Court of Accounts
REPUBLIC OF MOLDOVA

Court of Accounts of the Republic of Moldova

Request for Proposal (RFP)

Procurement and Implementation of Audit Management IT Solution together with Audit Methodology Assistance

RFP release date: DD MM YY

RFP Submission Deadline: TIME DD MM YY

Proposals Submission Deadline: TIME DD MM YY

Court of Accounts of the Republic of Moldova

69, Stefan cel Mare si Sfant Boulevard

Chisinau, Moldova

Contents

Opportunity Overview 3
1. Key points 4
1.1 State of affairs 4
1.2 Proposed timeline 4
1.3 Contact details 4
1.4 Proposal development and submission 4
1.5 RFP Process, Terms and Conditions 5
2. RFP Requirements 6
2.1 Audit Methodology Capabilities 6
2.2 Functional Requirements 6
2.3 Technical requirements 13
2.4 Security Requirements 13
2.5 Maintenance and Ongoing Support Requirements 14
2.6 E-training and Documentation Requirements 15
3. Evaluation Approach 16
3.1 Mandatory Criteria 16
4. General Terms and Conditions 17
4.1 Introduction 17
4.2 Confidentiality 17
4.3 Timescale 17
4.4 CCRM Contact Details 18
4.5 Proposal preparation 18
4.6 Submission of Proposals 18
4.7 Disclaimers 18
4.8 Collusive behavior 18
4.9 No inducement or incentive 19
4.10 Acceptance of the Contract 19
4.11 Queries relating to the Proposal 19
4.12 Amendments 19
4.13 Modification and withdrawal 19
4.14 Right to disqualify or reject 19
4.15 Right to cancel, clarify or vary the process 20
4.16 Notification of award 20
APPENDIX A – Please note that the file below is only for representation purposes and its contents are subject to consequent review 20

Court of Accounts
REPUBLIC OF MOLDOVA

Opportunity Overview

Who we are

Court of Accounts Republic of the Republic of Moldova (hereinafter “CCRM:) is the supreme audit institution of the Republic of Moldova, which exercises control over the way of training, administration and use of public financial resources and public patrimony by carrying out external public audit in accordance with the international standards of the supreme audit institutions. It is a legal entity governed by public law and financed entirely from the state budget.

What we need

CCRM is looking to select a Bidder for the Purchase and Implementation of a complete Audit Management Solution together with audit methodological assistance for the alignment with the requirements of International Standards on Auditing (ISAs). The details of the necessary IT specifications and of the implementation and post implementation requirements are envisaged along this document.

What are we looking for

CCRM is looking for credible providers who have the capability, experience and infrastructure to deliver a successful implementation of a solution that requires a minimum level of customization to fit our requirements and that can be configured accordingly with ISAs in force. As part of the implementation process, we require also assistance in transposing the updated international audit standards methodology into requirements to be implemented, taking into account the specificities of all audit activities of CCRM; assistance in defining the functional requirements that will form the basis of the software customization/ configuration and support the solution deployment. Consequently, to the solution deployment, it is a major requirement to have an audit methodology and transformation change training for a selected number of users.

Why work with us

It is a unique opportunity to work with a reputable Public Agency that provides the entire society and the international community with independent and objective Assurance issued in accordance with International Auditing Standards that public funds are managed properly, and that public finance management is consistent with the performance principles.

1. Key points

1.1 State of affairs

a) This Request for Proposal (RFP) is an invitation to suitably qualified suppliers to submit a Proposal for the procurement, implementation, functional specifications and audit methodology assistance contract for the IT solution in scope.
b) Joint venture service providers are also qualified.

c) The RFP is the first step in the procurement process and will be followed by proposals and interviews.

d) The RFP answers shall be included in the proposal by filling in the excel in Appendix A.

1.2 Proposed timeline

Please see below the proposed timeline:

Steps in RFP Process		**Date[1]:**
Deadline for Questions from suppliers:		DD MM YY*
Deadline for the Buyer to answer Bidder's questions		DD MM YY*
Deadline for Proposals:	**time**	**DD MM YY***
Shortlisted Respondents interviews	week starting	DD MM YY*
Unsuccessful Respondents notified of award of Contract:		DD MM YY*
Anticipated contact start date		DD MM YY *

*- in compliance with date provided by the www.achizitii.md

1.3 Contact details

All enquiries must be directed to our Point of Contact. We will manage all external communications through this Point of Contact.

Point of contact

Name: Tatiana Caraman

Role: Head of Planning and monitoring Division in a General Methodological Department

Email address: t_caraman@ccrm.md

1.4 Proposal development and submission

a. This is an open, competitive tender process. The RFP sets out the step-by-step process and conditions that apply.
b. Take time to read and understand the RFP. In particular:
   i. develop a strong understanding of our Requirements detailed in Section 2
   ii. in structuring your Proposal consider how it will be evaluated. Evaluation Section 3 describes our Evaluation Approach.
c. If anything is unclear or you have a question, ask us to explain. Please do so before the Deadline for Questions. Email our **Point of Contact** mentioned in Section 1.3.
d. In submitting your Proposal you must include the elements mentioned below:
   - Company Overview and Differentiators
   - Compelling reasons for choosing the Company
   - Proposed IT Solution, Description and Capabilities with emphasis on the responses of the requirements presented in the RFP
   - Scope and Services, including the following elements:
     - Customized IT Development to cover the RFP Requirements – if necessary

[1] All dates and times are dates and time in Moldova

- Functional requirements either for customization of for configuration
- Knowledge of ISAs and the ability to assist Methodology alignment
- Implementation and Project Management
- Test and Roll Out
- Training capabilities for audit methodology, IT solution and transformation change assistance

- Timeline, considering all the scope elements
- Proposed team and each team member capability to manage the assigned area
- Fees broken on individual stream (as per example below)

Cost Area		Number of users[2]	USD
Licensing OPT1			
Licensing OPT2			
Analysis of existing methodology and alignment to ISAs			
Transposition of international audit standards methodology into requirements			
Implementation			
	Audit methodology		
	IT Solution & Transformation change		
Maintenance cost per year			
Other costs (please detail)			
Total			

e. The proposal should be in Word or PowerPoint format, while the RFP requirements can be inserted as an excel object in the content of the proposal.

f. Proposals must be submitted using the Public Procurement system, namely Achizitii.md website.

g. Proposals sent by post or fax, or hard copy delivered to our office, will not be accepted.

1.5 RFP Process, Terms and Conditions

Offer Validity Period: In submitting a Proposal the Respondent agrees that their offer will remain open for acceptance by the Buyer for one calendar months from the Deadline for Proposals.

The RFP is subject to the RFP Process and to the General Terms and Conditions described in Section 4.

[2] Please fill in only where applicable

2. RFP Requirements

As part of our continuous objective to consolidate and enforce external public audit in the Republic of Moldova, we are looking to align our audit methodology with ISSAIs and to automate audit operating process through the successful implementation of a powerful Audit Management Solution. For helping us achieve our objective, we kindly ask you to answer and briefly describe how you can meet the requirements in the following sub sections, as per Appendix A.

2.1 Audit Methodology Capabilities

Audit Methodology	
REF.	REQUIREMENT
1.	Please describe your International Audit Standards (ISAs) knowledge and capabilities.
2.	Please state your experience with functional requirements over all, and specific experience with public institutions.
3.	Please detail your knowledge of the Moldovan market with focus on audit engagements.
4.	Please detail your overall knowledge of audit practices.
5.	Describe briefly how you will establish what updates need to be performed to our current methodology in order to achieve a successful alignment with ISAs in force. (eg. Gap Analysis.)
6.	The team providing the methodological services should include two team members that are already ACCA Members.
7.	Extensive experience in using Audit Management Software for not less than 5 years.
8.	Detail your project management experience with focus on IT implementation and functional specifications
9.	The methodology service provider should be licensed for practicing audit in Republic of Moldova for not less than 7 years.
10.	Identify any risks in the methodological alignment process, functional requirements creation and their inclusion as configuration or customization needs in the Solution to be implemented. Please briefly discuss the mitigation techniques.

2.2 Functional Requirements

Audit Planning and Risk Assessment	
REF.	REQUIREMENT
1	The system must have the ability to establish an Audit Universe that has an unlimited number of levels and can contain an unlimited number of auditable entities which may be defined/ labelled in a logical manner to record all auditable activity.
2	The system must have the ability to prepare an Annual Audit Plan with the ability to create any number of Audit Plans over any time horizon be it the next 12 months, quarter or next 3 years.
3	The system must have the ability to make all Audit Plans reportable and must have the ability to monitor through Dashboards any revisions to plans.
4	The system must have the ability to create recurring audits with the ability to record an audit interval for those recurring audits.
5	Ability to capture the name of the audit, type of audit, individuals/ teams to be assigned to an audit as well as the number of days to complete an audit of an entity and capture relevant text that will flow throughout the system from Planning through to Reporting (including Monitoring).
6	The system must have the ability to capture permanent information about any auditable entity which has the ability to define the folder structure and provide the ability to drag and drop any (and all) file formats into the system. This information should be easily accessed from with the Audit File and the Audit Programs.
7	The system must have the ability to capture a profile of the individual in terms of their skills, qualifications, experience and conflicts of interest that is all fully definable and can be searched when scheduling the right auditor, at the right time.

8	The system must have the ability to add additional fields through the use of metadata to capture relevant information about the entity i.e. Financial information.
9	Ability to perform a Risk Assessment of the Audit Universe (where applicable) to assist in the prioritization of work during planning.
10	The system should allow for user defined risk criteria to be developed as part of a risk assessment on the Audit Universe. Risk Criteria along with point values and weights will be user defined.
11	The system should allow assigning of an audit budget (in days) to audits highlighted on any plan and allow for the monitoring of performance against the budget.
12	The systems should be able to report on the progress against the audit plan at any point in time using live/ real time data.
13	Different types of audits should be identifiable i.e. Financial, Performance, IT etc. for reporting to management and committees as applicable.
Audit Scheduling/ Capacity Management	
14	The system must have an Audit Scheduling option whereby an Audit Plan can be imported directly into a GANTT chart that has drag and drop capabilities, conflict management tool and a suite of filters to have the ability to focus on key aspects of the schedule at any time.
15	The system must have the ability to look at the Schedule form a resource perspective that provides the option to ensure that the auditors as they are scheduled can be viewed over a specified date range providing clear visibility in terms of maximizing the utilization of resources.
16	The schedule must have the ability to create unplanned audits.
17	The system should have a conflict management tool that assists in understanding where conflicts exist and to inform decision making.
18	Ability to allocate individuals/ teams to Audit Projects during the Scheduling stage with the ability to make any amendments when engaging onto an Audit/ Project. Resources should be able to be assigned/ changed at any time during the audit.
19	Ability to specify precise start and finish dates for all audit activity.
20	The ability to zoom into specific time ranges of the GANTT chart as this may cover a large period of elapsed time.
21	The ability to filter in many ways including by user, role, team, Audit Universe.
22	The ability to view all non-productive time for example, looking at specific non-auditable activities such as Training, Vacation and Sickness Absence.
23	The ability to 'pause' an audit in order to conduct a special investigation.
24	The option to schedule by phases directly within the Schedule that in turn is reflected in the Audit File and furthermore auditors can record time to those phases to understand the breakdown of how time is charged when auditing an entity over the audit year in question.
25	The system must have the ability to engage Audits/Projects directly from the Annual Plan, Audit Schedule or create an unplanned audit at any time.
26	The ability to see a snapshot view of how all Audit Projects/ Files are progressing throughout their lifecycle with the ability on a user by user basis to tailor the perspective of information by sorting by column and to export data immediately to Excel if required.
27	The ability to access closed and archived Projects/ Audits as necessary.
28	The ability to create any number of additional fields to capture information as required including the ability to capture fields for calculating materiality and performance materiality within the Audit Project/ File through the use of Metadata.
29	The ability from within the Project/ Audit File to be able to access any file attachment across the Audit/ Entity including the ability to access the Reference Library/ Permanent File for any Technical Documentation i.e. Code of Practice/ Audit Manual or any other document for ease of access and reference.
30	The ability to define key dates/ milestones (planned and actual) linked to the completion of Audits/Projects, these must be fully definable and have the ability to build in rules between key dates.

31	The ability to assign auditors to an Audit/ Project file and assign the budgeted hours for each individual involved on that Audit. The ability to have an option to capture chargeable rates and budget for expenses should be available.
32	The ability to define Audit Projects/ Files which consist of a number of different Audit Programs.
33	The ability to select Audit Opinions from a full definable drop-down list.
34	The ability to allocate Audit Tasks to individuals as well as the ability to customize templates for local circumstances.
35	The ability to roll forward Audit Programs from prior year to current year Audits.
36	The ability to define within Audit Projects/ Files Stages for key aspects of the Audit approach i.e. Strategic Planning, Detailed Planning, Engagement Planning, Audit Execution, Reporting and Closure etc.
37	The ability to have any number of Checklists associated with any Audit/ Project Type i.e. Audit Planning, Audit Completion etc.
38	The ability to issue Questionnaires directly from the Project/ Audit File based on a specific email template, associated with a Questionnaire such as a request for information or customer satisfaction.
39	The ability to quickly see any Risks, Recommendations or Matters Arising that have been raised directly during the Audit Programs in the current year audit and also those that may be still open from a prior year audit.
40	The ability to control who has the ability to complete and close a Project/ Audit File.
41	The ability to archive Audits on an ongoing basis that can be specified to alert when those Project/ Audit Files require to be archived or externally archived in the future.
42	The option to be able to delete, restore or move Project/ Audit Files should be easily accessible by the administrator who has those permissions to quickly support the team.
43	As part of the ongoing management of a Project/ Audit the ability to generate reports such as a Draft/ Final Report, Management Letter, Audit Announcement Memorandum/ Terms of Reference should as a minimum be available.
44	In relation to reporting, a number of standard reports should be available for use with the ability for specific reports to be made available based on SAO Moldova requirements.
Audit Work (Audit Execution)	
45	The system should allow for the electronic documentation of audit working papers within an Audit Program, linking together working papers, testing papers and evidence in a logical manner that can be easily followed by other auditors.
46	The system should be compatible with the Microsoft office suite and capable of handling evidence formats such as PDF, JPEG, TIF and other common formats.
47	Categorize evidence into a fully definable set of folders.
48	The ability to attach multiple working papers/ documents of any format, version, or size, particularly MS Office and Adobe Reader format and any scanned documents linked to audit procedures/ tests
49	The ability to cross reference (hyperlink) to a single version of a document which can be referenced from multiple Audit Programs, Projects, Tasks.
50	The ability to cross reference to specific sections of Microsoft Applications such as MS Word, MS Excel i.e. specific cells.
51	The ability to cross reference to the Internet or an External source as well as between different tests in the same Audit Program and between Audit Programs.
52	The ability to annotate within the solution and on a variety of documents such as MS Excel, MS Word and MS PowerPoint using auditor tick marks.
53	The ability to open up multiple windows at the same time to provide ease of navigation.
54	The system must provide a seamless offline working option to provide the user with the ability to download an Audit Program that is immediately available for working offline.
55	The system should clearly show any conclusions drawn from the audit work and be capable of reporting on these as necessary.
56	The system should be capable of handling pre-defined Audit Programs in a logical manner to reduce the time spent on repeat Audit Programs.

57	The system should allow for the recording of expected controls, actual controls, testing schedules, testing results, and conclusions and where necessary the overall risk rating.
58	Link multiple audit assertions to a single test.
59	The system should also allow for (where applicable) the identification of audit key controls and the reporting of these as necessary.
60	The system should allow for the recording of audit findings and agreed management actions.
61	The ability to define categories of audit matters arising i.e. Risk, Issues, Good Practice etc.
62	The ability to raise any numbers of matters arising, risks and recommendations within audit tests that are automatically linked through to the audit tasks and supporting evidence.
63	The ability to create more than one recommendation within any element of the Audit Program with the further option to create parent and child relationships.
64	The ability to categorize or prioritize matters arising i.e. significant audit matters, material misstatements etc.
65	The ability to track all matters arising from initially creation to future closure.
66	The ability to configure templates for different types of actions such as Risks, Recommendations and Matters Arising which can be labelled as necessary, configurable drop-down lists as aforementioned such as priority, classification etc., people, date, textual and numerical fields that are logically presented for completion from initial conception in the Audit Program through to the future closure of the action.
67	Auditees must be able to access their assigned actions via a browser.
68	The ability to attach documents such as MS Word, MS Excel and PowerPoint documents into the system and then have the ability to edit those items with full file version control.
Audit Work (Review/ Quality Assurance)	
69	Support multiple preparers and reviewer sign offs such as detailed supervisory reviews and higher-level reviews. The review policy should be highly configurable. Allow users to act as reviewer on one Project/ Program and preparer on another.
70	Ability to undertake an independent review by a person independent of the team with read only access e.g. Quality Assurance.
71	Ability to include additional evidence at second stage review with the ability or review notes to be raised on selected tests and the ability to include hyperlinks to specific documents and paragraphs.
72	All review notes must illustrate who raised them and who addressed them including the date.
73	Review notes must have the option to categorize such as further clarification, further work required, training issue.
74	Ability to perform an interim review whilst the auditor(s) continue to work on the Audit program.
75	Ability for more than one auditor to be working in the same Audit Program with the ability to consolidate and resolve conflicts in an easy to use and efficient manner.
76	Ability to delete and make amendments to text covered by review notes without deleting the review note.
Template Designer/ Methodologies	
77	The system must have a central repository to capture all of the SAO's Audit Program Templates that can be used on one or multiple Audits/ Projects over time. Specifically, the following template options must be available: • Audit Programs • Documents • Audit Files • Checklists • Questionnaires • Metadata • Email Notifications (fully programmable) • Reports

78	The central repository must be able to be updated and access provided to only those who are updating the SAO methodology over time to ensure that our methodology is firmly embedded within the system.
79	In relation to the Audit Programs there must be an option to embed (as applicable) notes for guidance to the auditor to fulfil certain types of audit tests/ procedures. In addition, there must be the ability to hyperlink to any type of guidance whether it be the Audit Manual held within the solution or an external link to International Standards of Auditing.
80	The ability to define different Audit Programs for both Financial Audit, Performance Audit and other types of Audits as required. These must have the ability to be assigned to the Audit Universe for use on one or multiple audits over time.
81	Must have a unique scoring technology that can be used where applicable i.e. auditing of Key Financial Systems on a cyclical basis to assisting in understanding if the control environment is strengthening or weakening over time.
82	The ability to maintain a central repository of templates to promote standardization and consistency and have the ability for auditors to exercise professional judgement when assigning to Audits with those local changes impacting on the integrity of the centralized template.
83	The ability to define variable templates including Checklists, Documents and Questionnaires that can be associated to the Audit Projects/ Files. In addition, the ability to define Metadata templates with various option such as, but no limited to free text fields, numerical fields, date fields and drop-down lists.
84	The ability to cross-reference audit tasks and fields to Audit Manuals, Code of Practice and auditing standards.
85	The ability to reference to online material.
Reference Library	
86	The system must have a Reference Library option to store documents to support the auditors on a day to day basis that can be accessed both online and when working offline
87	The Reference Library must have the ability to define a folder structure that can be governed in terms of who has access to the relevant documentation. Typically, we expect this to store all technical guidance including, but not limited to Audit Manuals, Codes of Practice, Legislative or Regulatory information that can be managed by a centralized team or delegated persons.
88	The reference library must be able to be accessed from within the Project/ Audit Files and within the Audit Programs to facilitate ease of access and navigation.
89	The reference library contents must have the ability to be hyperlinked further enforcing ease of access and referencing as applicable.
90	The reference library contents must be able to be synchronized to the user's machines by easily and dragging and dropping to an auditors' favorites.
Reporting	
91	The system must be capable of generating both standard reports, specific reports on a real time basis supported by the concept of memorized reporting. The reporting capabilities of the solution must be capable of the following: • Report actual progress against budget for all Audit Projects/ Files. • Provide a high-level overview of progress against the Annual Plan. • Recommendation Letters • Draft/ Final Reports • Provide a snapshot view of Audit Files and Work Programs • Export information throughout the system into formats such as MS Excel • Generate reports into MS Word (.docx), MS Excel (.xlsx) and PDF • Provide an overview of progress of Audit Programs through percentage of completion • Give a snapshot view of personal assigned responsibilities and audit tasks immediately upon logging into the system
92	The system must also have an array of dashboards with the ability to drill down to source information where applicable and view the details i.e. Performance on Audits/ Projects and Recommendations/ Actions as part of the follow up process.
93	The system should have configurable reports that cover or can be adapted to cover various styles of audits. Information should be drawn from the Project/ Audit Files to avoid any unnecessary duplication of work.
94	Audit reports produced should be in a format capable of being sent to the auditee for review and need to be in a common editable format compatible with the Microsoft office suite.

95	The system should be capable of ensuring that all reports are appropriately version controlled so it is clear which is the latest version of any report issued.
96	The system holds clear and reviewable / reportable audit trails identifying who has edited and accessed Project/ Audit Files and who has completed each Audit Program and who has reviewed/ certified its quality
Performance Management and Time Recording	
97	The system must have a dedicated module to be able to record Time (and expenses where applicable) on an ongoing basis for both Audit and Non-Audit related activities.
98	The system must have the ability to track time spent on each audit assignment, time spent on non-audit activities and non-working time and be capable of reporting on these on an individual audit, individual auditor and whole population level. Dashboards should also exist to provide oversight on Productive versus Non-Productive time with the ability to drill down into the performance information.
99	The non-auditable codes must be fully configurable and have the ability to be amended as necessary by a system administrator.
100	Timesheets for audit staff should be completed at least weekly and should remind staff / escalate by exception where these are late/ overdue.
101	When an auditor is charging time there must be the ability to capture notes (which can be enforced as mandatory i.e. administration). In addition, an option to charge time to phases of an audit such as Planning, Execution, Reporting and Follow Up (but not limited to those options)
102	The system must have the ability to capture metadata for entering details when recording time providing additional flexibility for the record.
103	The system must provide the auditor when charging time to both audit and non-audit codes their budget and time charged to date as well
104	All timesheets must be capable of following a review / authorisation process with the option to have a self-approval should this be required.
105	The system should provide reports (whether standard or through custom design) to enable calculations for the following indicators: • %of audits completed within audit budget • Number of days between start of fieldwork and completion of fieldwork • Number of days between the end of fieldwork and the draft report issue date • Number of days between the auditee's response to a draft report and the date of the final report being issued • Number of chargeable days by auditor • Productivity report of auditors, roles and teams across any date range or the entire population • Progress against both Planned, Scheduled and Budgeted Days Reports should have the option of presenting results in Hours/ Days as appropriate.
106	The system must allow for entry of key deliverable dates with the Project/ Audit File and provide reporting, monitoring and alerting around those key dates.
107	Exception reports should be able to be customised so that key deliverable dates that have been missed or not populated are captured.
Recommendation/ Matters Arising Tracking	
108	The system should have as part of the fully integrated solution a Recommendation/ Matters Arising Tracking module that provides an efficient and effective mechanism for following up on any Risks, Recommendations and Matters Arising during the Audit process.
109	Ability when recording any Risks, Recommendations and / or Matters Arising that these are documented as part of the Audit which are then available for reporting and are automatically transferred to the Tracking module for following up on those items during the course and beyond the end of the Audit.
110	The system must provide a vast range of filter and reporting options to provide flexibility in drilling down into information for analysis, monitoring and housekeeping of all types of actions.
111	The system must provide mechanisms for updating the status and the ownership of actions in bulk.

112	The system must allow for both users and auditors to update the relevant fields and be governed based on permissions i.e. auditees cannot make changes to fields documented by the auditor thus protecting the integrity of information but must be able to provide management responses, progress updates and attach tangible evidence where applicable.
113	The system must have an online browser-based portal providing auditees to be able to review, respond to and report on any audit actions for which they are responsible.
114	The system must have a fully programmable email notification that can be specified between 'event' based and 'conditional' based options. The timing and frequency must be able to be determined and be accompanied by an email notification of our choice. Examples include but are not limited to reminders and overdue alerts where target dates are due or passed.
115	The system must be able to report on the following items either by standard or custom designed reports: • Number of new actions issued in any given period • Number of implemented actions issued in any given period • Number of overdue actions • Actions by action owner and auditable entity • Ageing and overdue Analysis reports (textual and graphical) • Number of date revisions for each action outstanding
116	The system must have dashboards for auditors to access and drill down to source information within the action itself. These must be flexible so that filtering options are available to view information in different views with the option for multiple perspectives on the auditor's dashboard.
117	The system must have the ability to enter directly into the Tracking module any type of action as necessary.
Questionnaire Tracking	
118	The system must have a Questionnaire Tracking option that consolidates all questionnaires that have been issued to track the status of responses, ability to analyse the response received and to be able to report on the information captured.
119	The system must have the ability to issue any type of questionnaire making distinctions between them i.e. request for information, customer satisfaction etc. These must be supported by their own specific email template and can be issued directly from a Project/ Audit File or directly from the module itself.
120	All questionnaires responses must be able to be reported using MS Word and/ or MS Excel using either standard in built templates or specific templates as required.
Governance, Security, Administration and Archiving	
121	The system should restrict access to Projects/ Audits and unknown users – access should be configurable as required.
122	Access should be authenticated by passwords or other security method to ensure data protection issues are not breached (i.e. Active Directory)
123	Any data outside of the core database should be encrypted or provide other mechanisms to ensure that the data is protected (audits often contain data protected information).
124	The system should allow 'guest' user access as necessary to ensure that the quality of work can be viewed by external assessors as necessary.
125	The system should have a method of archiving older Projects/ Audits so that they can be retained to a retention schedule and accessed if necessary.
126	Please outline how data will be protected in transit when outside of our network control (i.e. working offline).
127	The system must have the capability to search the system using key word searches and must have an in-built event log as part of the audit trail capability. The search functionality must also be able to search into documents.
128	The system must maintain a clear audit trail of who has edited and signed off procedures and documents.
129	Maintain a clear audit trail of who has edited and signed off procedures and documents.
130	All attachments either attached or generated within the system must have file version control and the ability to view earlier and restore earlier versions as necessary.
131	The system must have a full role-based permission model behind the scenes that provides the customer the ability to define their own roles within the solution and the permissions that go along with those roles.

132	The system must have an 'Audit Right's mode that provides the flexibility for team members to move between varying roles and to inherit the roles applicable to that particular Audit/ Project.
133	The system must have the ability to set Entity Access in terms of governing their Audit Universe to provide the options for assigning only the relevant members of the Audit Team to particular auditable activities.
134	The system should be able to set document protection as a restrictive access to documents that contain sensitive information.
135	The ability to restrict access to Audit Projects/ Files and Audit Programs based upon role and work allocated.
136	The ability to handle unexpected loss of network connectivity without losing or corrupting data, including during synchronization operations.
137	The ability to lock documents in the Project/ Audit File and Audit Programs to maintain integrity while it is being edited and maintain a record of changes that have been made.
138	Ability to complete and close off an Audit Project/ File so that all data is locked for editing, with the ability to provide permissions to senior roles for unlocking as necessary.

2.3 Technical requirements

General	
REF.	**Requirement**
1	Please provide an overview of the technical architecture for the proposed solution setting out the minimum requirements for both the client and server components. Please note that the solution must be a .Net application that is web enabled but is not web dependent allowing auditors to work quite seamlessly offline when executing the fieldwork.
2	Scale and customize screens, fonts and windows to address accessibility.
3	An offline mode allowing users to work with content previously downloaded, and to upload changes when connectivity is resumed whilst maintaining data integrity.
4	An offline mode allowing users to work with content previously downloaded, and to upload changes when connectivity is resumed whilst maintaining data integrity.
5	An offline mode allowing users to work with content previously downloaded, and to upload changes when connectivity is resumed whilst maintaining data integrity.
6	The system must be compatible and work effectively with MS Windows 7 or higher.
7	Any browser-based components must work effectively on up-to-date versions of at least Microsoft Internet Explorer.
8	The Database functionality must run either on Microsoft SQL Server or an open source database e.g. MySQL.
9	All server functionality must run either on Microsoft Windows Server and must be capable of running inside a VMware virtual machine.
10	All system data must be able to be exported to standard file formats such as CSV, XML, Excel, .Doc.
11	It must be possible to print all documentation including any text fields from the system either directly or through reporting. Essentially, system must be fully reportable.
12	The software should be scalable for approximately 160 concurrent users and have a track history of delivering to large State Audit Institutions or similar size customers (or larger).
13	Ability to fully configure all terminology to the State Audit Office terminology throughout the system including field names, buttons, drop-down lists.

2.4 Security Requirements

General	
REF.	**REQUIREMENT**

1	The Service Provider (SP) maintains and implements a comprehensive Information Security Policy which addresses management and mitigation of information security risks.
2	The SP authorized system users are defined based on the need-to-know basis.
3	The SP internal network communication must be encrypted.
4	The SP allows only secure protocols (such as SSH, HTTPS. SFTP).
5	The SP's IT infrastructure has proper Demilitarized Zones with properly configured firewalls and Intrusion Detection Systems.
6	The SP's internal network must be segmented.
7	The SP's systems shall be patched with the latest patches.
8	The SP encrypts Data stored in its premises.
9	In case data need to be exchanged, a secure method such as Virtual Private Networks, Secure File Transfer or HTTPS Protocols must be used by the SP.
10	In cases where the SP's processes customer personal data, the SP must be registered with the Data Protection Commissioner.
11	The SP certifies that it does stores or process customer personal data according to EU legislation.
12	The SP must have in place a Security Incident Response Plan to address timely detection, assessment, investigation, and resolution of information security incidents.
13	The SP must have an incident notification mechanism in place to immediately report to the Customer's Information Security Department of any information security incidents within their own infrastructure and systems which affect the security of information.
14	The SP must have a current IT DR Plan and test it annually.
15	The SP ensures that all its employees are adequately trained and aware of Information Security matters in order to effectively perform their assigned duties and responsibilities. To achieve this all SP's employees are required to participate in Information Security Awareness training at least once every three-year period in order to be informed of relevant Security Policy provisions and of new security risks and protective measures.
16	The SP has in place adequate physical access and environmental controls to protect its special purpose facilities housing critical IT infrastructure or equipment (i.e. Computer Centres, Server rooms, telecommunication facilities, etc.) from unauthorized access and natural disasters (i.e., fire, flooding, and other environmental hazards).
17	The SP must have in place user rights only with visualization privileges that can be used also by employees of a different institution (eg. Audit Committee of the Parliament). Please describe also from a licensing perspective.

2.5 Maintenance and Ongoing Support Requirements

Maintenance	
REF.	**REQUIREMENT**
1	An annual support and maintenance contract option must be available. First point of support for users will be the SAO Service Desk. The provider's Support Desk will not be responsible for OS or SQL server configuration.
2	A Service Level Agreement must clearly define response and resolution times to problems and matters raised with clearly defined escalation criteria.
3	The system must be maintained to address software issues and service packs issued to address these.
4	Product support must be available as a consultancy service to support the design and implementation.
5	Formal notifications of changes and system developments must be provided.
6	Please describe your procedures for maintenance and support, and your upgrade schedule.
7	Do you maintain a separate testing environment?

Post Implementation support	
8	The Supplier MUST provide a sound post-project implementation support for one year including use of the system functionality to a nominated SAO representative, technical issues, including upgrades during the project and account management and liaison with a nominated SA representative.
9	After commissioning the supplier MUST provide technical support via a staffed support function that can be reached by telephone on weekdays.
10	Apart from a staffed support function the Supplier MUST have a 24/7/365 Support Ticketing function to enable the SAO helpdesk to report support cases.
11	The SAO intends to run a live pilot with a limited number of users. The Supplier shall be prepared to provide standard support for this phase.
12	The account (project) manager, assigned by the Supplier, shall be responsible for managing and monitoring service quality to be agreed by both parties and shall attend service review meetings at agreed times/locations (by video conferencing where possible). Service review meetings shall be held quarterly unless varied by mutual agreement.
13	Ongoing health checks must be an option to continue a collaborative and fruitful relationship to ensure that the SAO continue to grow in the use and understanding of the system.

2.6 E-training and Documentation Requirements

Training	
REF.	**REQUIREMENT**
1	The Supplier MUST provide training (maximum of 12 per session) in three different types of session: • System Administrators/Help desk staff; • Users of the software • Train the Trainer
2	Training must include also a pure audit methodology component.
3	System administrator training will not exceed 12 individuals who after they have completed training will then receive Train the Trainer training to have the necessary skills to train and supervise others with the SAO.
4	User training will be delivered in line with the initial configuration based on an agreed number of sessions to be delivered by the provider onsite (or at a location of our choice) with a maximum number of 12 attendees per session.
5	All training must be delivered onsite (or at a location of our choice) at the State Audit Office with the price of training including all training materials for all courses and persons as described above.
6	The software must be delivered with adequate and user-friendly documentation (both pre and post training materials, to support all levels of user.
7	All training delivered must be provided by fully qualified individuals.
8	Change management training responsibility relies on the Bidder. Please describe briefly how you will approach the change management component with emphasis on employee becoming adjusted to recently implemented IT solut
Documentation	
9	End-user documents must be provided for all aspects of the software and be easily accessible through the system itself or packaged and issued to the team following on from training. These must be available in English
10	Technical documents must be provided in English and issued to the team at an early stage in the implementation.

3. Evaluation Approach

Evaluation of proposals will be made by a committee formed by an in-house Acquisition Work Group and may include employees and contractors of the Buyer and other appropriate participants.

The evaluation process will be conducted to ensure that Bids are evaluated fairly to ascertain the bidders who can demonstrate the required skills qualities, technical ability and capacity, commercial stability and experience to ensure successful performance of the Contract.

CCRM's intent is to enter into a Contract with the Bidder who has met all mandatory criteria and has the highest overall score.

3.1 Mandatory Criteria

Proposals not clearly demonstrating that they meet the following mandatory criteria will be excluded from further consideration during the evaluation process.

Mandatory criteria	
REF.	**Criteria**
1	The Bidder has not faced any type of convictions, including bribery, fraud, money laundry or any other offence
2	The proposal must be received in the deadline set at point 1.2
3	The proposal must be in English
4	The proposal must be submitted using the submission method set out at point 1.4
5	Coverage of above 75% of the requirements presented in Section 2 as out of the box features
6	Timeframe of implementation of IT solution of less than 3 months upon contract sign
7	Previous experience on the Moldovan market
8	Previous experience with State Audit Institutions
9	Knowledge of ISSAIs
10	Ability to assist in the audit methodology alignment with ISSAIs
11	Experience in providing methodological and functional training

4. General Terms and Conditions

4.1 Introduction

4.1.1 The SP should comply with all legislation in force and applicable for such services, but at minimum the below.

4.1.2 CCRM wishes to establish a Contract for the provision of the services presented within this document and is managing this procurement process in accordance with 131/03.07.2015

4.1.3 Prior to commencing formal evaluation, Submitted Proposals will be checked to ensure they are fully compliant with the Pass / Fail criteria within the Evaluation model. Non-compliant Submitted Proposals may be rejected by CCRM. Submitted Proposals which are deemed by CCRM to be fully compliant will proceed to evaluation.

4.1.4 Following evaluation of the submitted proposals CCRM will select the awarded Bidder.

4.1.5 CCRM reserves the right not to conclude a Contract as a result of the current procurement process.

4.1.6 The services covered by this procurement exercise have not been sub divided into divisions of services and have to be considered as an integrated service

4.1.7 Please utilize the procurement system, achizitii.md within the timescales detailed at Point 1.2

4.1.8 The Bidder shall ensure that each and every sub-contractor, consortium member and adviser abide by the terms of these instructions and the Bid General Terms.

4.1.9 The Bidder shall not make contact with any other employee, or any third party of CCRM who are in any way connected with this procurement during the period of this procurement, unless instructed otherwise by CCRM.

4.1.10 CCRM shall not be committed to any course of action as a result of:

4.1.10.1 issuing this RFP or any invitation to participate in this procurement

4.1.10.2 communicating with a Bidder or a Bidder's representatives or agents in respects of this procurement.

4.1.11 Bidders shall accept and acknowledge that by issuing this RFP CCRM shall not be bound to accept any Bid and reserves the right not to conclude a Contract for some or all of the services for which Bids are invited.

4.1.12 procurement.

4.1.13 It is allowed for the Bidder to be a consortium or a joint provider of services.

4.1.14 If the Bidder is a joint provider of services, the following information must be provided: full details of the single providers and the information sought in this RFP in respect of each of the joint provider constituent members as part of a single composite response. If the case, please note that CCRM reserves the right to require a successful joint provider to act as a single services provider.

4.2 Confidentiality

4.2.1 Subject to the exceptions referred to in paragraph 4.2.2, the contents of this RFP are being made available by CCRM on condition that:

4.2.1.1 Bidders shall at all times treat the contents of the RFP and any related documents (together called the "Information") as confidential;

4.2.1.2 Bidders shall not disclose copy, reproduce, distribute or pass any of the Information to any or other person at any time or allow any of these to happen.

4.2.2 Bidders shall not use any of the Information for any purpose other than for purpose of submitting (or deciding whether to submit) a Proposal; and

4.2.2.1 Bidders shall not undertake any publicity activity within any section of the media in relation to this procurement;

4.2.2.2 Bidders may disclose, distribute or pass any of the Information to the Bidder's advisers, subcontractors, joint service providers counterparties, provided that this is done for the sole purpose of enabling a Proposal to be submitted and the person receiving the Information undertakes in writing to keep the Information confidential on the same terms as if that person were the Bidder.

4.2.3 The definition of "person" includes but is not limited to any person, firm, body or association, corporate or incorporate.

4.2.4 CCRM may disclose detailed information relating to Bids to its employees, agents or advisers and may make any of the Contract documents available for private inspection by its employees or advisers.

4.3 Timescale

4.3.1 Section 1.2 of the RFP sets out the proposed procurement timetable. The dates associated with the RFP response period and bidder clarifications are fixed, however CCRM reserves the right to extend the dates and will announce potential Bidders of any change to the dates. However all other dates are intended as a guide

and whilst CCRM does not intend to depart from the post RFP receipt timetable it reserves the right to do so at any stage.

4.4 CCRM Contact Details

4.4.1 Unless stated otherwise in these Instructions or in writing from CCRM, all communications from Bidders (including their sub-contractors, joint service provider counterparties, consultants and advisers) during the period of this procurement must be directed through the procurement system to the CCRM Designated contact

4.4.2 Procurement public system contact, as indicated in the Procurement public system.

4.4.3 Bidders should be mindful that the designated Contact should not under any circumstances be sent a copy of their Proposal outside of the procurement tool. Failure to follow this requirement will result in disqualification of the Proposal.

4.5 Proposal preparation

4.5.1 Bidders must obtain for themselves at their own responsibility and expense all information necessary for the preparation of Bids. Bidders are solely responsible for the costs and expenses incurred in connection with the preparation and submission of their Proposal and all other stages of the selection and evaluation process. Under no circumstances will CCRM, or any of their advisers, be liable for any costs or expenses borne by Bidders, sub-contractors, suppliers, joint service provider counterparties or advisers in this process.

4.5.2 Bidders are required to complete and provide all information required by CCRM in accordance with the General Terms and the RFP. Failure to comply with the General Terms and the RFP may lead CCRM to reject a Submitted Bid.

4.5.3 CCRM relies on Bidders' own analysis and review of information provided. Consequently, Bidders are solely responsible for obtaining the information which they consider is necessary in order to make decisions regarding the content of their Proposals and for undertaking any necessary steps they consider necessary for fulfilling the procurement requirements.

4.5.4 Bidders must ensure that each response to a question is not cross referenced to a response to another question. In the event of a Bidder adding a cross reference it will not be considered by the evaluation panel.

4.6 Submission of Proposals

4.6.1 The Proposal must be submitted as instructed in this document through the appropriate public procurement tool. Failure to follow the instruction within each Section of this document, to omit responses to any of the questions or to present your response in alignment with any guidance notes provided may render the Proposal non-compliant and it may be rejected.

4.6.2 CCRM may at its own absolute discretion extend the closing date and the time for receipt of Proposals

4.6.3 Any extension of this RFP will be applied to all Bidders. Any financial data provided must be submitted in or converted into US dollars.

4.6.4 The Proposal and any documents accompanying it must be in the English language.

4.6.5 Bidders must submit their Bid through the public procurement tool.

4.6.6 Bids will be submitted any time up to the date indicated in Section 1.2.

4.6.7 Bids received after the date indicated in Section 1.2 shall not be considered by CCRM unless the Bidder can justify the reason for the delay.

4.7 Disclaimers

4.7.1 Whilst the information in this RFP and supporting documents has been prepared in good faith, it does not purport to be comprehensive nor has it been independently verified.

4.7.2 Neither CCRM, nor their advisors, nor their respective directors, members, partners, employees, other staff or agents:

4.7.2.1 Makes any representation or warranty (express or implied) as to the accuracy, reasonableness, or completeness of the RFP; or

4.7.2.2 accepts any responsibility for the information contained in the RFP or for their fairness, accuracy or completeness of that information nor shall any of them be liable for any loss or damage (other than in respect of fraudulent misrepresentation) arising as a result of reliance on such information or any subsequent communication.

4.8 Collusive behavior

4.8.1 Any Bidder who:

4.8.1.1 fixes or adjusts the amount of its Proposal by or in accordance with any agreement or arrangement with any other party except for a joint service provision agreement; or

4.8.1.2 enters into any agreement or arrangement with any other party that such other party shall refrain from submitting a Proposal; or

4.8.1.3 offers or agrees to pay or give or does pay or give any sum or sums of money, inducement or valuable consideration directly or indirectly to any party for doing or having done or causing or having caused to be done in relation to any other Proposal, any act or omission,

shall (without prejudice to any other civil remedies available to CCRM and without prejudice to any criminal liability which such conduct by a Bidder may attract) be disqualified.

4.9 No inducement or incentive

4.9.1 The RFP is issued on the basis that nothing contained in it shall constitute an inducement or incentive nor shall have in any other way persuaded a Bidder to submit a Proposal or enter into the Contract or any other contractual agreement.

4.9.2 Any Bidder who directly or indirectly approaches any employee of CCRM concerning the award of this Contract, or who directly or indirectly obtains or attempts to obtain information from any employee of CCRM concerning any other Proposal received or not yet received may be disqualified.

4.10 Acceptance of the Contract

4.10.1 CCRM shall be under no obligation to accept the lowest priced or any Bid.

4.11 Queries relating to the Proposal

4.11.1 In requests for clarification about the requirements or the process of this procurement shall be made in through the public procurement tool unless where the tool is unavailable due to Procurement Service system maintenance or failure when a clarification by email to the contact defined in Section 1.3.

4.11.2 CCRM will endeavor to answer all questions as quickly as possible, but cannot guarantee a minimum response time.

4.11.3 In the event of a Bidder requiring assistance uploading a clarification to the public procurement tool they should use the contact details defined in Section 1.3.

4.11.4 No further requests for clarifications will be accepted after 5 days prior the 'Deadline date'.

4.11.5 CCRM reserves the right not to respond to a request for clarification or to circulate such a request where it considers that the answer to that request would or would be likely to prejudice its interests.

4.12 Amendments

4.12.1 At any time prior to the deadline for the receipt of Proposals, CCRM may modify the RFP by amendment. Any such amendment will be numbered and dated and issued by CCRM to all prospective Bidders. In order to give prospective Bidders reasonable time in which to take the amendment into account in preparing their Proposals, CCRM may, at its discretion, extend the Deadline for receipt of Proposals.

4.13 Modification and withdrawal

4.13.1 Bidders may modify their Proposal where allowable within the Public procurement tool. No Proposal may be modified after the Deadline for receipt

4.13.2 Bidders may withdraw their Proposal at any time prior to the Deadline or any other time prior to accepting the offer of a Contract. The notice to withdraw the Proposal must be in writing and delivered to CCRM at the address and to the attention of the point of contact in Section 1.3.

4.14 Right to disqualify or reject

4.14.1 CCRM reserves the right to reject or disqualify a Bidder where

4.14.1.1 the Bidder fails to comply fully with the requirements of this Request for Proposal or presents the response in a format contrary to the requirements of this document; and/or

4.14.1.2 the Bidder is guilty of serious misrepresentation in relation to its Proposal; expression of interest; or the process; and/or

4.14.1.3 there is a change in identity, control, financial standing or other factor impacting on the selection and/or evaluation process affecting the Bidder.

4.15 Right to cancel, clarify or vary the process

4.15.1 CCRM reserves the right to:
4.15.2 Amend the terms and conditions of the Request for Proposal process,
4.15.3 Cancel the evaluation process at any stage; and/or
4.15.4 Require the Bidder to clarify its Proposal in writing and/or provide additional information. (Failure to respond adequately may result in the Bidder not being selected),

4.16 Notification of award

4.16.1 CCRM will notify the successful Bidder of the Contract award in the Procurement Public System, achizitii.md.
4.16.2 All unsuccessful Bidders will be provided with an award decision notice. This will contain details of the award criteria, reasons for the decision including the characteristics and relative advantages of the successful bidder, the scores of the recipient of the notice and the winner, any reasons why the bidders did not meet the technical specification, the name of the party to be awarded the contract and a precise statement of when the standstill period is expected to end.

APPENDIX A – Please note that the file below is only for representation purposes and its contents are subject to consequent review

RFP Requirements.xlsx