



EXPRESSION OF INTEREST (EOI)

TENDER No. IRA/129/2021-2022- EXPRESSION OF INTEREST FOR PROVISION OF CONSULTANCY SERVICES TO CARRY OUT AN INFORMATION SYSTEMS AUDIT

1. Background

The Insurance Regulatory Authority (IRA) is a State Corporation established under the Insurance Act, Cap 487 of the Laws of Kenya with the mandate to regulate, supervise and promote development of the insurance industry in Kenya. IRA has implemented various information systems in a bid to improve efficiency and effectiveness in execution of its mandate.

To ensure that the information systems are safeguarding assets, maintaining data integrity, and operating effectively and at their optimum so as to achieve the Authority's objectives, we wish to engage a reputable firm to undertake an Information Systems (IS) Audit

2. Objective

The objective of the consultancy is to carry out a comprehensive review and examination of the controls and internal checks built into the systems as a measure to enhance quality and assurance on adequacy, on appropriate internal checks and controls in the systems. This will involve evaluating the system's internal control design and effectiveness and an examination of the information systems', inputs, outputs, and processing. This includes, but is not limited to, efficiency and security protocols, implementation processes, and IT governance or oversight.

The auditor shall report on the conclusions reached from his review of the systems and recommend suitable measures for correcting any deficiencies which were identified during the review process.

3. Scope of services

The areas of review include but are not limited to: -

- a) Information Security: An audit of data centres, (that is, the physical security of data centres and the logical security of databases, servers and network infrastructure components), networks and application security.
- b) Systems and Applications: An audit to verify that systems and applications are appropriate, are efficient, and are adequately controlled to ensure valid, reliable, timely, and secure input, processing, and output at all levels of a system's activity.

- c) Information Processing Facilities: An audit to verify that the processing facility is controlled to ensure timely, accurate, and efficient processing of applications under normal and potentially disruptive conditions.
- d) Systems Implementation: An audit to verify that the systems are implemented in accordance with generally accepted standards for systems implementation.
- e) Management of IT and Enterprise Architecture: An audit to verify that IT management has developed an organizational structure and procedures to ensure a controlled and efficient environment for information processing.
- f) Client/Server, Telecommunications, Intranets, and Extranets: An audit to verify that telecommunications controls are in place on the client server, and on the network connecting the clients and servers.

The tasks to be performed include but are not limited to: -

- i. Evaluation of all the processes and activities, which are computerized under the systems using appropriate test data.
- ii. Evaluation of data origination controls - adequacy on controls in procedures relating to data preparation, document control, data authorization and data retention.
- iii. Review of the adequacy of systems and controls for data entry, segregation of roles and duties, data validation / editing procedures and data input error handling procedures.
- iv. Evaluation of the adequacy of controls in the data processing procedures to ensure that data-integrity is maintained.
- v. Evaluation of the adequacy of checks and controls built into the system to provide completeness and accuracy of the output reports.
- vi. Evaluation of the adequacy of the systems' data back up and determination of how fast each system can be restored in the event of an interruption.
- vii. Carrying out vulnerability assessments.

4. Eligibility criteria

The tender is targeted to the firms owned by Youth. However, it is also open to all other eligible bidders and margin of price preference will be awarded to the targeted group. The Expression of Interest must be accompanied by the consultants' qualifications, professional capabilities and documentary evidence of having successfully completed assignment/ project of similar nature. Interested firms should provide specific information which will be the basis for shortlisting and further invite to respond to comprehensive terms of reference as indicated below: -

a) Technical/Functional Skills and Requirements

- i) Qualifications of resource personnel e.g., university degree and professional qualifications in relevant fields such as computer science and business administration or equivalent.
- ii) A minimum of 5 years for the lead and 3 years for other team members, of relevant experience in specific fields such as information systems audit, information security management and IT infrastructure and database management.
- iii) Relevant expertise such as Network Expert with networking qualification such as CCNA and a Software expert with exposure to Database management, Operating Software and Operating Systems; and qualification in MCDBA or MCIT.
- iv) List of key staff relevant to the assignment and their profile; must be

composed of relevant staff with a mix of appropriate expertise. The proposed staff must be available during implementation of the project and in case of any unforeseen changes, it has to be discussed and agreed upon by both parties. IRA reserve the right to accept or reject the proposed assignee for replacement.

- v) Submit evidence of experience in undertaking similar assignments
- vi) The proposed firm must demonstrate experience in conducting the assignment.

5. Evaluation Criteria

The following evaluation criteria will be applied based on **Pass** or **Fail** in each applicable item: -

b) Mandatory requirements

1.	Mandatory Requirements	Provided Yes/No
a)	Submit a copy of certificate of incorporation/business registration.	
b)	Submit a valid tax compliance/Exemption certificate from Kenya Revenue Authority	
c)	Provide Company profile of the firm indicating the contact details including physical address, telephone number, email and contact person on behalf of the bidder	
d)	Confidential business questionnaire	
e)	Copy of CR 12 for Limited companies issued within the last one year	
f)	Copy of certificate of registration with relevant regulatory bodies where applicable	
g)	Self-declaration letter that the consultant is not debarred in the matters of Public Procurement and Asset Disposal Act, 2015	
i)	Self-declaration that the person or tenderer will not engage in any corruption or fraudulent practice	
j)	A valid Access to Government Procurement Opportunities (AGPO) Certificate from National Treasury where applicable	
	Qualified / Not Qualified	

6. Clarifications

IRA shall promptly respond to all request for any clarification relating to expression of interest where such request is received before the deadline for submission. Any request for clarification must be sent in writing by electronic mailed to:

**Manager, Procurement,
Insurance Regulatory Authority,
Zep-Re Place, Longonot Road, Upperhill,
P.O. Box 43505-00100
Nairobi, Kenya
Email: procurement@ira.go.ke**

7. Submission

Completed EOI proposal shall be submitted in ONE (1) “ORIGINAL hard copy and in CD/Flash Disk saved in PDF format clearly labelled your company name and placed in separate sealed envelopes. The two envelopes shall be placed in an outer envelope and sealed bear IRA address, EoI name and number and clearly marked “DO NOT OPEN before day, date and time of EOI closing/Opening date.

“IRA/129/2021-2022 EXPRESSION OF INTEREST FOR PROVISION OF CONSULTANCY SERVICES TO CARRY OUT AN INFORMATION SYSTEMS AUDIT”

The pre-qualification application must be delivered (by hand or registered mail) to:

Tender Box at Insurance Regulatory Authority Offices on 10th Floor, ZepRe Place, Longonot Road, Upperhill, Nairobi or be addressed to:

**Chief Executive Officer,
Insurance Regulatory Authority,
10th Floor Zep Re Place, Longonot Road, Upperhill,
P.O. Box 43505 – 00100 Nairobi, Kenya
Telephone: +254-20-4996000; 254-719-047000
Email: procurement@ira.go.ke; Website: <http://www.ira.go.ke>**

So as to be received on or before: **9th March, 2022 at 10:00 a.m.** The EOI shall be opened immediately on **9th March, 2022 at 10:00 a.m.** and in the presence of tenderers’ representatives who choose to attend strictly observing MOH protocols on Covid -19 Pandemic.

Only firms shortlisted under this procedure will be invited to submit their Technical and Financial proposals under the Request for Proposals (RFP).

CHIEF EXECUTIVE OFFICER/COMMISSIONER OF INSURANCE

TENDERER'S ELIGIBILITY-CONFIDENTIAL BUSINESS QUESTIONNAIRE

Instruction to Tenderer

Tenderer is instructed to complete the particulars required in this Form, *one form for each entity if Tender is a JV*. Tenderer is further reminded that it is an offence to give false information on this Form.

a) Tenderer's details

	ITEM	DESCRIPTION
1	Name of the Procuring Entity	
2	Reference Number of the Tender	
3	Date and Time of Tender Opening	
4	Name of the Tenderer	
5	Full Address and Contact Details of the Tenderer.	1. Country 2. City 3. Location 4. Building 5. Floor 6. Postal Address 7. Name and email of contact person.
6	Current Trade License Registration Number and Expiring date	
7	Name, country and full address (<i>postal and physical addresses, email, and telephone number</i>) of Registering Body/Agency	
8	Description of Nature of Business	
9	Maximum value of business which the Tenderer handles.	
10	State if Tenders Company is listed in stock exchange, give name and full address (<i>postal and physical addresses, email, and telephone number</i>) of state which stock exchange	

General and Specific Details

b) **Sole Proprietor**, provide the following details.

Name in full _____ Age _____
Nationality _____ Country of Origin _____
Citizenship _____

c) **Partnership**, provide the following details.

	Names of Partners	Nationality	Citizenship	% Shares owned
1				
2				
3				

d) **Registered Company**, provide the following details.

- (i) Private or public Company _____
(ii) State the nominal and issued capital of the Company

Nominal Kenya Shillings
(Equivalent).....

Issued Kenya Shillings
(Equivalent).....

- (iii) Give details of Directors as follows.

S/No	Names of Director	Nationality	Citizenship	% Shares owned
1				
2				
3				

e) **DISCLOSURE OF INTEREST - Interest of the Firm in the Procuring Entity.**

- i) are there any person/persons in.....(Name of Procuring Entity) who has/have an interest or relationship in this firm? Yes/ No.....

If yes, provide details as follows.

S/No	Names of Person	Designation in the Procuring Entity	Interest or Relationship with Tenderer
1			
2			
3			

ii) Conflict of interest disclosure

	Type of Conflict	Disclosure YES ORNO	If YES provide details of the relationship with Tenderer
1	Tenderer is directly or indirectly controls, is controlled by or is under common control with another tenderer.		
2	Tenderer receives or has received any direct or indirect subsidy from another tenderer.		
3	Tenderer has the same legal representative as another tenderer		
4	Tenderer has a relationship with another tenderer, directly or through common third parties, that puts it in a position to influence the tender of another tenderer, or influence the decisions of the Procuring Entity regarding this tendering process.		
5	Any of the Tenderer's affiliates participated as a consultant in the preparation of the design or technical specifications of the works that are the subject of the tender.		
6	Tenderer would be providing goods, works, non- consulting services or consulting services during implementation of the contract specified in this Tender Document.		
7	Tenderer has a close business or family relationship with a professional staff of the Procuring Entity who are directly or indirectly involved in the preparation of the Tender document or specifications of the Contract, and/or the Tender evaluation process of Such contract.		

8	Tenderer has a close business or family relationship with a professional staff of the Procuring Entity who would be involved in the implementation or supervision of the such Contract.		
9	Has the conflict stemming from such relationship stated in item 7 and 8 above been resolved in a manner acceptable to the Procuring Entity throughout the tendering process and execution of the Contract.		

f) Certification

On behalf of the Tenderer, I certify that the information given above is complete, current and accurate as at the date of submission.

Full Name _____ Title or Designation _____

(Signature) (Date)

FORMAT OF CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF

Proposed Position: _____

Name of Firm: _____

Name of Staff: _____

Profession: _____

Date of Birth: _____

Years with Firm: _____ Nationality: _____

Membership in Professional Societies: _____

Detailed Tasks Assigned: _____

Key Qualifications:

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

Education:

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

Employment Record:

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

Certification:

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

_____ Date: _____
[Signature of staff member]

_____ Date; _____
[Signature of authorized representative of the firm]

Full name of staff member: _____

Full name of authorized representative: _____

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 corruptive practice with other bidders participating in the subject tender
5. **THAT** what is deponed to hereinabove is true to the best of my knowledge information and belief.

Full name.....
Signature.....
Dated thisday of2022.

Suppliers' / Company's Official Rubber Stamp