Request for Quote/Proposal (RFQ/RFP)

Commodity/Service Required: Request for Application for Provision of Information Systems Audit services On the National Horticulture Traceability System (NHTS)

Type of Procurement: PURCHASE ORDER

Type of Contract: FIXED PRICE/DELIVERABLES BASED

Term of Contract: NOVEMBER 5 TO DECEMBER 30, 2018

Contract Funding: COOPERATIVE AGREEMENT AID-615-A-17-00006

This Procurement supports: KENYA FEED THE FUTURE CROPS AND DAIRY MARKET SYSTEMS ACTIVITY

Submit Proposal to: procurement@kcdmsd.rti.org

Date of Issue of RFP: 18 OCTOBER 2018

Date Questions from Supplier Due: 24 OCTOBER 2018 AT 1730 HOURS

Date Proposal Due: 30 OCTOBER 2018 AT 1730 HOURS

Approximate Date Purchase Order Issued to Successful Bidder(s): 1 NOVEMBER 2018

Method of Submittal:

EMAIL

Respond via e-mail with attached document in MS Word / pdf format.
The Bidder/Seller agrees to hold the prices in its offer firm for 90 days from the date specified for the receipt of offers, unless another time is specified in the addendum of the RFP/RFQ.

Solicitation Number: NHTS-ISA-HCD/KCDMS-2018

Attachments to RFP:

1. Attachment “A” – Commodity Specifications
2. Attachment “B” – Instructions to Bidders/Sellers
3. All PO Terms and Conditions are listed on our website at forth at: http://www.rti.org/P0terms, http://www.rti.org/files/PO_FAR_Clauses.pdf or for commercial items: http://www.rti.org/files/PO_FAR_Clauses_Commercial_Items.pdf (hereinafter the “Terms”). Supplier’s delivery of products, performance of services, or issuance of invoices in connection with this purchase order establishes Supplier’s agreement to the Terms. The Terms may only be modified in writing signed by both parties.

All bidders/sellers are responsible to carefully review each attachment and follow any instructions that may be relevant to this procurement.
Attachment A
Commodity Specifications or Statement of Work

Statement of Work

1.0 BACKGROUND

The Kenya Crops and Dairy Market System (KCDMS) Activity, is a component of the USAID funded Feed the Future project implemented by RTI International. The project is working in selected counties in Eastern and Western regions of Kenya to facilitate improved productivity and development of competitive, resilient and sustainable Dairy and Horticulture market systems. Key among the initiatives include improving access to inputs and services for smallholder dairy and horticulture farmers and promoting strategies that increase Dairy and Horticulture productivity businesses sourcing from smallholder farmers. The project is doing this by facilitating market driven partnerships that bring together all players to invest in higher productivity, quality improvements and greater supply chain efficiency. This includes facilitating development of systems that open up trade in domestic and international markets.

In 2013, the Horticulture Crops Directorate (HCD) entered into an agreement with the USAID funded Kenya Agriculture Value Chain Enterprises-USAID (KAVES) project to support the development of an online National Horticulture Traceability System (NHTS) whose objectives were to:

1. Develop a database of all farmers of horticultural export products in Kenya that is easily accessible by regulatory agencies, produce dealers, exporters and importers through upgrading the HCD Enterprise Resource Planning System\(^1\) to an online system.

2. Enhance systems for traceability of produce from farm to export points through registration of farmers using Geo-referencing.

3. Develop a platform where information on product traceability in the horticulture business is captured, maintained and accessed;

4. Build capacity of staff on traceability and implementation of geo-referencing tools

5. Restore Export market confidence in compliance with food safety requirements through promoting the system to the buyers

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\(^1\) HCD's Enterprise resource planning (ERP) manages the organization's business processes and enables HCD's use of several integrated applications including back office support to exporters.
The NHTS system, which has various functionalities and modules covering many geographical locations, was handed over to the HCD upon closure of the USAID-KAVES project. At the time of the closure of the project, the system was functioning well with the main features, namely the mobile app, web module and label printing, being responsive. The accessibility and management of the system both by HCD as the system administrator and exporters/importers as system users is however currently incapacitated and requires some further reviews and improvements to enhance its performance.

1.2 THE PURPOSE OF THE INFORMATION SYSTEM AUDIT

The purpose of the National Horticulture Traceability System (NHTS) Audit is to: Establish the existing status of the NHTS technology infrastructure, application, associated internal control framework by assessing computerized information system’s functionalities, efficiency and security through:

- risk assessment,
- internal control evaluation,
- integration capabilities, and
- detailed testing of associated data

1.3 OBJECTIVES OF THE AUDIT

HCD and KCDMS are facilitating the information audit process to ensure control maximization and risk mitigation. The Information Systems Auditor will be expected to independently and objectively undertake the following while adopting a risk-based approach in the audit plan.

i. Give a clear indication of the system’s technical robustness and pinpoint the specific components that need further development before full system testing and rollout of both the web-based and mobile-based applications. This should also include an assessment of the existing web and mobile configuration and the synchronization between the two.

ii. Determine the requisite upgrades to enable the system’s onboarding of additional commodities

iii. Determine the potential for integration of the NHTS application with existing private traceability systems, including those of regulatory bodies such as such as KEPHIS’ ECS as well as the Pesticide Board’s system and KFC’s system and thereafter recommend additional features to enhance compatibility

iv. Determine the current status of the NHTS application’s data and system integrity

v. Assess the system’s backup, contingency planning, disaster recovery and security requirements including intrusion detection

vi. Assess the system’s capacity to handle high web and mobile traffic expected of a national online system that operates 24 hours a day.
vii. Undertake a software license review of the existing NHTS system
viii. Assess the existing system’s access management and segregation of duties. This should include evaluation of the processes put in place to classify data, and plans to protect the same based on data sensitivity e.g. private business/ client information
ix. Evaluate the reporting module of the system based on HCD’s and export companies’ needs/ requirement and its reliability in accurate and error-free reporting i.e. functional audit reports produced by the system and formulas used for different calculations are in line with industry best practices both locally and internationally
x. Assess the information system audit manual, if any, and its compliance thereupon.
xi. Perform gap analysis of the industry business requirements against current functions available on NHTS applications.

1.4 SKILLS AND EXPERIENCE REQUIRED

KCDMS and HCD seek services of a competent local company with proven track record in IT system audits of reputable organizations/firms in Kenya and beyond and at least five years of work experience in IT system audits with understanding of in horticulture value chains, Agriculture certification and traceability systems

1.5 METHODOLOGY

The methodology should outline how each of the activities under 1.3 will be completed.

1.6 DELIVERABLES

The following are the key deliverables for the Information Systems Audit;

1. Detailed study inception report; The inception report is expected to detail the audit design, agreed methodology, work plan schedule, analysis plan and travel arrangements (if any).
2. Complete information audit and present draft report findings for comments and question to HCD and KCDMS: This assumes completion of the following tasks:
   • System audit, analysis and compilation of a comprehensive Audit report.
   • Presentation of preliminary findings to the HCD and KCDMS teams.
3. Prepare and submit final Audit report and the data in soft and hard copy. Final report will include a power point presentation with key findings and recommendations, and Annexes: list of meetings and interviews, questionnaires used, and any other relevant documents.
4. Present the audit findings in a stakeholder validation workshop.

1.7 APPLICATION REQUIREMENTS

The technical and financial proposal should include:
• Cover letter (maximum one page): A short letter addressing the Information System Audit competence and capability to deliver on the assignment
• A capability statement: State the firm /individual’s experience relevant to the assignment, curriculum vitae of key personnel and details of at least 3 similar assignments including a brief of the work, contract value, contact persons and their contact details as well as project duration and year performed.
• Written commitment regarding availability for the assignment.
• Technical proposal (maximum eight pages) highlighting understanding of the RFA, proposed approach and methodology, an outline of the proposed final report as well as the proposed work plan
• Financial proposal using the attached **KCDMS RFP Budget Template**: The financial proposal should provide cost estimates for services rendered including daily consultancy fees, travel, accommodation and living costs; stationeries, and supplies needed for the audit. The consultant should provide own means of transport and computers.

### 1.8 PRICING

This will be a Fixed Amount Award with payment based on deliverables.

- 30% of the total amount will be paid upon submission and approval of the inception report and methodology
- 30% of the total amount will be paid upon submission of the draft report
- 40% of the total amount will be paid upon submission and approval of the final report

Please note that the contents of the report will be analyzed, and final payment will only be made upon approval of the final Information System Audit Report by the KCDMSD and HCD Team.

### 1.9 SCHEDULE

This activity is targeted to commence on November 5\(^{th}\), 2018 and concludes December 30\(^{th}\), 2018. The successful bidder is required to provide a detailed work plan for this activity as part of the inception report. The table below presents indicative timelines.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Estimated Deadline</th>
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<tr>
<td>Detailed Information System Audit inception report</td>
<td>November 9(^{th}), 2018</td>
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<tr>
<td>Complete system Audit and present draft of findings for comment and questions</td>
<td>November 23(^{rd}), 2018</td>
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<tr>
<td>Stakeholder validation workshop</td>
<td>November 30(^{th}), 2018</td>
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<tr>
<td>Final Information Audit report</td>
<td>December 30(^{th}), 2018</td>
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Proposals shall be submitted electronically by email only to procurement@kcdmsd.rti.org with Information Systems Audit Services on the National Horticulture Traceability System (NHTS) subject line reference NHTS-ISA-HCD/KCDMS-2018. Bidders may submit written questions to procurement@kcdmsd.rti.org up until October 24, 2018.

KCDMS will accept proposals until October 30th, 2018 at 5:30 pm local time. Offerors are responsible for ensuring that their offers are received in accordance with the instructions stated herein. Late offers will not be considered.

By signing this attachment, the bidder confirms he has a complete understanding of the specifications and fully intends to deliver items that comply with the above listed specifications.

| Signature:     |
|               |
| Title:        |
| Date:         |
Attachment “B”
Instructions to Bidders/Sellers

1. **Procurement Narrative Description:** The Buyer (RTI) intends to purchase commodities and/or services identified in Attachment A. The Buyer intends to purchase the quantities (for commodities) and/or services (based on deliverables identified in a Statement of Work). The term of the Ordering Agreement shall be from Award Date to the Delivery date of the Offeror unless extended by mutual agreement of the parties. The Buyer intends to award to a single “approved’ supplier based on conformance to the listed specifications, the ability to service this contract, and selling price. We reserve the right to award to more than one bidder. If an Ordering Agreement is established as a result of this RFQ/RFP, supplier understands that quantities indicated in the specifications (Attachment A) are an estimate only and RTI does not guarantee the purchase quantity of any item listed.

2. **Procuring Activity:** This procurement will be made by **Research Triangle Institute (RTI International)**, located at

   Westwood, 8th Floor
   Off Ring Road Parklands
   Vale Close
   NAIROBI

   *(insert full address of the office)*

   who has a purchase requirement in support of a project funded by **USAID**

   *(insert client’s name)*

   RTI shall award the initial quantities and/or services and any option quantities (if exercised by RTI) to Seller by a properly executed Purchase Order as set forth within the terms of this properly executed agreement.

3. **Proposal Requirements.** All Sellers will submit a quote/proposal which contains offers for all items and options included in this RFQ/RFP. All information presented in the Sellers quote/proposal will be considered during RTI’s evaluation. Failure to submit the information required in this RFQ/RFP may result in Seller’s offer being deemed non-responsive. Sellers are responsible for submitting offers, and any modifications, revisions, or withdrawals, so as to reach RTI’s office designated in the RFQ/RFP by the time and date specified in the RFQ/RFP. Any offer, modification, revision, or withdrawal of an offer received at the RTI office designated in the RFQ/RFP after the exact time specified for receipt of offers is “late” and may not be considered at the discretion of the RTI Procurement Officer. The Seller’s proposal shall include the following:

   (a) The solicitation number:

   (b) The date and time submitted:

   (c) The name, address, and telephone number of the seller (bidder) and authorized signature of same:

   (d) Validity period of Quote:
(e) A technical description of the items being offered in sufficient detail to evaluate compliance with the requirements in the solicitation. This may include product literature, or other documents, if necessary.

(f) If RTI informs Seller that the Commodity is intended for export and the Commodity is not classified for export under Export Classification Control Number (ECCN) “EAR99” of the U.S. Department of Commerce Export Administration Regulations (EAR), then Seller must provide RTI the correct ECCN and the name of Seller’s representative responsible for Trade Compliance who can confirm the export classification.

(g) Lead Time Availability of the Commodity/Service.

(h) Terms of warranty describing what and how the warranties will be serviced.

(i) Special pricing instructions: Price and any discount terms or special requirements or terms (special note: pricing must include guaranteed firm fixed prices for items requested).

(j) Payment address or instructions (if different from mailing address)

(k) Acknowledgment of solicitation amendments (if any)

(l) Past performance information, when included as an evaluation factor, to include recent and relevant contracts for the same or similar items and other references (including points of contact with telephone numbers, and other relevant information)

(m) Special Note: The Seller, by his response to this RFQ/RFP and accompanying signatures, confirms that the terms and conditions associated with this RFQ/RFP document have been agreed to and all of its attachments have been carefully read and understood and all related questions answered.

4. Forms: Sellers (potential bidders or suppliers) must record their pricing utilizing the format found on Attachment “A”. Sellers must sign the single hardcopy submitted and send to address listed on the cover page of this RFQ/RFP.

5. Questions Concerning the Procurement. All questions regarding this RFQ/RFP to be directed to

Priscilla

(insert name of procurement officer)

at this email address:

procurement@kcdmsd.org

(insert email address of the procurement officer).

The cut-off date for questions is (insert date).

October 24, 2018

6. Notifications and Deliveries: Time is of the essence for this procurement. Seller shall deliver
the items or services no later than the dates set forth in the contract that will be agreed by both parties as a result of this RFQ/RFP. The Seller shall immediately contact the Buyer’s Procurement Officer if the specifications, availability, or the delivery schedule(s) changes. Exceptional delays will result in financial penalties being imposed of Seller.

7. **Documentation:** The following documents will be required for payment for each item:
   (a) A detailed invoice listing Purchase Order Number, Bank information with wiring instructions (when applicable)
   (b) Packing List
   (c) All relevant product/service documentation (manuals, warranty doc, certificate of analysis, etc.)

8. **Payment Terms:** Refer to RTI purchase order terms and conditions found in [www.rti.org/poterm](http://www.rti.org/poterm), [http://www.rti.org/POterms](http://www.rti.org/POterms), [http://www.rti.org/files/PO_FAR_Clauses.pdf](http://www.rti.org/files/PO_FAR_Clauses.pdf), or [http://www.rti.org/files/PO_FAR_Clauses_Commercial_Items.pdf](http://www.rti.org/files/PO_FAR_Clauses_Commercial_Items.pdf). Payment can be made via wire transfer or other acceptable form. Sellers may propose alternative payment terms and they will be considered in the evaluation process.

9. **Alternative Proposals:** Sellers are permitted to offer “alternatives” should they not be able to meet the listed requirements. Any alternative proposals shall still satisfy the minimum requirements set forth in Attachment A Specifications.

10. **Inspection Process:** Each item shall be inspected prior to final acceptance of the item. All significant discrepancies, shortages, and/or faults must be satisfactorily corrected and satisfactorily documented prior to delivery and release of payment.

11. **Evaluation and Award Process:** The RTI Procurement Officer will award an agreement contract resulting from this solicitation to the responsible Seller (bidder) whose offer conforms to the RFQ/RFP will be most advantageous to RTI, price and other factors considered. The award will be made to the Seller representing the **best value** to the project and to RTI. For the purpose of this RFQ/RFP, price, delivery, technical and past performance are of equal importance for the purposes of evaluating, and selecting the “best value” awardee. RTI intends to evaluate offers and award an Agreement without discussions with Sellers. Therefore, the Seller’s initial offer should contain the Seller’s best terms from a price and technical standpoint. However, RTI reserves the right to conduct discussions if later determined by the RTI Procurement Officer to be necessary.

The evaluation factors will be comprised of the following criteria:
   (a) **PRICE.** Lowest evaluated ceiling price (inclusive of option quantities).
   (b) **DELIVERY.** Seller provides the most advantageous delivery schedule.
   (c) **TECHNICAL.** Items/Services shall satisfy or exceed the specifications described in RFQ/RFP Attachment A.
   (d) **PAST PERFORMANCE.** Seller can demonstrate his/her capability and resources to provide the items/services requested in this solicitation in a timely and responsive manner.
   (e) **OTHER EVALUATION CRITERIA.**

COMPLETION AND SUBMISSION OF THE BUDGET TEMPLATE ATTACHED.
12. **Award Notice.** A written notice of award or acceptance of an offer, mailed or otherwise furnished to the successful supplier within the time acceptance specified in the offer, shall result in a binding contract without further action by either party.

13. **Validity of Offer.** This RFP in no way obligates RTI to make an award, nor does it commit RTI to pay any costs incurred by the Seller in the preparation and submission of a proposal or amendments to a proposal. Your proposal shall be considered valid for 90 days after submission.

14. **Representations and Certifications.** Winning suppliers under a US Federal Contract are required to complete and sign as part of your offer RTI Representations and Certifications for values over $10,000.

15. **Anti-Kick Back Act of 1986.** Anti-Kickback Act of 1986 as referenced in FAR 52.203-7 is hereby incorporated into this Request for Proposal as a condition of acceptance. If you have reasonable grounds to believe that a violation, as described in Paragraph (b) of FAR 52.203-7 may have occurred, you should report this suspected violation to the RTI's Ethics Hotline at 1-877-212-7220 or by sending an e-mail to ethics@rti.org. You may report a suspected violation anonymously.

**Acceptance:**

Seller agrees, as evidenced by signature below, that the seller’s completed and signed solicitation, seller’s proposal including all required submissions and the negotiated terms contained herein, constitute the entire agreement for the services described herein.

By: *(Seller Company Name)*

Signature: __________________________________________________________

Title: 

Date: 