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Tender No. **ICRAF/ICT/02/2019**

Preparation of System and Organisation Controls (SOC) Reports

Planned Timetable	
Issue Tender	30 th July 2019
Questions from Supplier due date	9 th August 2019
Deadline for submission	23 rd August 2019
Evaluation of Tender documents	26 th - 30 th August 2019
Award of Contracts	6 th September 2019

I. Introduction

About the organization

The Operations Support Unit (OSU) is a shared service unit providing services to 9 research institutes and the System Office of the CGIAR System Organisation. The OSU is hosted by the World Agroforestry Centre, which is an independent research institution that generates science-based knowledge about the complex role trees play in agricultural landscapes and rural livelihoods. The Centre's work to bring tree-based solutions to bear on poverty and environmental problems is undertaken by researchers – working in close collaboration with partners – developing new technologies, tools and policy recommendations for increased food security and ecosystem health.

The World Agroforestry Centre is headquartered in Nairobi, Kenya, and the 9 other entities serviced by the OSU are headquartered in Asia, Africa, Europe and Latin America. These institutes conduct research globally and receive financial support from over 100 different funders.

Purpose of the Bid

The purpose of this bid is to secure competitive proposals to select an audit company to prepare System and Organisation Controls (SOC) Reports for the Operations Support Unit. All eligible Auditors that qualify and are technically competent for the provision of the service are invited to submit their proposals.

The winning bidder(s) will enter into a one-year renewable fixed price contract. Prospective tenderers must have complied with all the tender requirements and shall not be under a declaration of ineligibility for corrupt or fraudulent practices.

SECTION 1 - INVITATION TO TENDER

1. Provision of System and Organisation Controls (SOC) Reporting

ICRAF invites electronic tenders to be submitted by email from eligible candidates for the Provision of System and Organisation Controls (SOC) Reporting.

The selected audit company will provide all the necessary resources required for the performance of the contract.

- 1.1. Prices quoted should be inclusive of all costs and must be expressed in US Dollars.
- 1.2. Submission and Marking of Bids: - Tenderers shall submit electronic bids addressed to the Procurement Manager, the World Agroforestry Centre (ICRAF) on the following email address SOCTender@cgiar.org by **23th August 2019 not later than 5.00 p.m.** (GMT+3). Bids submitted after the deadline will not be accepted.

SECTION 2 - INSTRUCTIONS TO TENDERER

2. Detailed instructions on the tender process

2.1. Cost of tendering

- 2.1.1. The Tenderer shall bear all costs associated with the preparation and submission of its tender, and ICRAF, will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the tendering process.

2.2. Contents of tender documents

- 2.2.1. The Tenderer is expected to examine all instructions, forms, terms, and specifications in the tender documents. Failure to furnish all information required by the tender or to submit a tender not substantially responsive to the tender documents in every respect will be at the tenderers risk and may result in the rejection of its tender.

2.3. Clarification of Documents

- 2.3.1. A prospective candidate making inquiries of the tender document may notify ICRAF in writing or by post, fax or email at the entity's address indicated in the Invitation for tenders. The request for clarification must reach ICRAF not later than **9th August 2019**. ICRAF will respond by providing the feedback / clarification through <http://www.worldagroforestry.org/tenders>, by the **16th August 2019**. The response (including an explanation of the query but without identifying the source of inquiry) will be communicated to all prospective Tenderers through the web portal provided.

2.4. Amendment of documents

- 2.4.1. At any time prior to the deadline for submission of tenders, ICRAF, for any reason, whether at its own initiative or in response to a clarification requested by a prospective tenderer, may modify the tender documents by issuing an addendum.
- 2.4.2. All prospective tenderers will be notified of the amendment through our web portal and such amendment will be binding on them.

- 2.4.3. In order to allow prospective tenderers reasonable time in which to take the amendment into account in preparing their tenders, ICRAF, at its discretion, may extend the deadline for the submission of tenders.

2.5. Form of Tender

- 2.5.1. The tenderers shall complete the Form of Tender (see Appendixes) and the appropriate Price Schedule furnished in the tender documents.

2.6. Tender Prices

- 2.6.1. The tenderer shall indicate on the Price schedule the unit prices where applicable and total tender prices of the services it proposes to provide under the contract.
- 2.6.2. Where contract price variation is allowed, the variation shall not exceed 10% of the original contract price.
- 2.6.3. Price variation requests shall be processed by ICRAF within 30 days of receiving the request.

2.7. Tender Currencies

- 2.7.1. All rates and amounts entered in the tender documents and price schedule and used in any document correspondence or operations pertaining to this tender shall be expressed in KSH (Kenya Shillings).

2.8. Taxes

- 2.8.1. ICRAF is duty and VAT exempt. All the invoices supplied to ICRAF will be less the applicable VAT. ICRAF will issue the supplier with a VAT exemption certificate against each invoice.

2.9. Tenderers Eligibility and Qualifications.

- 2.9.1. The documentary evidence of the tenderers qualifications and experience to perform the contract if its tender is accepted shall establish to ICRAF's satisfaction that the tenderer has the financial and technical capability necessary to perform the contract.

2.10. Format and Signing of Tender

- 2.10.1. The tenderer shall prepare and submit one copy of the tender.
- 2.10.2. The tender document shall be typed or written in indelible ink and shall be signed by the tenderer or a person or persons duly authorized to bind the tenderer to the contract. All pages of the tender, except for un-amended printed literature, shall be initialled by the person or persons signing the tender.
- 2.10.3. The tender shall have no interlineations, erasures, or overwriting except as necessary to correct errors made by the tenderer, in which case such corrections shall be initialled by the person or persons signing the tender.

2.11. Deadline for Submission of Tenders

- 2.11.1. Tenders must be received by ICRAF no later than Friday 23rd August 2019 at 5.00 pm (GMT +3).
- 2.11.2. ICRAF may, at its discretion, extend this deadline for the submission of tenders by amending the tender documents, in which case all rights and obligations of

the procuring entity and candidates previously subject to the deadline will thereafter be subject to the deadline as extended.

2.12.Modification and withdrawal of tenders

- 2.12.1. The tenderer may modify or withdraw its tender after the tender’s submission, provided that written notice of the modification, including substitution or withdrawal of the tender’s is received by ICRAF prior to the deadline prescribed for the submission of tenders.
- 2.12.2. No tender may be modified after the deadline for submission of tenders.
- 2.12.3. No tender may be withdrawn in the interval between the deadline for submission of tenders and the expiration of the period of tender validity specified by the tenderer on the Tender Form.
- 2.12.4. ICRAF may at any time terminate procurement proceedings before contract award and shall not be liable to any person for the termination.
- 2.12.5. ICRAF shall give prompt notice of the termination to the tenderers and will not give reasons for termination.

2.13.Clarification of tenders

- 2.13.1. To assist in the examination, evaluation and comparison of tenders the procuring entity may at its discretion, ask the tenderer for a clarification of its tender. The request for clarification and the response shall be in writing, and no change in the prices or substance shall be sought, offered, or permitted.

2.14. Evaluation and Comparison of Bids

- 2.14.1. Tenders that meet all the criteria set above will be deemed to be substantially responsive and will be considered for the evaluation process with the following criteria.

Description	Weight (%)
Company Profile	Mandatory
Technical Proposal	50%
Financial proposal	50%
Total Score	100%

Refer to Section 6 for more details.

2.15.Award Criteria

- 2.15.1. ICRAF will award the contract to the successful tenderer whose tender has been determined to be substantially responsive and has been determined to be the best value evaluated tender, provided further that the tenderer is determined to be qualified to perform the contract satisfactorily.
- 2.15.2. ICRAF reserves the right to accept or reject any tender and to annul the tendering process and reject all tenders at any time prior to contract award, without thereby incurring any liability to the affected tenderer or tenderers or any obligation to inform the affected tenderer or tenderers of the grounds for the procuring entity’s action. If the procuring entity determines that none of the

tenderers is responsive; the procuring entity shall notify each tenderer who submitted a tender.

- 2.15.3. A tenderer who gives false information in the tender document about its qualification or who refuses to enter into a contract after notification of contract award shall be considered for debarment by ICRAF from participating in future procurement.

SECTION 3: DESCRIPTION OF SERVICES PROVIDED BY THE OPERATIONS SUPPORT UNIT (OSU)

3. An overview of the OSU and the services they provide

The OSU is a shared service unit that provides services to organisations within the CGIAR System Organisation. The OSU is hosted by ICRAF, one of the research centres in the CGIAR System Organisation and is governed by the OCS Steering Committee. Currently the OSU has 10 clients that comprise of 9 research institutes and the System Office of the CGIAR System Organisation. The OSU provides a managed hosting service for the clients' Enterprise Resource and Planning (ERP) systems that all use the Unit4 Business World (UBW) product. The internal project name for the implementation and operation of the ERP product is the One Corporate System (OCS) and the service environment is known as the OCS environment.

In addition, OSU provides 2nd level support for the OCS application for issues escalated by the clients. If necessary, OSU will escalate an issue to Unit4 customer support or to contracted Unit4 partner consultants to resolve the issue.

Finally, OSU facilitates the sharing of knowledge and expertise related to the OCS initiative among the clients.

3.1. A description of the services and environment OSU provides to its clients

Each client has a separate live production system implemented in one of two data centres hosted in the Amazon Web Services (AWS) cloud. Each production system uses 3 AWS EC2 instances (servers), a web server (that provides web client access and interfaces to the application), a business server (where the UBW application is installed) and a database server (MS SQL). AWS S3 storage is attached to the business server and database server for the document archive and for the backups of the database and log files.

The two AWS data centres are located in Singapore and Frankfurt. Each data centre also hosts shared infrastructure that provides:

- the UBW desktop client access to the OCS system and required accessory applications through a Citrix ADC gateway, Storefront and Xenapp environment and limited access via a Remote Desktop service environment;
- a shared non-production environment that is used to resolve issues, develop the system and for user acceptance testing and training. The shared infrastructure consists of a web server, business server and database server, where each client has separate UBW and database instances.

In addition, infrastructure is hosted in Singapore to provide a shared test environment used to test updates and upgrades to the operating system and applications. The infrastructure provided includes a web server, business server and database server, where each client has separate UBW and database instances.

3.2. Identity Management

Identify management and authentication to the OCS environment is managed through the CGIARAD active directory. In the Singapore data centre the OSU team an OCS active directory that has a trust relationship with the CGIARAD directory. The hosting and the root of the CGIARAD active directory is managed by a 3rd party. Each CGIAR Centre and OSU manage their container within the CGIARAD active directory. Only OSU staff have administrative access to the OCS environment.

3.3. Responsibilities

The OSU is responsible for the operation and controls of the hosted OCS environment. That includes:

- the provision and management of the cloud infrastructure including access permissions,
- the configuration and management of the server operating systems including updates, access permissions and log files,
- the installation of the required applications and updates or upgrades, including UBW,
- the configuration and management of the SQL databases including updates, access permissions, logs and database backups,
- the configuration and management of the Business World management console that manages the interface between the UBW application, the database and the operating system.

The OSU clients are responsible for the operation and controls within the UBW operating system, their active directory and local network and device management. That includes:

- configuration and operation of the UBW system, including user access, roles, processes and amendment logging,
- management of the OSU client's CGIAR Active directory container including AD users and security groups membership,
- internet connection from an OSU client user's location to the AWS data centres,
- management of devices used by OSU client users.

An exception is made for the CGIAR System Office, a small office of about 30 staff, where the OSU is also responsible for providing the following services remotely:

- system administration and local support of the UBW system,
- on request, configuration changes to the UBW system to implement improvements and new functionality.

SECTION 4: DESCRIPTION OF SERVICES TO BE PROVIDED

4. Description of the services to be provided by the Tenderer

The tenderer will carry out the activities required to prepare a Systems and Organisational Controls (SOC) 1 Type II report that falls under the Statement on Standards for Attestation Engagements (SSAE) 18. The completed report will cover the internal controls of the Operations Support Unit (OSU) that are relevant to an audit of the financial statements of the 10 OSU clients. The tender submission should clearly identify recommended control objectives for the controls that will be tested in the preparation of the report.

Before awarding the contract ICRAF will decide if the preparation of the SOC 2 Type II report will be included in the contract. If included, the Tenderer will also carry out the activities required to prepare a Systems and Organisational Controls (SOC) 2 Type II report. The report will address the internal controls of the OSU that are relevant to their operations and compliance as outlined by the AICPA's Trust Services Criteria (TSC). The submission should clearly identify controls that will be examined in the preparation of the report that meet the TSCs for Security, Availability, Processing integrity, confidentiality, and privacy.

The reports will cover both the internal controls of the services provided to all 10 clients using the shared infrastructure and applications and the internal controls of the services provided to each individual client in the live OCS environments. The services and OCS environments provided by OSU are described in section 3.

SECTION 5: SCHEDULE OF SERVICE.

5. Schedule of the services to be provided by the Tenderer

The expectation is that the SOC 1 Type II and SOC 2 Type II reports can be completed within a two-month period. The SOC 1 Type II report should be produced between the award of the contract and the end of December 2019. This will enable the OSU clients to present the completed report to their external auditors as part of preparation of their financial statements.

The submission should also include a schedule for completing the additional activities required to produce the SOC 2 Type II report.

A timeline that identifies the main activities that will be carried out in the preparation of the SOC reports and the expected start and completion date of each activity should be include in the submission.

SECTION 6: SCOPE OF SERVICES AND PRESENTATION OF PROPOSAL

6. Scope of Work and presentation of the company profile and technical proposal

6.1. Scope of work

The preparation of the SOC 1 Type II report must cover internal controls applicable to all clients of the OSU. The reports will be used by the clients as input into their audited annual financial statement. The SOC 2 Type II report must provide details on the controls related to compliance and operation for all clients of the OSU. The report will be used by the clients to

provide confidence to their senior management and governance boards that the appropriate controls are in place and implemented by OSU for the secure, reliable and confidential operation of the OCS.

6.2. Requirements of the presentation of the Company profile and Technical Proposal

All required documentation requested for the company profile must be provided. The technical proposal will be 50% of the total evaluation. The proposal must be submitted in electronic form as per the order below.

EVALUATION CRITERIA		DESCRIPTION	REQUIRED DOCUMENTATION
Company Profile		Refers to the tenderer's ability to demonstrate relevant experience and compliance with registration for business operations.	<ol style="list-style-type: none"> 1. Certificate of incorporation 2. List of Directors as per form provided in Annex 1 3. Business Licenses 4. Tax Compliance certificate 5. Respective Industry certification as stated in the conditions for tender
Technical Proposal	Scope of the work	Refers to Extent / Depth of understanding of the service as stated in the description of services and the scope of work. Ensure all services and areas of delivery are properly covered and addressed.	<ol style="list-style-type: none"> 1. Key services that will be provided as per the scope of work. 2. Scope mapping and respective service offering.
	Past experience	Refers to the Tenderer's ability to demonstrate relevant experience and technical knowledge of the goods and services required and	<ol style="list-style-type: none"> 1. List of 5 major clients in the last 3 years (Name, summary of services rendered value of contracts and duration of engagement

	experience working with similar organizations.	<ol style="list-style-type: none"> 2. List of at least 2 contact references of current clients you are serving. 3. List of at least 2 past clients that you have served. 4. List of awards won in the last 3 years
Management and administration of contract	A detailed description on how the services is going to be delivered. This should cover delivery approach, methodology work plan and quality of service provision.	1. Administration of the contract protocol, calls, emails, process flow charts of issue resolutions, monitoring performance and information flow with the client
		2. Methodology of delivery to ensure the contract is delivered in the most cost-effective manner.
		3. Proposed Service level catalogue and how the services will be managed and how performance levels will be monitored.
Systems, process, policies	Refers to the supporting systems / equipment's necessary to execute and deliver the service., Health and safety policies, HR policies on vetting of staff who will be working under the	<ol style="list-style-type: none"> 1. Applicable Operations service standards to ensure full compliance to the contract. 2. Process and system excellence practice within the organisation.

	contract, Insurance covers in place for the assignments and all supporting infrastructure. Consideration will be given to organisations with superior systems and process in place to delivery required services.	3. Supporting process policies and procedures for the contract.
Organisation & Staff capacity and management plan	Refers to the capacity of the organisation to handle the contract, this includes staff capacity based on experience of individuals who are assigned to the delivery of goods/service. Management structure, relevant certification of key staff, training programmes for staff and proof of ongoing refresher programmes will be accessed.	1. Proposed Management structure & Escalation matrix for the contract.
		2. CV for the staff supporting the contract. State the role they will play in the contract. 3. Relevant Certification of organisation and individuals

SECTION 7 - FINANCIAL PROPOSAL

7. Details of the requirements of the financial proposal

The financial proposal will form 50% of the evaluation criteria

7.1. Based on the description of services in section 4 and the scope of work in section 6, please submit the cost using the breakdown below for the purposes of quotation:

	Item	Totalcost USD excluding tax.
A	Cost of preparing a SOC 1 Type II report for the OSU	
B	Additional cost of preparing a SOC 2 Type II report for the OSU	
C	Any other costs that will be incurred	

DECLARATION BY THE VENDOR

It is hereby declared that I/We the undersigned, have read and examined all the terms and conditions etc. of the tender document for which I/We have signed and submitted the tender under proper lawful Power of Attorney.

It is also certified that all the terms and conditions of the tender document are fully acceptable to me/us and I/We will abide by the conditions from serial no. 1 to 18. This is also to certify that I/We/our principal manufacturing firm (if applicable) has no objection in signing the service contract if the opportunity for the supply of the services against this tender is given to me/us.

Date: Signature: _____

Address: Name: _____

Designation: _____

For and on behalf of: _____

(Company Seal/Stamp) _____

The technical and financial bids of the tenderers who have not accepted, signed and stamped all the terms & conditions of the bid, shall be disregarded.

Annex 1

Name of Organization	
Address	
Website	
Head of Organization	<i>Insert Name; Date of birth; Nationality and Passport/Identification Number</i>
Details of Contact if Different from above	<i>Insert Name telephone and email address of each</i>
Details of Board Members	<i>Insert Name, Nationality and Date of Birth of each</i>
Details of Senior Management	<i>Insert Name, Nationality and Date of Birth of each</i>
Details of Contact Person/PI	<i>Insert Name, Nationality and Date of Birth of each</i>
Legal Status of Organization (Company, Partnership, Association)	
Governing Document (attach copy)	
Date of Establishment	
Country of Registration	
Summary of Due Diligence Checks Carried Out, If Any	

Annex 2

1. [General Terms and Conditions](#)
2. [Supplier Code of Conduct \(Sign off\)](#)
3. [Disclosure and Certification form \(Fill and sign off\)](#)