* |  | |  | | *Etc.* |  | |  | | **Referencesno.1 (minimum of 3):** | *Name*  *Designation*  *Organisation*  *Contact Information – Address; Phone; Email; etc.* | | | | **Reference no.2** | *Name*  *Designation*  *Organisation*  *Contact Information – Address; Phone; Email; etc.* | | | | **Reference no.3** | *Name*  *Designation*  *Organisation*  *Contact Information – Address; Phone; Email; etc.* | | | | **Declaration:**  I confirm my intention to serve in the stated position and present availability to serve for the term of the proposed contract. I also understand that any wilful misstatement described above may lead to my disqualification, before or during my engagement.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signature of the Nominated Team Leader/Member Date Signed | | | | |  | | | | |

**SECTION 7: FINANCIAL PROPOSAL FORMAT**

The financial proposal must be prepared as a separate PDF file from the rest of the RFP response as indicated in Clause 15.4of the Instruction to Bidders. The components comprising the total price must provide sufficient detail to allow E8 Secretariat to determine compliance of proposal with requirements as per TOR of this RFP. The Bidder shall include a complete breakdown of the cost elements associated with each line item for the duration of the contract. Provide separate figures for each functional grouping or category.

Estimates for cost-reimbursable items, if any, should be listed separately.

In addition, the Financial Proposal must include, but not necessarily be limited to, the following documents:

1. A summary of the Fees in words and figures

1. **Price breakdown:** The price must cover all the services to be provided and must itemise the following:

* An all-inclusive fee rate per working day for each expert to be assigned to the team. The fee rate must include remuneration of each expert, all administrative costs of employing the expert and the margin covering the Bidder’s overhead and backstopping facilities.
* Disbursements, if applicable.
* Summary of total cost for the services proposed.

1. **Schedule of payments:** Proposed schedule of payment might be expressed by the Bidder, and payment will be made by E8 Secretariat in the currency of the proposal. The payment schedule must be linked to the delivery of the outputs specified in your technical component.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Deliverables** | **Percentage of Total Price** | **Price**  **(Lump Sum, All Inclusive)** | **Delivery time/time period (if applicable)** |
| 1 | Deliverable 1 |  |  |  |
| 2 | Deliverable 2… |  |  |  |
|  | Total | 100% | USD …… |  |

1. **Cost Breakdown per Deliverables**
2. **Cost Breakdown by Resources**

The Bidders are requested to provide the cost breakdown for the above given prices for each deliverable based on the following format. E8 Secretariat shall use the cost breakdown in order to assess value for money as well as the calculation of price in the event that both parties agreed to add new deliverables to the scope of services. **The following Table is for illustration purposes only** and should be altered to represent the components of the actual deliverables.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description** | **Quantity** | **Number of Unit** | **Unit Cost (USD)** | **Total Cost (USD)** |
| Team Leader | 1 person | Days |  |  |
| Team Member | XX person | Days |  |  |
| Operational Costs/Disbursements |  |  |  |  |
| …………………. |  |  |  |  |
| TOTAL |  |  |  |  |

*[Note: This spreadsheet should be accompanied by a short narrative summary that explains the figures supplied and that adds any relevant information that has been used to make the calculations.]*

**Signature of Financial Proposal**

The Financial Proposal should be authorised and signed as follows:

Duly authorised to sign the Proposal for and on behalf of:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Name of Company)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature/Stamp of Entity/Date

Name of representative:

Address:

Telephone:

Email:

1. [www.bloomberg.com/markets/currencies](http://www.bloomberg.com/markets/currencies) [↑](#footnote-ref-1)